



## Department of Energy

Washington, DC 20585

October 31, 1994

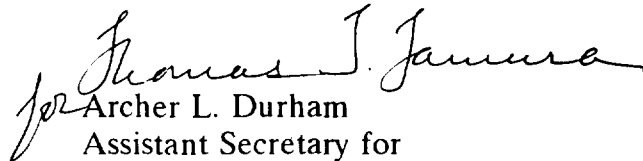
The Honorable John T. Conway  
Chairman  
Defense Nuclear Facilities Safety Board  
625 Indiana Avenue, NW, Suite 700  
Washington, DC 20004

Dear Mr. Chairman:

On November 4, 1993, the Department of Energy issued its Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 93-3, which required the Department to issue quarterly progress reports within 30 days of the end of every calendar quarter. Enclosed is the third Quarterly Report which contains an update of all activities occurring during the quarterly reporting period which ended on September 30, 1994.

Should you have any questions regarding the Quarterly Report, please contact Mr. Tom Evans, the Technical Personnel Program Coordinator, on 202-275-1717.

Sincerely,

  
for Archer L. Durham  
Assistant Secretary for  
Human Resources and Administration

TP-94-0077



**Quarterly Report**  
**Department of Energy**  
**Implementation Plan for**  
**Defense Nuclear Facilities Safety Board**  
**Recommendation 93-3**  
**Improving the Technical Capability in Defense Nuclear**  
**Facilities Programs**

**Reporting Period**  
**July 1 through September 30, 1994**

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## **1.0 Introduction**

This Quarterly Report for the Defense Nuclear Facilities Safety Board (Board) (DNFSB) Recommendation 93-3 Implementation Plan (Plan) covers the period from July 1 through September 30, 1994.

- All activities scheduled for completion during the reporting period were completed as planned. This includes nine deliverables for the reporting period. One of the nine deliverables was completed in June, 1994. One of the items scheduled for the reporting period was rescheduled to November, 1994 using the change control process established in Section 8.2 of the Plan.
- Significant efforts to obtain Excepted Appointment Authority continued resulting in language in the Defense Authorization Act of 1995 allowing 200 positions. This was passed by both Houses of Congress and was ready for final approval by the President.
- The Technical Personnel Coordinating Committee (TPCC) met on July 15, August 19, and September 23, 1994.
- The Technical Qualification Standard effort is now in full swing. The General Technical Base Qualification Standard was issued in August, 1994 and there were 23 functional areas selected for the Technical Specialist Qualification Standard. Efforts were started on eleven of the functional areas.
- The National Academy of Public Administration (NAPA) external review was completed and a strategy for adoption and implementation of accepted recommendations was issued.

## **2.0 Implementation Plan Schedule**

For the third quarter 1994, all tasks are proceeding on schedule and all Commitments have been met. During this period, 9 deliverables were completed on or before the due date. There has been one revision to a deliverable due date that was negotiated with the Board and is discussed under Functional Area 10.

Activities completed during the third quarter calendar year (CY) 1994 are as follows:

<b><u>Commitment</u></b>	<b><u>Description</u></b>
7.1	Issued Quarterly Report to the Board (July 94);
2.3	Implementation of policy and guidance developed regarding entry level technical recruitment policy and technical intern program (August 94);
4.4.2	Developed and issued General Technical Base Qualification Standard (August 94);
5.3	Issued Department of Energy (DOE) Order 5480.18B (August 94);
3.3	Developed and issued program guidance on technical succession planning and career path development (September 94);
4.1.2	Established selection, training, and qualification requirements for DOE technical staff responsible for evaluating contractor training and qualification programs (September 94);
4.3	Developed and issued a DOE training standard encompassing the systematic approach to training (September 94). [This deliverable was completed on June 29, 1994.];
5.7	Developed and issued guidance for contracting offices in providing contract direction and contract incentives to Management and Operating (M&O) contractors to upgrade defense nuclear facility training and qualification program performance (September 94); and
6.1	Developed a strategy for adoption and implementation of accepted recommendations from the external review (September 94).

## Cont. 2.0 Implementation Plan Schedule

Activities scheduled for the fourth quarter calendar year 1994 are as follows:

<u>Commitment</u>	<u>Description</u>
3.1	Issue a report on educational initiatives
4.1.3	Approve training and qualification requirements for Federal Personnel involved in technical training programs
4.2.1.2	Complete updated Individual Development Plans (IDPs) for technical personnel involved with defense nuclear facilities
4.4.3	Develop and issue Technical Qualification Standards for Technical Managers
5.6.1	Develop and issue guidance on contractor training programs related to organizational structure
7.1.3	Issue the third quarter calendar year quarterly report to the Board.
5.4	Approve revision of DOE Order 5480.20 (Revised Date)
3.2.2	Develop and issue technical specialist Qualification Standards
4.5	Issue an updated version of the DOE Technical Training Course Catalog
4.6	Approve and issue a DOE Order governing training for Federal technical employees
4.7	Approve a performance appraisal policy and guidance document
4.8.3	Fully implement the performance indicator system.

### 3.0 Commitment Status

Commitment	Due Date	Status	Completion Date/Reference
1.1	Oct 93	Complete	10/29/93 Policy
1.2	Feb 94	Complete	2/22/94 Durham Memo
1.3	Sept 93	Complete	9/30/93 Appointment
1.4	Feb 94	Complete	2/28/94 Durham Memo
Target Date	4th Qtr 94	Open	
1.5	June 94	Complete	6/20/94 Durham Memo
Target Date	4th Qtr 94	Open	
Target Date	4th Qtr 94	Open	
2.1 - 1 of 2	ASAP	Open	
Target Date	Jan 94	Complete	1/31/94 Evans Memo
Target Date	March 94	Complete	3/31/94 Evans Memo
2.1 - 2 of 2	March 94	Complete	3/31/94 Evans memo
2.2	May 94	Complete	5/23/94 Evans Memo
Target Date	3rd Qtr 95	Open	
2.3 - 1 of 2	March 94	Complete	3/31/94 Durham Memo
Target Date	August 94	Complete	8/19/94 Dirks Memo
2.3 - 2 of 2	ASAP	Open	
2.4 - 1 of 2	Jan 94	Complete	1/31/94 Evans Memo
2 of 2	March 94	Complete	3/31/94 Evans Memo
3.1	Oct 94	Open	
3.2 - 1 of 2	June 94	Complete	6/15/94 Evans Memo
2 of 2	Nov 94	Open	
3.3	Sept 94	Complete	9/27/94 Dirks/Evans
Target Date	First Qtr 95	Open	

Commitment	Due Date	Status	Completion Date / Reference
4.1/4.1.1	June 94	Complete	6/29/94 Volpe Memo
<b>Target Date</b>	<b>4th Qtr 94</b>	<b>Open</b>	
4.1.2	Sept 94	Complete	9/28/94 Evans Memo
4.1.3	Oct 94	Open	
<b>Target Date</b>	<b>2nd Qtr 95</b>	<b>Open</b>	
4.1.4	June 95	Open	
4.2/4.2.1- 1 of 2	Feb 94	Complete	2/28/94 Durham Memo
2 of 2	Oct 95	Open	
<b>Target Date</b>	<b>2nd Qtr 95</b>	<b>Open</b>	
4.2.2	April 94	Complete	4/29/94 Durham Memo
4.3	Sept 94	Complete	6/30/94 Durham Memo
4.4/4.4.1	June 94	Complete	6/30/94 Durham Memo
4.4.2	Aug 94	Complete	8/03/94 Evans Memo
4.4.3	Oct 94	Open	
4.4.4	Dec 94	Open	
4.4.5	Dec 95	Open	
4.5	Dec 94	Open	
<b>Target Date</b>	<b>4th Qtr 95</b>	<b>Open</b>	
4.6	Dec 94	Open	
4.7	Dec 94	Open	
4.8 - 1 of 3	April 94	Complete	4/29/94 Evans Memo
2 of 3	June 94	Complete	6/15/94 Evans Memo
3 of 3	Dec 94	Open	



Commitment	Due Date	Status	Completion Date / Reference
5.1/5.1.1 5.1.2 - 1 of 2 2 of 2 <b>Target Date</b> 5.2 5.3 - 1 of 2 2 of 2 5.4 5.5 5.6/5.6.1 5.6.2 5.7 5.8 - 1 of 2 2 of 2	Dec 93 Feb 94 June 94 <b>4th Qtr 95</b> April 94 Feb 94 Aug 94 Nov 94 Jan 94 Oct 94 Oct 95 Sept 94 Jan 94 June 94	Complete Complete Complete <b>Open</b> Complete Complete Complete Open Complete Complete Open Open Complete Complete Complete	1/28/93 Durham Memo 2/28/94 Evans Memo 6/30/94 Evans Memo  4/29/94 Evans Memo 2/28/94 Evans Memo 9/16/94 Evans Memo  1/31/94 Evans Memo   9/30/94 Evans Memo 1/31/94 Durham Memo 6/30/94 Evans Memo
6.1 - 1 of 3 2 of 3 3 of 3	Feb 94 June 94 Sept 94	Complete Complete Complete	2/28/94 Evans Memo 6/30/94 Evans Memo 9/23/94 Dirks, Evans Memo
7.1	Jan 94 April 94 July 94 Oct 94 Jan 95 April 95 Oct 95 Jan 95	Complete Complete Complete Open Open Open Open Open	1/31/94 Durham Memo 4/29/94 Durham Memo 7/29/94 Durham Memo

93-3 Quarterly Report

## 4.0 Activities

This section of the report provides a brief narrative discussion on actions being taken on the ten functional areas and related initiatives in the Implementation Plan. Section 4.11 highlights the reporting period meetings and Section 4.12 discusses related activities. Shaded text indicates that activities were previously documented and no further changes are noted.

The activities are listed in the same order as the functional area breakdown. This list is included as Attachment 5.1 for reference.

### 4.1 Functional Area 1: Technical Personnel Organization and Policy

**Commitment 1.1**      **Technical Excellence Policy**  
The Department developed and issued a Technical Excellence Policy on October 29, 1993. This completes Commitment 1.1.

**Commitment 1.2**      **Technical Excellence Executive Committee**  
The Technical Excellence Executive Committee was established in February, 1994. The first meeting was held on June 3, 1994. The meeting discussions centered on the role the Committee would play within the Department and a review of the implementation of the 93-3 Plan. Agenda items reviewed included Technical Qualification Standards, excepted service, the Technical Leadership Development Program, selected performance indicators and the external assessment.

The Technical Excellence Executive Committee (TEEC) is scheduled to meet in November 1994. Items that will be on the agenda include: the TEEC charter; Discussing Technical Qualification Standards (General Technical Base, Technical Manager and Facility Representative); and the recommendations and strategy for responding to the National Academy of Public Administration (NAPA) external review.

**Commitment 1.3**      **Technical Personnel Program Coordinator**  
The Technical Personnel Program Coordinator was selected in September 1993. Mr. Thomas W. Evans was appointed and his permanent dedicated assignment to this role completes Commitment 1.3.

Commitment 5.5

### **Technical Personnel Coordinating Committee**

The Technical Personnel Coordinating Committee (TPCC) was established during the first committee meeting held on January 12-13, 1994. This action completes Commitment 5.5. Meeting minutes were issued on January 31, 1994, highlighting the meeting objectives, activities and path forward.

There was an additional TPCC meeting conducted on March 16, 1994 using the televideo conferencing system. Minutes for this meeting were issued on March 21, 1994. This meeting covered the progress of the 93-3 initiatives and reviewed plans for upcoming milestones.

There was a TPCC meeting held using the teleconferencing system on April 22, 1994 to review the status of the 93-3 Plan initiatives. The TPCC also held a meeting on June 16, 1994, in Knoxville, TN. This meeting covered status of deliverables, the Qualification Program, Performance Indicators, and a roundtable discussion of issues the Committee should resolve. Meeting minutes were generated for both meetings.

The TPCC met on July 15, August 19 and September 23, 1994 using the video teleconferencing system to review the status of the 93-3 Plan initiatives. Meeting minutes were generated for all meetings.

## **4.2 Functional Area 2: Recruitment Initiatives**

Commitment 2.1

### **Excepted Service**

DOE Office of Personnel & DNFSB staff met with Office of Personnel Management (OPM) personnel to advise OPM of the Department's need for Excepted Service and to solicit support for the Department's legislative initiative (11/12/93). Headquarters & Operations Officers were surveyed on excepted service system needs and projected utilizations (12/17/94). Draft legislative language is being developed and will be provided to the Assistant Secretary for Congressional and Intergovernmental Affairs (CI).

During the past months, the Technical Personnel Program Coordinator (HR-1.5) and the Deputy Assistant Secretary for Human Resources (HR-3) with the Office of Congressional and Intergovernmental Affairs conducted briefings on Excepted Appointment Authority for Congressional staff from the following Committees: House Energy and Commerce, House Armed Services, Senate Armed Services, Senate Governmental Affairs, and the Senate Energy and Natural Resources.

The Department's proposed language to establish an Excepted Appointment Authority has been agreed to by the Office of Management and Budget and the Office of Personnel Management. However, this agreement was reached too late to be considered in the House of Representatives' Department of Energy National Security Act.

Language for the Act was introduced by Senator Nunn (D-GA) when the Department of Energy's National Security Act was debated on the Senate floor on July 1, 1994. The language introduced was similar to the Department's language with the major exception that Senator Nunn's language included a termination date of September 30, 1997. The Department's language allowed either the termination date of September 30, 1997 or earlier if the National Performance Review is enacted. Another minor change states to the maximum extent practicable appointments will be made in accordance with the merit system principles. The Senate adopted the language by a voice vote. Excepted Appointment Authority is in the Senate legislation and not in the House legislation therefore, it is an item for the Conference Committee to consider. Conference Committee for the National Security Act will start the week of July 18, 1994.

The Defense Authorization Act of 1995 has been passed by both Houses of Congress and signed by the President. This legislation includes a provision allowing the Department to hire 200 individuals using "Excepted Appointment Authority". The legislation allows the Department to hire up to 100 individuals during the first year. After the first 50 individuals have been hired, the Department must conduct a survey to determine where the individuals were hired from and assess if this causes any adverse impact to other Departments in government. This study is to be submitted to Congress.

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Commitment 2.2 **Administrative Process**  
Recruiting, Hiring, and Retaining High Quality Technical Staff, A Manager's Guide to Administrative Flexibilities was distributed on May 23, 1994. This handbook covers the tools available, referred to as administrative flexibilities, to enhance the Department's ability to compete in the labor market for technical personnel. The flexibilities center on recruitment, hiring and retention techniques and bonuses.

Commitment 2.3 **Technical Intern Program**  
The Technical Leadership Development Program Plan was approved on March 31, 1994. This plan establishes a centralized technical intern program for the Department of Energy. The plan was modeled after the Defense Programs Intern Plan and modified by a total quality management process using complex-wide input.

There were approximately 600 applications for 25 intern positions. The applications were screened and approximately 60 applicants were interviewed in April 1994 to determine this year's intern class. Information concerning the intern class selected was included as Attachment 5.2 to the Third Quarter Calendar year 1994 Quarterly Report.

The Technical Leadership Development Program (Interns) completed Part A of the professional and technical training portion. This portion addressed topics such as Environmental Laws and Regulations, Total Quality, 7 Habits, and Ethics Training. In September, the interns started their Headquarters (HQ) rotational assignments that are scheduled to end in March 1995.

The recruitment for the Technical Leadership Development Program class should be a challenging process. Over 1200 applications have been received for the next year's class without the benefit of spring recruiting.

Commitment 2.4 **Near-Term Recruitment Strategy**  
The near-term strategy to take advantage of immediately available opportunities was issued in January 1994. When this commitment was established, it was anticipated that the early retirement initiatives would be immediately approved and a large number of open positions would be available by the end of the

year. The Buyout Bill was subsequently approved in March 1994, and is being reviewed for Department applicability and use. The Assistant Secretary for Environmental Management has been given approval to hire additional employees during the remainder of FY 1994. The current strategy is designed to support Environmental Management near-term recruitment.

**4.3 Functional Area 3: Succession Planning and Career Path Development**

**Commitment 3.3 Succession Planning and Career Path Development**  
The development of program guidance on technical succession planning and career path development was completed and issued in September 1994. The deliverable reviews the major Departmental initiatives to ensure the availability of highly qualified personnel for accomplishing its mission. Efforts in this area include the development of a succession planning model for technical positions covered by the Technical Qualification Program which will be implemented by the first quarter of calendar year 1995. A focus group will be meeting in October to develop the technical succession planning model. Updates will be provided in future quarterly reports.

**4.4 Functional Area 4: Education Programs**

**Commitment 3.1 Graduate Technical Education Programs**  
An Educational Initiatives Working Group has been formed to expand educational opportunities for Federal employees throughout the DOE system. This group has been tasked to review a DOE-Wide Fellowship Program Guide and to provide data regarding existing programs between Program and Operations Offices and local colleges and universities. This working group is made up of representatives from each Program and Operations Office.

A report on the status of graduate technical education programs and related items is being developed for issue by October 1994. This report will be included as an attachment to the fourth quarter 1994 Quarterly Report.

Commitment 3.2

**Performance Indicators and Appraisal Elements**

Performance indicators for individual educational achievements were developed by Human Resources, Office of Professional and Technical Training and Development. These indicators were included in the June 1994 Technical Personnel Performance Indicator Report. The first item being followed is the number of Technical Personnel in each Office currently receiving tuition assistance to pursue additional educational opportunities.

For the third quarter 1994 Technical Personnel Performance Indicator Report, two additional educational performance indicators are being added. The report will include the breakdown of formal education for technical employees. In addition, a description of the advanced degree programs for technical employees will be discussed.

The specific performance elements for appraisal plans of supervisory and non-supervisory technical personnel will be completed in conjunction with Commitment 4.7.

**4.5 Functional Area 5: M&O Contractor Training and Qualification**

Commitment 5.1

**Training Implementation Matrices**

The schedule for approving all remaining Training Implementation Matrices (TIMs) was issued in February 1994. The Department is proceeding with having all TIMs approved by June 1994. These actions are proceeding and will be tracked by the Technical Personnel Performance Indicator Report until completion. The Target date for achieving compliance with DOE Order 5480.20 is the Fourth Quarter 1995.

The Department approved all Training Implementation Matrices for defense nuclear facilities by June 1994. The issue of approving outstanding TIMs to meet DOE Order 5480.20 has been a management priority in the Department and a continuing focus issue for the Technical Personnel Program Coordinator's Office.

Since the approval of our Implementation Plan on November 4, 1993, there have been 29 TIMs approved for defense nuclear facilities. Of these 29, 19 of the TIM approvals were completed in June 1994. The completion of this deliverable involved a

great deal of coordination effort and work to ensure all approvals would be completed by June 30, 1994. In addition, before approval of the Implementation Plan, ten other TIMs were approved during the four month effort to respond to the Board's 93-3 Recommendation.

The quarterly Technical Personnel Performance Indicator Report will continue to provide a status of the approval and implementation of all TIMs to meet DOE Order 5480.20. This status will reflect those facilities with previously approved TIMs and non-defense nuclear facilities TIMs. Additionally, facilities recently classified as nuclear facilities will use this quarterly reporting system to track and ensure defense nuclear facility TIM implementation is achieved by the 93-3 Implementation Plan target date of the Fourth Quarter 1995.

#### **Training Program Accreditation Plans**

Commitment 5.2

The Training Program Accreditation Plans (TPAPs) status report was issued in April 1994. The requirement for quarterly reports is being addressed by following the status of TPAPs in the Technical Personnel Performance Indicator Report.

#### **DOE Order 5480.18A**

Commitment 5.3

A status for interim guidance updating the list of applicable facilities required to implement DOE Order 5480.18A was issued in February 1994. The results of this review will be included in the quarterly review of TPAPs in the Technical Personnel Performance Indicator Report.

The Department Order 5480.18B, Nuclear Facility Training Accreditation Program, was approved on August 31, 1994. The Order and Training Accreditation Plan (TAP) manuals have been revised to reflect the changes in facility status and Departmental responsibilities, and to provide clear and concise guidance to M&O contractors regarding implementation of the Order. The list of applicable facilities contains 14 facilities, three of which are in standby status. Facilities in standby status are not required to meet the Order as long as they remain in standby status.



**DOE Order 5480.20**  
Commitment 5.4 The Department is revising DOE Order 5480.20 to incorporate lessons learned and to update the responsibilities section. The revised Order was sent out for comment in August 1994. There was not sufficient time to resolve the comments and issue the Order by the original due date of September 30, 1994. A revised due date of November 15, 1994 was requested by the Department in accordance with the direction provided in Section 8 of the 93-3 Implementation Plan. The change was discussed with the General Counsel of the Board and acknowledged by the Board before the formal change was processed.

**Organization of Contractor Training Units**  
Commitment 5.6 The actions necessary to review and strengthen contractor organizations responsible for training and qualification have been drafted and distributed for comment. Additional updates and progress will be discussed in upcoming quarterly reports.

**Guidance for Contracting Offices regarding T&O Initiatives**  
Commitment 5.7 The guidance for contracting officers regarding training and qualification initiatives was drafted by an ad hoc committee consisting of representatives from Operations and Program Offices. The Technical Personnel Program Coordinator transmitted this guidance to the Director, Contract Reform Project Office. In addition, the guidance was distributed to the Technical Personnel Coordinating Committee requesting input from Federal personnel and soliciting input from M&O contractors. This additional information will be reviewed, summarized and provided to the Contract Reform Project Office by December 1994.

The Contract Reform Team is the Department's central focus for contracting initiatives. It was established in 1994 after the 93-3 Implementation Plan was issued. The Contract Reform Team will review and use the guidance as appropriate. The progress of this activity will be updated in future quarterly reports.

**4.6 Functional Area 6: Oversight of Training and Qualification Programs**

**Department Policy on Roles and Responsibilities**  
Commitment 1.4 An interim policy and guidance document was issued on February 28, 1994 addressing the roles and responsibilities

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within the Department to evaluate technical training and qualification programs at defense nuclear facilities. This item has a target date for implementation in the fourth quarter 1994. Implementation will be tracked and followed in the Technical Personnel Performance Indicator Report.

Commitment 4.1.1 **Evaluation of Contractor Training and Qualification (T&O)**  
A peer group has been established to develop and issue guidance to Operations and Program Offices regarding the evaluation of contractor training and qualification programs. The document was completed and issued on June 30, 1994.

Commitment 4.1.2 **T&O Requirements for Federal Personnel Performing Contractor Evaluations**  
The Qualification Standard for Personnel Evaluating Technical Training and Qualification Programs was issued on September 28, 1994. This standard identifies the competencies required to evaluate contractor training and qualification program's processes and management.

**4.7 Functional Area 7: Training Organization, Administration and Infrastructure**

Commitment 1.5 **Policy and Guidance**  
The Federal employee training standard, Professional Development of Federal Technical Personnel, was completed and distributed at the end of June. This standard meets Commitments 1.5, 4.3, and 4.4.1. This document was developed through a series of Technical Excellence Workshops which included participation from each Program and Operation Office.

Commitment 4.1.3 **T&O Requirements for Federal Trainers**  
The effort to establish selection, training and qualification requirements for Federal training staffs is near completion and will be issued in October 1994.

Commitment 5.8 **Training Assistance Teams**  
The Training Assistance Program was initiated in January 1994 and is now fully operational. The Technical Personnel Program

Coordinator initiated the Training Assistance Team Program and is responsible for its continued development and enhancement. A memorandum describing the Training Assistance Program was issued on June 30, 1994. One training assist visit has been conducted.

4.8 Functional Area 8: Technical Employee Qualification Programs

**Individual Development Plans**

Commitment 4.2.1 Guidance was issued to all technical organizations to verify, establish or revise Individual Development Plans (IDPs) or ensure their equivalent are adequate. This guidance was issued on February 28, 1994. All IDPs should be completed by October 1994, for appropriate technical personnel. IDP completion is being tracked in the quarterly Technical Personnel Performance Indicator Report.

As of September 30, 1994, the majority of Operations and Program Offices were completing their individual development plans (IDPs) for technical personnel. Over 80% were complete and aggressive efforts were underway to complete the remainder.

**Guidance for Qualification Standards**

Commitment 4.4.1 Guidance relating to the technical qualification standards are covered in the Federal Employee Training Standard which was issued on June 30, 1994. This item is now complete and an organized effort to complete qualification standards is underway.

**Technical Base Qualification Standards**

Commitment 4.4.2 The General Technical Base Qualification standard was issued on August 3, 1994. This standard addresses baseline competencies required for technical personnel. It is broad based and includes eight areas. These eight sections contain competency statements and associated knowledge and skill statements in the following areas:

**Development of Formal Training Classes**

Commitment 4.5 Efforts are being made to link course objectives with Federal qualification requirements so that DOE is assured that courses listed in the on-line course catalog meet DOE specific needs. Progress regarding this activity will be reported in future quarterly reports.

**DOE Order on Federal Training**

Commitment 4.6 The Federal training standard issued in June 1994 will be utilized in implementing training and qualification requirements for Federal technical personnel. The standard will be incorporated into a revised DOE Order which will be issued in December 1994.

**4.10 Functional Area 10: Management Information System**

**External Assessment**

Commitment 6.1 An independent external assessment is currently being performed by the National Academy of Public Administration. A baseline assessment was presented by the National Academy of Public Administration to the Technical Personnel Program Coordinator on June 28, 1994.

The National Academy of Public Administration (NAPA) completed their independent external assessment on August 31, 1994. Their formal report contains 27 recommendations with detailed backup and observations. To adequately address and assess the NAPA report, the Department issued a strategy for the review, adoption and implementation of accepted recommendations from NAPA's external review. This strategy was issued on September 23, 1994, and contains a four step process culminating in a Departmental report with approved initiatives and actions. The efforts in this area will be reported in future quarterly reports.

**Technical Personnel Performance Indicator Report**

Commitment 4.8 A management report, the Technical Personnel Performance Indicator Report, which monitors and assesses the effectiveness of both Federal and contractor training and qualification initiatives was completed on April 30, 1994. The first report was a text report outlining the concept for selecting and tracking performance indicators. This report is being used primarily to monitor the implementation of Operations Office and Program

Office activities required to meet target date initiatives specified in the Recommendation 93-3 Implementation Plan.

The first two indicators track the completion and approval of Training Implementation Matrices (TIMs) and the development and updating of the Individual Development Plans. This data was summarized and reported at the Technical Excellence Executive Committee meeting held on June 3, 1994. The Technical Personnel Performance Indicator Report for the second quarter was issued on June 15, 1994 to complete the second part of the commitment. This report added the TPAP status and the educational performance indicator item.

The results from the second quarter were compiled and issued to Offices on August 12, 1994. The Technical Personnel Performance Indicator Report (TPPIR) request for third quarter data was completed. Data will be retrieved from the Operations and Programs Offices and the results will be tabulated in early November. The report will review status and progress on the following initiatives:

1. Individual Development Plans;
2. Training Implementation Plans;
3. Training Program Accreditation Plans;
4. Educational Performance Indicators; and
5. Implementation of Target Date Initiatives.

#### **Quarterly Progress Reports to the Board**

Commitment 7.1

The Interim Report was issued on January 31, 1994. The Interim Report contained an update of all activities occurring between the issuance of the Implementation Plan and the end of the calendar year. The format of the Interim Report is being adopted for future quarterly reports.

The first Quarterly Report to the Board was issued on April 30, 1994. This reporting period covered the First Quarter Calendar Year 1994.

The Quarterly Report to the Board covering the second quarter was issued to the Board on July 29, 1994. At the end of the reporting period the next report was being compiled.

### **93-3 Quarterly Report**

### Change Order Process

Commitment 8

The provision of Commitment 8.2 is being invoked.

1. DOE Order 5480.20A Commitment 5.4  
DOE Order 5480.20A, Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities, was distributed for final review and comment on August 31, 1994. As discussed in the two previous quarterly reports, there was concern that if we elected to wait for the new rule to be issued and not to process the Order revision in parallel we could impact the due date. The previous strategy was based on issuing all new Rules at the same time, and if possible, issuing the new Training Rule instead of an additional Order revision to save time and money. The Order revision was prepared in April. When it became obvious the new Rule would not be issued we began to processing the Order revision. The volume of comments received could not be processed in time to meet the original deliverable due date of September 30, 1994. It became apparent that we had not allocated sufficient time to complete a proper comment resolution process for the Order revision in mid-September.

The Technical Personnel Program Coordinator (TPPC) discussed the issue with the Assistant Secretary for Human Resources and Administration. The TPPC then discussed the issue with the Board's General Counsel. Using the change control process available in Section 8.2 of the Implementation Plan, the Department notified the Board of the need for a revised deliverable due date. After negotiations and concurrence from the Board's General Counsel, the Department submitted a change request to revise the deliverable due date to November 15, 1994. As required by the Plan, these actions took place and were completed prior to the initial September 30, 1994 deliverable due date.

Commitment 5.4 of the Plan specifies that "Guidance for the application of performance-based training requirements at facilities that assemble and disassemble weapons" be addressed in the revision. The revision to Order 5480.20 will not address this item because it has been addressed in the Department's Implementation Plan for Recommendation 93-1. Specifically, the 93-1 Plan requires that by January 13, 1995 the Department "Adopt by reference, DOE Order 5480.20 for nuclear explosive

3. Workshops were held weekly throughout the quarter to develop the various Qualification Standards required in the Implementation Plan.
4. Numerous meetings and briefings were held to obtain and implement Excepted Appointment Authority.
5. Informal meetings continued with the Board's General Counsel and staff to keep them apprised of ongoing activities.
6. The National Academy of Public Administration interviewed Department management regarding the external assessment being conducted. In addition, a final briefing was given to the Department on August 29, 1994, addressing their external assessment final report.

Meetings planned for the third quarter calendar year 1994 are as follows:

1. Monthly TPCC meetings with a face-to-face meeting in December at the Savannah River Operations Office.
2. The Technical Excellence Executive Committee is scheduled to meet in November 1994.
3. Monthly meetings will continue with the Board's General Counsel.
4. Routine meetings will continue with the Board's staff to keep them updated on the implementation of 93-3 initiatives and other related recommendations.
5. Weekly workshops will be held to complete the ongoing Qualification Standard efforts.

#### 4.12 Related Activities

The following related activities occurred during the reporting period:

- The TPPC and/or his Deputy personally visited with members from the following locations:

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1. Rocky Flats;
  2. Savannah River;
  3. Idaho;
  4. Oak Ridge; and
  5. Oakland.
- Three meetings were held with Environmental Management to review their roles and responsibilities in the 93-3 Implementation Plan.
  - Meetings were held with Department staff to ensure that related commitments in Implementation Plans for Recommendations 91-6, 92-2, 92-4, 93-1 and 93-6 are properly integrated.
  - The TPCC meetings and agendas are being expanded to help resolve other training related issues such as On-Track vs. Learn, the Energy Technical Training Center, electronic IDPs, budgetary constraints, and sharing of materials with non-defense programs within the Department.



ATTACHMENT 5.1

**DNFSB 93-3 IMPLEMENTATION PLAN  
FUNCTIONAL AREAS**

- 1. Technical Personnel Organization and Policy - Tom Evans**
  - 1.1 Technical Excellence Policy
  - 1.2 Technical Excellence Executive Committee
  - 1.3 Establish TPPC
  - 5.5 Establish Technical Personnel Coordinating Committee
  
- 2. Recruitment Initiatives - Anita Sciacca**
  - 2.1 Excepted Service
  - 2.2 Administrative process
  - 2.3 Technical intern program - Tomasina Mathews
  - 2.4 Near-term recruitment strategy
  
- 3. Succession Planning and Career path development - Anita Sciacca**
  - 3.3 Succession planning and career path development program
  
- 4. Education Program**
  - 3.1 Graduate technical education programs
  - 3.2 Performance indicators and appraisal elements related to education
  
- 5. M&O Contractor Training and Qualification - Nick Delaplane**
  - 5.1 TIMs status, schedule for implementation, and approval
  - 5.2 TPAP status and reporting
  - 5.3 Revise DOE Order 5480.18A
  - 5.4 Revise DOE Order 5480.20
  - 5.6 Organization of contractor training units
  - 5.7 Guidance for contracting officers regarding T&Q initiatives
  
- 6. Oversight of Training and Qualification Programs - Terry Frizzell**
  - 1.4 Departmental policy on roles and responsibilities
  - 4.1.1 Program and process for evaluation of contractor T&Q
  - 4.1.2 T&Q requirements for Feds performing contractor T&Q evaluation

9. **Occupational Safety**
  - expertise in areas such as federal, state and local laws and regulations related to occupational safety, construction safety, personnel protective equipment requirements, electrical safety, and transportation safety programs.
10. **Emergency Management**
  - expertise in areas such as federal, state and local emergency preparedness laws, facility emergency preparedness programs, facility emergency management engineering systems, risk assessment, and root cause analysis.
11. **Civil/Structural Engineering**
  - expertise in areas such as seismic design and engineering, facility foundation and structural design and modifications, and structural design and safety requirements related to nuclear facilities.
12. **Construction Management & Engineering**
  - expertise in areas such as facility design methodology, surveying, site preparation, reading and interpreting blueprints and specifications, industrial construction methods, construction project management, and construction contracting.
13. **Project Engineering**
  - expertise in areas such as project management and control systems, facility modification programs, cost control, scheduling, value engineering and configuration management.
14. **Mechanical Systems**
  - expertise in applied facility engineering and design related to pumps, valves, piping systems, nuclear ventilation systems, emergency diesels, turbines, and heat exchangers.
15. **Electrical Systems**
  - expertise in applied facility engineering and design related to electrical distribution systems, motors, generators, battery systems, emergency power supplies, and electronic control systems.
16. **Instrument and Control**
  - expertise in areas such as process control system design and operation, control loop troubleshooting, process system instrumentation, and maintenance and repair of process system components.

17. **Facility Maintenance Management**
  - expertise in areas such as maintenance engineering programs, post-maintenance testing, predictive and preventive maintenance programs, and work control systems.
18. **Environmental Compliance**
  - expertise in areas related to environmental laws and regulations, water quality management programs, air quality management programs, pollution prevention, and license and permit processes and requirements.
19. **Environmental Restoration**
  - expertise in the following areas as they relate to environmental restoration projects: environmental laws and regulations, license and permit processes and requirements, site characterization processes, hazard classifications, and decontamination and decommissioning processes and requirements.
20. **Waste Management**
  - expertise in areas such as federal, state and local laws and regulations related to storage and handling of hazardous waste, nuclear and non-nuclear waste management engineering systems, waste minimization programs, and waste transportation regulations.
21. **Quality Management**
  - expertise in areas such as nuclear and non-nuclear facility quality assurance program requirements, quality control programs and systems, audit and inspections programs and techniques, root cause analysis, and nuclear weapons quality assurance and control programs.
22. **Technical Training**
  - expertise in areas such as technical training and qualification program design, development, implementation and evaluation for contractor and federal technical personnel.
23. **Safeguards and Security**
  - expertise in areas such as control, accountability, and transportation of special nuclear material, physical security, counterintelligence, communications security, and classification of information.