

Approved: 4-25-11

**SUBJECT: DEPARTMENT OF ENERGY OVERSIGHT POLICY**

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**PURPOSE AND SCOPE**

The purpose of this Policy is to establish the Department of Energy's (DOE) expectations for the implementation of a comprehensive and robust oversight process that enables the Department's mission to be accomplished effectively and efficiently while maintaining the highest standard of performance for safety and security. As used in this Policy, any reference to DOE is also meant to include the National Nuclear Security Administration (NNSA). The scope of this Policy covers operational aspects of environment, safety, and health; safeguards and security; cyber security; and emergency management. This Policy cancels and supersedes DOE P 226.1A, *Department of Energy Oversight Policy* dated 5-25-07.

**POLICY**

To provide strong assurance that the workers, the public, the environment, and national security assets are adequately protected, the Department expects that: (1) robust assurance systems are effectively implemented by site contractors and, for DOE operated activities, by the responsible DOE line management organizations; and (2) DOE oversight is performed effectively by line management, both DOE Headquarters and Field, as well as by independent oversight organizations. Collectively, effective assurance systems and oversight programs provide reasonable assurance that mission objectives are being accomplished without sacrificing adequate protections.

Attributes of effective assurance and oversight processes include: (1) Assurance systems are tailored to meet the needs and unique risks of each site or activity, include methods to perform rigorous self-assessments, conduct feedback and continuous improvement activities, identify and correct negative performance trends, and share lessons learned; (2) DOE oversight programs are designed and conducted commensurate with the level of risk of the activities; and (3) The oversight of activities with potentially high consequences<sup>1</sup> is given high priority and greater emphasis.

Effective and properly implemented oversight processes and assurance systems are expected to result in:

- DOE Headquarters and Field having assurance that site workers, the public, and the environment are protected while mission objectives are met, contract requirements are

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<sup>1</sup> These activities include, but are not limited to, Hazard Category 1 and 2 nuclear facilities and activities to protect strategic quantities of special nuclear material and highly sensitive information assets.

fulfilled; and operations, facilities, and systems are being effectively run and continuously improved;

- The establishment of metrics and targets for assessing performance and holding managers accountable for achieving their targets; and
- Improvements in the efficiency and effectiveness of DOE oversight programs by leveraging, when appropriate, the processes and outcomes of contractors' assurance systems.

BY ORDER OF THE SECRETARY OF ENERGY:



DANIEL B. PONEMAN  
Deputy Secretary