



Oversight Training Program Description

Program Design Description

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By signing this page, the authorizing DOE party agrees to the design described in this document.

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1 Training Needs

In June 2005, the Department of Energy issued DOE P 226.1 that established the Departments expectations for effective oversight of performance in security, cyber security, emergency management, environment, safety and health, and business operations. DOE O 226.1 was issued shortly afterwards to provide direction for implementing DOE P 226.1.

In the fall of 2005, the National Training Center's (NTC) Safety Training Program (STP) developed and piloted an oversight course, SAF-380, *DOE Oversight*. SAF-380 was an eight-hour course whose goal was to explain the purpose, scope and requirements of effective Federal line oversight as defined by DOE O 226.1. Originally, the final lesson of SAF-380 was used to identify and process map each site offices oversight process. The developed process map of the first office's oversight process was then used as a starting point for the next office's process mapping efforts that resulted in a revised oversight process map that was used as the next office's starting point. This process mapping exercise was conducted during the first four to five iterations of SAF-380 and resulted in a vetted oversight model process map that was then incorporated and taught in the final lesson of SAF-380.

By CY 2007 a need to further expand training on the oversight model was identified and the NTC developed a stand-alone course, SAF-381, *DOE Oversight Implementation*, a 24 hour course that taught students how to use the oversight model to determine the focus, scope and rigor of their oversight.

In 2010, the NTC combined SAF-380 and SAF-381 and created a new 24-hour instructor-led course, SAF-384, *DOE Oversight and Implementation*.

In 2007 (DOE P 226.1A, DOE O 226.1A) and again in 2011 (DOE P 226.1B, DOE O 226.1B) DOE revised both the oversight Policy and Order. With each revision the courses along with the oversight model were revised to reflect the current expectations and requirements of Federal line management oversight.

In 2012, DOE developed and issued DOE G 226.1-2, *DOE Line Management Oversight of Nuclear Facilities*. The Guide was developed in support of DOE O 226.1B to provide guidance to DOE line management organizations in meeting the provisions of DOE O 226.1B when applied to nuclear facilities.

As a result of publishing the DOE G 226.1-2 guide, the NTC revised the instructor led course (SAF-384) to incorporate the concepts in the guide as well as provide a standardized approach on how to select the level and mix of oversight activities based on program performance, risk, and the level of confidence in the implementation of the local contractor assurance system. Providing this standardized approach to properly setting and adjusting the level and mix of oversight in a particular functional/topical area was a fundamental weakness and lessons learned from the Y-12 security event in 2012.

After presenting the revised DOE oversight and implementation course (SAF-384) several times in CY 2013 the NTC recognized the need to expand the oversight training to address developing performance measures, oversight data analysis, and all the elements of a comprehensive issues management system. This need for a comprehensive suite of oversight courses was validated by the oversight weaknesses that were evident from the WIPP events in the Spring of 2014.

A job/task analysis (JTA) was conducted in 2006 and 2007 using the first iterations of SAF-380, *DOE Oversight* to facilitate Federal personnel at site offices to analyze the steps involved in conducting oversight. The results of this JTA were captured in an oversight flowchart and the original oversight training (SAF-380, *DOE Oversight* and SAF-381, *DOE Oversight Implementation*) was designed around these processes. The initial oversight flowchart was used in the first iteration of SAF-384. The oversight flowchart has been continuously improved over the last several years based on student/instructor feedback. The current version of the oversight flowchart (Figure 1) serves as the basis for the entire set of oversight courses.

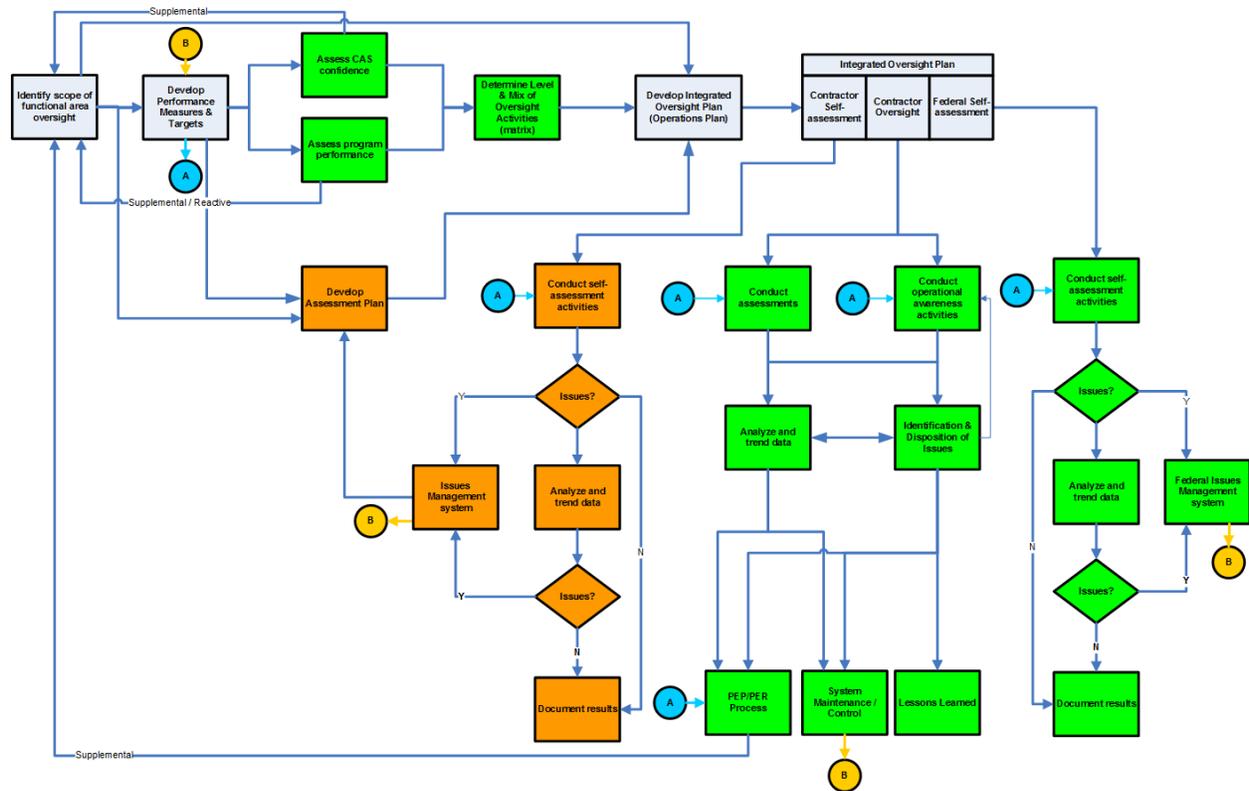


Figure 1, Oversight Process Model

The oversight curriculum will cover the oversight process and its associated sub-processes in more detail. Figure 2, which uses a simplified version Figure 1, shows how the oversight curriculum relates to the specific oversight process and its sub-processes.

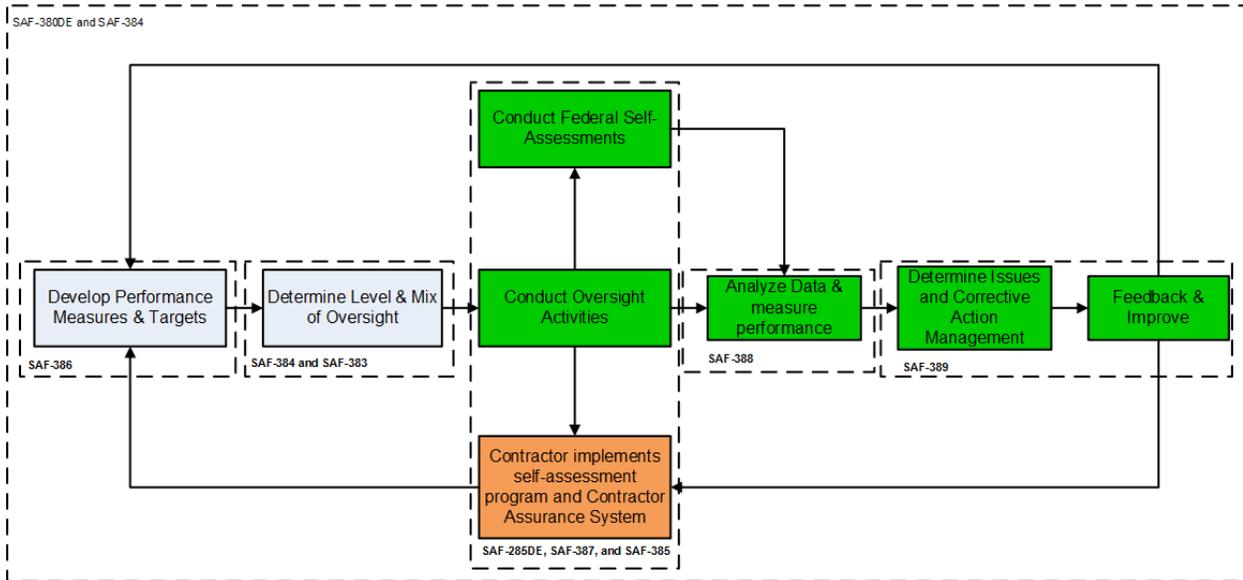


Figure 2, Oversight Curriculum Design

2 Target Audience

The primary audience is Federal personnel responsible for implementing the requirements in DOE O 226.1B, *Implementation of the Department of Energy Oversight Policy*. A secondary target audience is contractor personnel with oversight responsibility identified in the Contract Requirements Document (CRD) to DOE O 226.1B.

3 General Approach to Training

Curriculum Overview

The oversight curriculum consists of 10 separate yet interrelated courses covering elements of a successful Oversight program. The courses are designed to support 4 training tracks for Federal personnel depending on their role in the implementation of line management oversight. As part of this new Oversight curriculum, course numbering will be changed to reflect association with the new curriculum as well as levels of familiarity knowledge (100), working knowledge (200) and application of knowledge and process (300). Future continuing training and career development courses will be designated as 400 Level courses.

Table 1 lists the 4 training tracks and matches each track to the current courses that support it.

Track	Applicability	Supporting Courses
General	All Federal employees if DOE O 226.1B is applicable to job position responsibilities.	1. SAF-101DE, <i>GTB</i> 2. DOE-110DE, <i>Oversight Fundamentals</i>
Level 1 Basic Oversight	Federal employees responsible for the implementation of the oversight process	Completion of the General track and:

		<ol style="list-style-type: none"> 1. DOE-120, <i>DOE Oversight and Implementation</i>, 2. DOE-130, <i>Performance Management Fundamentals</i> <p>If manager/supervisor,</p> <ol style="list-style-type: none"> 3. DOE-140, <i>Developing an Integrated Oversight Plans</i>
Level 2 Assessment	Federal employees who plan, conduct, analyze and report results of oversight assessments (Safety or Safeguards and Security)	<p>Completion of the General track and for safety:</p> <ol style="list-style-type: none"> 1. DOE-200DE, <i>Assessment Fundamentals</i> 2. DOE-210, <i>Assessment Prep</i> 3. DOE-220, <i>Assessment Techniques</i> <p>For security:</p> <ol style="list-style-type: none"> 4. PHY-128DE <i>Basic Survey Overview</i> 5. PHY-130 <i>Basic Survey</i> 6. VAP-335 <i>Fundamentals of Performance Testing</i>
Level 3 Performance Management	Federal employees responsible for implementation and/or oversight of performance measurement and feedback and continuous improvement	<p>Completion of the General track and:</p> <ol style="list-style-type: none"> 1. DOE-310, <i>Oversight Data Analysis and Reporting</i> 2. DOE-320, <i>Issues Management Fundamentals</i>

Table 1: Oversight Curriculum Tracks

Table 2 lists each course and provides additional information and new numbering scheme for each course.

Course	Course Objective	Supporting Oversight Elements	Instructional Setting
DOE-100DE <i>Federal Staff Orientation Training (Formerly SAF-101DE GTB)</i>	General Federal Staff Orientation Training	Orientation to DOE orders, policy, guides, contract management and program management	eLearning
DOE-110DE, <i>Oversight Fundamentals (Formerly SAF-380DE)</i>	Describe the purpose, scope and requirements of effective line management oversight	Foundational knowledge, purpose, scope, requirements of oversight	eLearning
DOE-120, <i>DOE Oversight & Implementation (Formerly SAF-384)</i>	Acquire the basic knowledge and skills to implement an oversight process used to conduct effective Federal line management oversight	Basic oversight process	Instructor-led
DOE-130, <i>Performance Management Fundamentals (Formerly SAF-386)</i>	Acquire the basic knowledge and skills to develop, implement, and utilize a performance management system.	Performance measurement, performance oversight	Instructor-led
DOE-140, <i>Developing an Integrated Oversight Plan (Formerly SAF-383)</i>	Develop an Integrated Oversight Plan (IOP) and explain the elements used to manage an IOP	Developing and managing an Integrated Oversight Plan	Instructor-led
DOE-200DE, <i>Assessment Fundamentals (Formerly SAF-285DE)</i>	Acquire the basic knowledge to plan, conduct and report oversight assessment activities	Performance oversight, contract management, oversight activities	eLearning
PHY-128DE <i>Basic Survey Overview</i>	Acquire the basic knowledge to plan, conduct and report oversight survey activities	Performance oversight, contract management, oversight activities	eLearning

DOE-210, <i>Assessment Prep (Formerly SAF-387)</i>	Develop an assessment plan including appropriate Criteria Review & Approach Documents (CRAD)	Assessment preparation	Instructor-led
PHY-130, <i>Basic Survey</i>	Utilize the basic skills necessary to perform effective safeguards and security assessments	Conducting oversight activities	Instructor-led
DOE-220, <i>Assessment Techniques (Formerly SAF-385)</i>	Utilize the basic skills necessary to perform effective assessments	Conducting oversight activities	Instructor-led
VAP-335, <i>Fundamentals of Performance Testing</i>	Utilize the basic knowledge and skills to analyze performance tests using modeling tools to determine system effectiveness.	Conducting oversight activities & data analysis	Instructor-led
DOE-310, <i>Oversight Data Analysis & Reporting (Formerly SAF-388)</i>	Utilize the basic knowledge and skills to analyze performance data and derive associated meaning for fact-based decisions	Data analysis & trending	Instructor-led
DOE-320, <i>Casual Analysis & Corrective Action Formerly (SAF-389)</i>	Utilize the basic principles, concepts, and processes to implement the casual analysis and corrective action elements of an issues management system.	Issues Management	Instructor-led

Table 2: Oversight Courses

Figure 3, Oversight Curriculum Model

