

Oversight Performance Competencies (PC)

PC 1: DOE Oversight Personnel shall perform oversight duties and responsibilities in their assigned functional area (s) per established DOE oversight directives¹

DOE Functional Area Oversight MPAs

1. Identify and document the scope of assigned functional area oversight in a functional area oversight plan

MPA Evaluation Requirements:

- a. Identify the baseline oversight requirements for assigned functional areas.
- b. Identify supplemental oversight requirements for assigned functional areas.
- c. Determine program performance and CAS confidence in assigned functional area.
- d. Determine risk of inadequate oversight in assigned functional area.
- e. Determine level and mix of oversight activities based on program performance, CAS confidence, and risk.
- f. Identify oversight activities that ensure functional area oversight requirements are met at the appropriate level and mix and document results in functional area oversight plan.

2. Conduct oversight activities included in the functional area oversight plan.

MPA Evaluation Requirements:

- a. Develop a Review Plan describing scope and purpose of an assigned functional area assessment.
- b. Develop and/or tailor an existing CRAD to define the depth and breadth of assigned functional area assessment.
- c. Conduct an assessment using appropriate data collection techniques (document review, interviews, and observations) per approved CRADS.
- d. Conduct an operational awareness activity for assigned functional areas.

3. Analyze and document oversight results and effectively communicate identified issues

MPA Evaluation Requirements:

- a. Analyze collected assessment data and determine if assigned functional areas are meeting the objectives and criteria contained in approved CRADS.
- b. Document the results of oversight activities using approved writing formats that provide sufficient information for line management and stakeholders to be cognizant of the status of functional areas being assessed.

¹ DOE Oversight Directives include the current versions of 1) DOE O 226, *Implementation of DOE oversight policy*, 2) DOE Directives that contain specific assessment requirements and 3) and program office specific oversight requirements.

- c. Properly categorize oversight activity results (e.g. discrepancies, findings, opportunities for improvement) based on approved organizational definitions.
 - d. Develop technically defensible issue statements that provide sufficient information for line management and stakeholders to be cognizant of the issues and their significance to the successful implementation of assigned functional area.
 - e. Analyze all available performance information assigned functional area to identify trends and determine whether performance expectations are being met.
4. Evaluate the effectiveness of the contractor's resolution of a significant DOE or contractor identified issue in assigned functional area.

MPA Evaluation Requirements:

- a. Evaluate whether the contractors determination of the significance of the given issue meet established criteria that includes as a minimum consideration of risk.
 - b. Evaluate whether the contractor's causal analysis was performed using an appropriate technique or combination of techniques and resulted in identification of root and contributing causes for the given issue.
 - c. Determine whether the contractor's corrective action plan includes appropriate corrective actions to address all the causes identified from the causal analysis performed in item (c).
 - d. Evaluate the results of the contractor's effectiveness review to determine whether the corrective actions effectively addressed the identified causes of the issue (this can be performed by participating in or shadowing the contractor's effectiveness review).
5. Participate in the resolution of an issue assigned to DOE Line Management ²that was identified during a DOE self-assessment or an independent external assessment (e.g. a readiness review, HQ EA assessment, IG, or DNFSB review).

MPA Evaluation Requirements

- a. Perform or participate in a causal analysis using an appropriate technique or combination of techniques to determine the causes of a given issue.
 - b. Development or participate in the development of a corrective action plan that includes appropriate corrective actions to address the causes from causal analysis performed in item (a).
6. Evaluate and provide input on contractor annual performance using the appropriate performance evaluation methodology for assigned functional areas.

² Participation in a contractor led causal analysis and corrective action plan development may be used to meet the MPA evaluation requirements if there are not any current DOE internal issues needing formal causal analysis to resolve.