



Inside Oversight

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<http://tis.eh.doe.gov/iopa>

Independent Oversight Enhances Program

The Office of Independent Oversight and Performance Assurance is poised to implement several changes that could affect every Department of Energy (DOE) site and organization. These changes are expected to increase the efficiency of the oversight process and reduce the overall impact of oversight activities on individual sites. The major changes involve:

Independent Oversight enhancements will increase the efficiency of the oversight process and reduce the overall impact of oversight activities on individual sites.

- Consolidating inspection activities
- Using a new process for prioritizing sites and scheduling inspections
- Expanding the field augmentation program and its benefits to local self-assessment programs.

Inspection Activities Will Be Consolidated

Independent Oversight comprehensive inspections will now encompass safeguards and security, cyber security, and emergency management. Typical inspection topics are listed on page 4. This change in approach was first implemented during a comprehensive inspection at the Strategic Petroleum Reserve in May 2001 and will be applied for upcoming inspections at Hanford, Pacific Northwest National Laboratory, Y-12, and Headquarters.

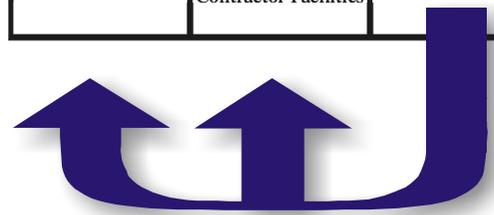
Even though these comprehensive inspections will be broader and more intensive, they will reduce the overall impact on inspected sites. All major inspection activities will be accomplished during two or three weeks of onsite visits (depending on the facility). Therefore, a single

inspection visit is expected to validate each site's program capabilities in safeguards and security, cyber security, and emergency management. Furthermore, despite the increased scope, the size and activities of the inspection teams will remain essentially the same as in the past—again, with the goal of minimizing disruption at the inspected site.

The major Independent Oversight activities—typically those with the greatest impact on site operations and resources—are the ones that will be consolidated. However, other less intrusive

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Policy (Guidance, Policy, Assistance)	Line (Program Direction and Dollars)	Secretary's Independent Oversight
SO Emergency Management Cyber Security Nuclear Safeguards Security	DOE NNSA Field Offices and Contractor Facilities	OA Feedback



The Secretary of Energy's Office of Independent Oversight and Performance Assurance (OA) provides feedback to DOE line management, including the National Nuclear Security Administration (NNSA), and policy-makers, such as the Office of Security and Emergency Operations (SO).

Independent Oversight Enhances Program (continued)

activities may still occur at other times. For example, remote scanning and penetration tests of cyber networks may be conducted independent of the comprehensive inspection schedule, and Office of Emergency Management Oversight personnel may observe and evaluate locally scheduled and conducted performance tests or exercises involving emergency response and/or management. Other, usually limited-scope activities, such as special or follow-up reviews requested by the Secretary of Energy or the National Nuclear Security Administration (NNSA) Administrator, will continue to be conducted whenever required.

Site Prioritization Will Govern Inspection Scheduling

A new system for prioritizing sites will determine the frequency of scheduled Independent Oversight inspections. Each of the major DOE and NNSA sites is designated as Priority I (highest priority), Priority II (moderate priority), or Priority III (lowest priority). Priority I sites will be routinely inspected at 18-month intervals, Priority II sites at 24-

month intervals, and Priority III sites as required. (These intervals do not reflect any additional oversight activities that may be required, from time to time, by

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Secretarial direction or other circumstances.) Priorities are based on a number of factors, including the amount and categories of special nuclear materials on site, the amount and sensitivity of classified information and sensitive unclassified information on site, identified risks associated with site protection systems, and other factors impacting the protection of national security assets and other items. Most major weapons complex facilities are Priority I, but some non-weapons facilities are also assigned this highest priority. As shown in the tables below and on page 3, initial priorities have been assigned. These priorities will be reexamined every five years, or sooner if a site experiences major changes in its mission, operations, or physical plant.

An inspection of a Priority I site will typically include a one-week planning and data collection period, a one- to two-week interval for offsite planning and analysis, and two weeks of onsite data collection, performance testing, report writing, and closeout. Priority II sites will be inspected during a single two-week period of data collection, report writing, and closeout. (Onsite visits may be somewhat shorter or longer, depending on the specific site and conditions.) Additional preliminary planning and coordination activities, particularly for major performance tests, will be carried out as needed for specific inspections and will not be reflected on the formal schedule.

Another new facet of the Independent Oversight inspection process is that sites

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(Continued on Page 3)

NNSA FACILITIES - PRIORITY I
Albuquerque Operations Office
Los Alamos National Laboratory
Sandia National Laboratories - New Mexico
Pantex Plant
Office of Transportation Safeguards
Oak Ridge Area Office
Y-12 Plant
Oakland Operations Office
Lawrence Livermore National Laboratory
Savannah River Area Office
Savannah River - Tritium Operations

NNSA FACILITIES - PRIORITY II
Sandia National Laboratories - California
Kansas City Plant
Headquarters (Germantown and Forrestal)
Nevada Operations Office
Nevada Test Site

NNSA FACILITIES - PRIORITY III
Nuclear Energy Search Team/Atlas
Tonopah
Remote Sensing Laboratory

Standard Inspection Frequencies

Priority I - 18 Months
Priority II - 24 Months
Priority III - As Needed

**Standard Inspection
Frequencies**

- Priority I - 18 months
Priority II - 24 Months
Priority III - As Needed

DOE FACILITIES - PRIORITY I
Argonne National Laboratory - West
Idaho Operations Office
Idaho Nat'l Engineering & Environmental Laboratory
Richland Operations Office
Hanford Site
Rocky Flats Field Office
Rocky Flats Closure Project
Savannah River Operations Office
Savannah River Site

DOE FACILITIES - PRIORITY II
Headquarters (Germantown and Forrestal)
Chicago Operations Office
Argonne National Laboratory - East
Brookhaven National Laboratory
Oak Ridge Operations Office
Oak Ridge National Laboratory
Pacific Northwest National Laboratory

DOE FACILITIES - PRIORITY III
Waste Isolation Pilot Plant
New Brunswick Laboratory
Princeton Plasma Physics Laboratory
Ames Laboratory
Fermi Laboratory
Environmental Measurements Laboratory
East Tennessee Technology Park
Portsmouth Gaseous Diffusion Plant
Paducah Gaseous Diffusion Plant
Santa Barbara Sensitive Compartmented Information Facility
Office of Scientific and Technical Information
Jefferson Laboratory
Lawrence Berkeley National Laboratory
Stanford Linear Accelerator (SLAC)
Energy Technology Engineering Center
Fernald Environmental Management Project
West Valley Demonstration Project
Miamisburg Environmental Management Project (Mound)
Battelle Columbus
Strategic Petroleum Reserve Office (and 5 sites)
Federal Energy Technology Center (Morgantown and Pittsburgh)
Bonneville Power Administration
Western Power Administration
Southwestern Power Administration
Southeastern Power Administration
Golden Field Office (National Renewable Energy Laboratory)
Yucca Mountain
Grand Junction

**Independent Oversight
Enhances Program (continued)**

inspections. If a site's protection programs are judged to be sufficiently robust, comprehensive inspection intervals may be extended to 24 months for Priority I sites and to 30 months for Priority II sites—a six month extension of the normal interval in both cases. In making this determination, Independent Oversight will place additional emphasis on the strength and accuracy of each site's self-assessment program. If a site's self-assessment program is comprehensive, rigorous, objective, and performance-based; if the results of self-assessments indicate strong

protection program performance; and if the results of Independent Oversight's comprehensive inspection verify the accuracy of the self-assessments; then the inspection cycle will be extended. Conversely, if Independent Oversight inspections reveal significant deficiencies in a site's protection programs, the comprehensive inspection interval may be decreased by six months (to 12 months for Priority I sites, or 18 months for Priority II sites) until protection system performance improves to a more acceptable level.

Independent Oversight will develop and maintain a working comprehensive inspection schedule that extends two years into the future. The first-year schedule, which Independent Oversight will coordinate with program offices, field elements, and sites as appropriate, will be published prior to the inspection year and will provide a specific, firm schedule of comprehensive inspections. The second-year schedule will be less specific regarding dates, and will be in the process of coordination with program, field, and site managers.

(Continued on Page 4)

Typical Independent Oversight Inspection Topics

Office of Safeguards and Security Evaluations (OA-10)

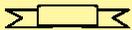
Classified Matter Protection and Control
Material Control and Accountability
Personnel Security
Physical Security Systems
Protective Force
Protection Program Management

Office of Cyber Security and Special Reviews (OA-20)

Protection of Classified Systems
Network Protection
Risk Management
Configuration Management

Office of Emergency Management Oversight (OA-30)

Program Administration, Plans, and Procedures
Emergency Response Organization
Hazards Surveys and Hazards Assessments
Categorization and Classification
Consequence Assessment
Protection Actions
Emergency Public Information and Offsite Interfaces
Training, Drill, and Exercise Program



Independent Oversight Enhances Program (continued)

Field Augmentation Program Will Be Renewed

Another aspect of the ongoing changes in Independent Oversight activities is the planned revitalization of the field augmentation program. This

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program enlists qualified volunteer subject matter experts from DOE Headquarters and field elements and from contractor facilities to participate as inspectors on Independent Oversight inspection teams. Volunteers may participate, as needed, on one or more inspections at sites with which they have no direct connection; that is, for Federal employees, at sites for which they have no programmatic or supervisory responsibility, and for contractor employees, at sites with which their employer has no business connections.

Augmentees must be knowledgeable and experienced in the topical area they wish to inspect, the appropriate managers at their site and at the responsible DOE Headquarters or field element must approve their participation, and Independent Oversight must accept and

approve them. Volunteers with previous oversight experience—such as participation on survey teams or internal assessment teams—are preferred.

Augmentees are not merely observers; they are fully integrated into the inspection team and fully participate as members of an assigned topic team.

This program is intended to benefit both Independent Oversight and the field. Independent Oversight gains the perspective of individuals who are currently working in the field, who can bring a fresh set of eyes and ideas to the evaluation process. The field gains by having their representatives acquire first-hand experience with Independent Oversight's methods, procedures, and areas of emphasis. It is intended that such experience be applied to improve local survey and self-assessment programs and to improve protection programs at the augmentees' home sites. More information on the field augmentation program will soon be forthcoming in a memorandum from the Office of Independent Oversight and Performance Assurance. ■

Solicitation of Comments, Questions, and Suggestions

OA welcomes your thoughts about our newsletter. Please send or phone comments, questions, or suggestions to:

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This newsletter can be found on the OA web site at <http://tis.eh.doe.gov/iopa>.