



# DOE Order 226.1

## *Implementation of Department of Energy Oversight Policy*

The Order at the Contractor level is called "Contractor Assurance"

# BNL Policy Council

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This is a modification of a presentation given by  
P. Worthington & T. Staker  
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# Discussion Outline

- Introduction & Schedule for Implementation
- The Order Objectives
- The Contractor (BNL) requirement piece
- Implementation at BNL



# Introduction

- In 2003, DOE Order Review Panel recommended the development of a single order for all oversight activities.
- Development of the policy and order were incorporated into the Department's 2004 Management Challenge Action Plan.
- BNL received Draft Order on March 18, 2005
  - BNL submitted 9 "major" and 3 "minor" comments
  - Office of Science submitted no comments to DOE
- The Order 226.1 was approved September 15, 2005



# The DOE Schedule for Oversight Implementation

- Incorporate CRD into all contracts, no later than 6 months after the date of the order (March 15, 2006)\*
- DOE HQ and field elements revise policies and directives to conform to DOE P 226.1 and O 226.1 by September 15, 2006
- Path Forward - Perform Gap Analysis to support effective implementation and near term schedules

\*The Order was incorporated in the BSA Prime Contract on Feb. 10, 2006

# The Objective- " ..to ensure that contractor assurance

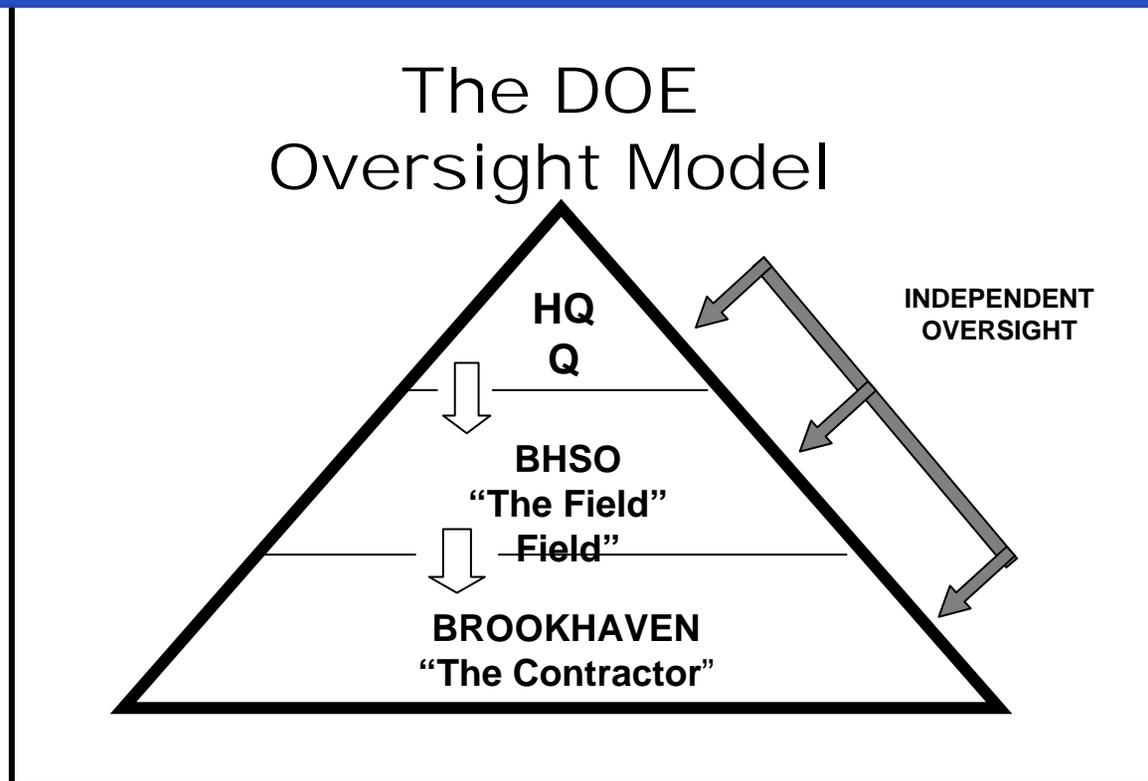
systems and DOE oversight programs are comprehensive and integrated for all aspects of operations essential to mission success."

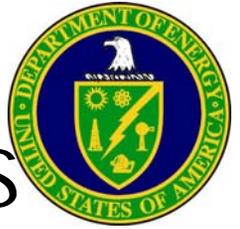


- The new order provides a comprehensive framework for integrated management of programs that were historically stove-piped along organizations and functional areas
- The new order formalizes the four essential elements of the DOE Oversight Model



# DOE oversight model





# Oversight and Assurance Programs

- The new order is intended to provide the framework for “how everything fits together” which includes prioritization of activities based on analysis.
- BHSO must - Develop Program Description Plans for Federal Oversight
- BNL must - Develop and submit a Contractor Assurance System Program Description for BHSO approval
- Our system should work in concert with BHSO's



# Contractor Requirements

**BNL must develop** "A comprehensive and integrated contractor assurance system..... to:

- identify and address program and performance deficiencies [and] opportunities for improvement,
- provide means and requirements to report deficiencies to the responsible managers and authorities,
- establish and effectively implement corrective and preventive actions, and
- share lessons learned across all aspects of operations."



# Contractor Requirements

"The contractor must submit, for DOE annual review and approval, detailed contractor assurance system program descriptions to address the following aspects of operations:

1. Environment, safety and health,
2. Safeguards and security,
3. Emergency management,
4. Cyber security, and
5. Business practices."



# Contractor Requirements

## Contractor assurance systems:

- Assessments (including self-assessments, management assessments, internal independent assessments),
- Incident/event reporting processes,
- Worker feedback mechanisms,
- Issues management,
- Lessons learned, and
- Performance indicators/measures

# Implementation at BNL



- Our Quarterly Performance Reporting process is key
- We must continue to work with BHSO to develop and mature the process
- We must continue to strengthen our:
  - Corrective action management program
    - Sound reporting, Good Critiques & Causal analysis are essential
    - Expand our Lessons Learned program
  - Self Assessment process
    - Management System - Organizational – Institutional roll-up
- We need to revise the Integrated Assessment Program Management System Description to accommodate Contractor Assurance Order