

Contractor Assurance Systems and DOE Oversight

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Key Policy Documents

- **DOE Policy 226.1A, *Department of Energy Oversight Policy*, Approved 5-25-07.**
- **DOE Order 226.1A, *Implementation of Department of Energy Oversight Policy*, Approved 7-31-07.**
- **DOE Guide 226.1-1, *DOE Oversight Guide* (draft guide expected by Spring 2008).**

Scope

- **Environment, Safety and Health**
- **Safeguards and Security**
- **Cyber Security**
- **Emergency Management**

Source: DOE P 226.1A.

Four Elements

1. DOE HQ Oversight
2. DOE Field Office Oversight
3. Contractor Assurance Systems
4. DOE Independent Oversight

Source: DOE P 226.1A.

Selected Objectives

- **Ensures Compliance to Requirements**
- **Pursues Excellence through Continuous Improvement**
- **Provides Timely identification and Correction of Deficient Conditions**
- **Verifies Effectiveness of Completed Corrective Actions**

Source: DOE P 226.1A.

Major Changes in 226.1

- - Establishes explicit implementation schedules for non-safety areas.
- Removes “business systems” as a required area.

Source: DOE O 226.1A.

Implementation Schedule

- **Environment, Safety and Health (already required – by 9/15/06)**
- **For DOE line, for Security, Cyber Security, and Emergency Management, 90 days after O 226.1A is effective**
- **Contractor Implementation no later than 6 months after the CRD is incorporated into the contract.**

Source: DOE O 226.1A.

Contractor Assurance System (CAS) Required Elements

- **Assessments**
- **Event Reporting**
- **Worker Feedback Mechanisms**
- **Issues Management**
- **Lessons Learned**
- **Performance Measures**

Contractor Assurance System (CAS) Requirements

- **CAS Description must be documented and available to DOE.**
- **CAS Data must be available to DOE; CAS Results must be analyzed, compiled, and reported to DOE.**
- **Contractors must integrate in corporate audits, third-party certifications, and external reviews by experts.**
- **Contractors must monitor and evaluate all work performed under contract, including the work by sub-contractors.**

Contractor Assurance System (CAS)

Top Areas for Focus

- **Preventing Recurrences**
- **Issues Management**
- **Corrective Action Management, including Effectiveness Reviews**
- **Effective Lessons Learned and use of Operating Experience**
- **Self-Assessments**

Questions?

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