

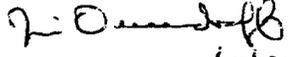


## Department of Energy

Washington, DC 20585

October 7, 1998

MEMORANDUM FOR: STEVEN D. RICHARDSON  
CHAIR, FEDERAL TECHNICAL CAPABILITY PANEL

FROM: JAMES M. OWENDOFF   
ACTING ASSISTANT SECRETARY FOR ENVIRONMENTAL MANAGEMENT 10/8/98

SUBJECT: DNFSB RECOMMENDATION 93-3 - EM HEADQUARTERS PHASE I  
ASSESSMENT

The Office of Environmental Management (EM) has conducted its Phase I Assessment of the Technical Qualification Program (TQP). The Assessment, copy attached, was conducted in response to one of the internal actions to be taken to meet a commitment made in the Department's revised Implementation Plan (IP) for Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*. The Assessment was conducted by the Office of Training and Education (EM-13), EM's organization responsible for implementing the TQP and other DNFSB Recommendation 93-3 requirements. The Assessment relied on the objectives and criteria developed by the Federal Technical Capability Panel (FTCP) and the Office of Human Resources and Administration (HR), and a series of questionnaires prepared to assist in a path forward for a future program that is being developed consistent with the revised DNFSB Recommendation 93-3 IP.

In general, the Assessment found that EM has no active TQP program in place except for the sub-set Senior Technical Safety Manager/Advisor (STSM/A) program. EM was in the process of developing a TQP when concerns were raised by the National Treasury Employees Union (NTEU). Because the concerns could not be resolved with the NTEU, the EM TQP was put "on hold" in April 1996. To date, the concerns continue to remain unresolved, however, EM is taking steps to engage the NTEU in an effort to redesign and implement a program for its Headquarters organization.

Since the issuance of the revised DNFSB Recommendation 93-3 IP, EM has formed a team, the Technical Capability Program Implementation Team (TCPIT), with members from each of the EM Headquarters program offices. The NTEU has been asked to, and is, participating on the Team. EM senior management has approved the Team's charter and is committed to designing and developing a new technical capability program for EM Headquarters employees. The ultimate goal of the effort is to have a valid, effective, and efficient human resource development program for both technical and non-technical employees. It is expected that a new program will be developed that will meet the needs of EM Headquarters, satisfy the concerns raised by the NTEU, and meet the requirements of the Department and its commitments to the DNFSB.

If you have any questions, please contact Barry R. Clark, Acting Assistant Secretary for Management and Evaluation on 202-586-1665, or Michael Kleinrock, Acting Director of Training and Education on 202-586-4604.



# memorandum

DATE: OCT 06 1998

REPLY TO  
ATTN OF: EM-10

SUBJECT: DNFSB Recommendation 93-3 - EM Headquarters Phase I Assessment

TO: James M. Owendoff, EM-1

The Office of Environmental Management (EM) has conducted its Phase I Assessment of the Technical Qualification Program (TQP). The Assessment, copy attached, was conducted in response to one of the internal actions to be taken to meet a commitment made in the Department's revised Implementation Plan (IP) for Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*. The Assessment was conducted by the Office of Training and Education (EM-13), EM's organization responsible for implementing the TQP and other DNFSB Recommendation 93-3 requirements, and relied on the objectives and criteria developed by the Federal Technical Capability Panel (FTCP) and the Office of Human Resources and Administration (HR), and a series of questionnaires prepared to assist in a path forward for a future program that is being developed consistent with the revised DNFSB Recommendation 93-3 IP.

In general, the Assessment found that EM has no active TQP program in place except for the sub-set Senior Technical Safety Manager/Advisor (STSM/A) program. EM was in the process of developing a TQP when concerns were raised by the National Treasury Employees Union (NTEU). Because the concerns could not be resolved with the NTEU, the EM TQP was put "on hold" in April 1996. To date, the concerns continue to remain unresolved, however, EM is taking steps to engage the NTEU in an effort to redesign and implement a program for its Headquarters organization.

Since the issuance of the revised DNFSB Recommendation 93-3 IP, EM has formed a team, the Technical Capability Program Implementation Team (TCPIT), with members from each of the EM Headquarters program offices. The NTEU has been asked to, and is, participating on the Team. You approved the Team's charter and I believe are committed to designing and developing a new technical capability program for EM Headquarters employees. The ultimate goal of the effort is to have a valid, effective, and efficient human resource development program for both technical and non-technical employees. It is expected that a new program will be developed that will meet the needs of EM Headquarters, satisfy the concerns raised by the NTEU, and meet the requirements of the Department and its commitments to the DNFSB.

I recommend that you approve the attached Phase I Assessment Report by signing the attached memorandum to Steve Richardson, Chair of the FTCP. A draft of the report has been provided to the FTCP. If you have any questions, please contact me on 6-1665, or Michael Kleinrock on 6-4604.



Barry R. Clark  
Acting Deputy Assistant Secretary  
for Management and Evaluation

Attachment

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**U.S. DEPARTMENT OF ENERGY**  
**OFFICE OF ENVIRONMENTAL MANAGEMENT**

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**Technical Qualification Program**  
**Phase I Assessment**

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**Office of Management and Evaluation**  
**Office of Training and Education**  
**September 1998**

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## EXECUTIVE SUMMARY

The Office of Environmental Management (EM) has conducted a self-assessment of its Technical Qualification Program (TQP). The assessment was conducted to meet commitment 5.4.2 of the revised Department of Energy (DOE) Implementation Plan (IP) for Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*.

EM was in the process of developing a TQP when concerns were raised by the National Treasury Employees Union (NTEU). Those concerns included: the appropriateness of such a program when employees hired under Civil Service Rules were already considered to be qualified for the positions to which they were selected; and the use of such a program to determine staff that might be separated during a Reduction in Force. Because the issues could not be resolved at the time, the EM TQP was put "on hold" in April 1996. To date, the issues continue to remain unresolved, however, EM is taking steps to engage the NTEU in an effort to redesign and implement a program for its Headquarters organization. EM has, however, implemented the Senior Technical Safety Manager/Advisor (STSM/A) Program (a sub-set of the TQP) at Headquarters as a result of DNFSB concerns.

A small team was assembled to conduct the Phase I Assessment. The assessment generally relied on interviews and the use of questionnaires developed to identify program strengths, deficiencies, and general recommendations for improving the Program at EM Headquarters. In general, the assessment identified few strengths due to the suspension of the TQP in April 1996.

Since the issuance of the revised DNFSB Recommendation 93-3 IP, EM has formed a team, the Technical Capability Program Implementation Team (TCPIT), with members from each of the EM Headquarters program offices. The NTEU has been asked to, and is, participating on the Team. EM senior management has approved the Team's charter and is committed to designing and developing a new technical capability program for EM Headquarters employees. The ultimate goal of the effort is to have a valid, effective, and efficient human resource development program for both technical and non-technical employees. It is expected that a new program will be developed that will meet the needs of EM Headquarters, satisfy the concerns raised by the NTEU, and meet the requirements of the Department and its commitments to the DNFSB.

The results of this assessment will be used to appropriately design and develop a technical capability program for EM Headquarters. While there is no real program in place, there has been significant progress made in recent months. EM will continue to build upon the foundation of the TQP that was developed prior to its suspension.

## I. INTRODUCTION

### Background

The Department of Energy (DOE) Implementation Plan (IP) for Defense Nuclear Facilities Safety Board (DNFSB) Recommendations 93-3, *Improving The Technical Capability In Defense Nuclear Facilities Programs*, and 92-7, *Training and Qualification*, was issued November 4, 1993, and accepted by the Board on November 5, 1993. Included in the DNFSB Recommendation 93-3 IP was the creation of a Technical Qualification Program (TQP). The TQP, which was implemented by DOE Order 360.1, *Training*, dated May 31, 1995, applies to DOE Federal technical employees performing activities related to the technical management, oversight or operation of defense nuclear facilities. The Order required participants to complete the program by May 31, 1998.

The TQP consists of a three-tiered qualification process:

- a general technical base qualification standard, which includes core technical competencies applicable to all TQP participants;
- a functional area qualification standard which includes technical competencies applicable to most DOE technical positions (participants were presented with 24 functional area qualification standards from which to identify and participate in the one most appropriate to their duty position); and,
- a locally designed office/facility-specific qualification standard (to supplement the Departmental functional area qualification standards) applicable to a specific position and Office or Field location.

By April of 1996, the Office of Environmental Management (EM) had implemented a formal Technical Qualification Program (TQP). EM had enrolled and was tracking 50 Headquarters employees. On April 25, 1996, EM issued a memorandum suspending the development of Individual Development Plans (IDPs) and the TQP for all bargaining unit employees. This action was based on the impending negotiation between the DOE and the National Treasury Employees Union (NTEU) on the implementation of both the IDP Program and the TQP. On August 20, 1996, the DOE and NTEU signed a Memorandum of Understanding (MOU) in support of the continuation of the IDP process and the suspension was lifted by EM on September 11, 1996. This MOU did not affect the suspension of the TQP and the suspension still remains in affect pending negotiations between DOE and the NTEU.

In 1997, EM implemented (and continues to implement) its Senior Technical Safety Manager/Advisor (STSM/A) program (a sub-set of the TQP). EM identified 24 positions, all of which are non-bargaining unit positions, for inclusion in the STSM/A program. The program was designed to meet an action taken by the Department during the joint DOE/DNFSB Off-Site Conference held in June 1996. Currently, EM has 15 employees that are interimly qualified in the

program. Compensatory measures are in place for incumbents holding STSM/A positions and not yet qualified under the program .

In a letter to the Secretary dated April 2, 1997, the DNFSB expressed concern that 40 percent of the DNFSB Recommendation 93-3 IP commitments had not been met. In response, the Secretary of Energy recommitted the Department to improve Federal technical capabilities in a letter to the Board dated May 5, 1998, which also forwarded the revised DNFSB Recommendation 93-3 IP. Included in the revised plan is the commitment to evaluate the existing TQP by conducting a Phase I Assessment, addressing identified problem areas, and modifying the program accordingly. In July 1998, the DOE Office of Human Resources and Administration published draft *Technical Qualification Program Assessment Guidance and Criteria* under the authority of the DOE Federal Technical Capability Panel (FTCP). This document, which contains guidance for the Phase I Assessment, was used by EM in conjunction with the EM TQP Phase I Assessment planning.

The responsibility for implementing DNFSB Recommendation 93-3 in EM was assigned to the Office of Management and Evaluation's (EM-10's) Office of Training and Education (EM-13).

### **Purpose**

The EM Phase I Assessment will be used as the basis for revising, as appropriate, the direction of the TQP for EM Headquarters. Deficiencies in the TQP Plan will be corrected using the "Systematic Approach to Training Methodology" to identify position requirements, individual competencies, and developmental needs. The revised Plan will be provided to the FTCP for review to ensure that the plan is consistent with TQP principles.

EM will conduct a Phase II assessment after the TQP is revised in accordance with the revised TQP Plan, and after a period of implementation. EM will continue to conduct Phase II Assessments, periodically, for the duration of the Program.

The results of the Phase I Assessment will assist EM management in implementing/improving the EM TQP, determining the future direction of program implementation, and enhancing staff development activities as necessary.

The assessment was designed to evaluate the following:

- (1) extent to which EM TQP policy and procedures have been implemented in accordance with DOE O 360.1, *Training*;
- (2) perceived TQP strengths and weaknesses, including any proposed actions that might be considered to maintain strengths and mitigate weaknesses;

- (3) whether TQP activities satisfy the principles and commitments in the revised DNFSB Recommendation 93-3 IP, meet the technical qualification needs of each EM participant, and support the mission requirements of EM; and
- 4) effectiveness of EM staff development activities in supporting the TQP.

## **II. SCOPE AND METHODOLOGY**

### **Scope**

The EM Phase I Assessment was conducted based on the seven objectives outlined by the FTCP in its *Technical Qualification Program Assessment Guidance and Criteria*, July 1998. The assessment objectives are:

- demonstration of competence;
- competency levels;
- plans and procedures;
- qualification tailored to work activities;
- credit for existing technical qualification programs(s);
- transportability; and
- measurable.

The objectives and criteria (see Appendix A) were designed to evaluate the TQP of a Headquarters or Field office and are to be used consistently across the complex so that the results can be rolled-up and the Department can determine the general effectiveness of the TQP in ensuring the technical capability of the workforce at its defense nuclear facilities.

The EM Phase I Assessment evaluated the Headquarters TQP, and the sub-set STSM/A program. However, the EM TQP was suspended in April 1996, because of substantive concerns raised by the NTEU, the exclusive representative for Headquarters bargaining unit employees, that were never resolved. Since that time, there has virtually been no program, except to implement the STSM/A program as a result of concerns raised by the DNFSB. Therefore, it was determined that it would be appropriate to assess where EM was when the TQP was suspended, where EM is now, and use the assessment process to identify a strategy to design and develop an effective and hopefully mutually acceptable program to ensure the technical capability of employees in EM Headquarters in accordance with the revised DNFSB Recommendation 93-3 IP.

### **Methodology**

Because the EM TQP was suspended as a result of the concerns raised by the NTEU and because EM Headquarters has no TQP being implemented at Headquarters, the EM Technical Capability Program Implementation Team (TCPIT) decided that the Phase I Assessment should 1) evaluate

the TQP components in place before suspension, 2) evaluate the STSM/A program against the objectives and criteria, and 3) identify a path forward for implementing a new program for its Headquarters organization which will utilize the flexibilities allowed under the revised DNFSB Recommendation 93-3 IP.

The objectives and criteria outlined in the FTCP *Technical Qualification Program Assessment Guidance and Criteria*, July 1998, were used to evaluate the STSM/A program. In addition, information on the program from the STSM/A Program participants was obtained using a survey (see Appendix B), and random follow-up calls or visits that were made to several of those in the program. For the general TQP, the TCPIT decided to rely on two (2) questionnaires, one for managers and supervisors, and one for all EM Headquarters employees (Appendix B). Random follow-up calls or visits to the managers/supervisors and Headquarters employees were also made in an effort to better understand any specific comments that they may have had. Appendix B also includes the general results of the surveys as well as the results of the independent follow-up calls/or visits.

The follow-up calls and/or visits were made by an independent certified lead auditor for EM. The individual also conducted interviews of the principals within EM Headquarters responsible for the TQP and STSM/A program.

### **Assessment Team**

The Phase I Assessment was conducted over a several month period. This included planning and discussing the process with the TCPIT, formed within the EM Headquarters organization to design and develop the new program for technical capability in EM. The (TCPIT) is chartered, and is chaired by the Director of EM-13. It has membership from each EM Headquarters Program office, and representatives from the NTEU have been asked to participate. The TCPIT is acting in an advisory capacity on the Phase I Assessment, and was instrumental in developing the questionnaires. In fact, the use of the questionnaire for all EM Headquarters employees for the purpose of soliciting input in the design of the new EM Headquarters program was suggested by one of the NTEU representatives.

The actual assessment team was lead by Mr. Michael Kleinrock, Director of the Office of Administrative Services (EM-12), and Acting Director of EM-13. Other team members include: Ms. Joni Boone, EM-13; Mr. Larry Vaughan, EM-10; and Mr. J. Steve Voelkel and Ms. Pamela Logan, Communications Training Analysis Corporation (CTAC), who provided technical support to the effort. Brief biographies of the team members are included in Appendix C.

## **III. PHASE I ASSESSMENT RESULTS**

The results of the EM Phase I Assessment are intended to 1) identify strengths and weaknesses in the current EM TQP and STSM/A program, 2) formulate corrective actions, as appropriate, to

address the weaknesses, and 3) assist in designing and developing the new technical capability program for EM Headquarters. While the results of this assessment will focus on technical capability and developmental needs, it is the ultimate goal to have a viable and active **human resources development** program for all (technical and non-technical) EM Headquarters employees.

As noted in the methodology applied for this assessment, EM Headquarters suspended its TQP because of concerns raised by the NTEU. EM did, however, implement its STSM/A program consistent with the results of the DOE/DNFSB Offsite Meeting held in June 1996, and the *STSM Handbook*, May 1997. For each objective and criteria contained in the *Technical Qualification Program Assessment Guidance and Criteria*, July 1998, there will be an explanation of what was done with the TQP up until the time of suspension of the program, and an evaluation of the STSM/A program against the objectives and criteria.

### **TQP-1: Demonstration of Competence**

The program clearly identifies and documents the process used to demonstrate employee technical competence.

#### Criteria

*TQP-1.1                    At a minimum, personnel providing management direction or oversight that could impact the safe operation of a defense nuclear facility have been identified as participants in the Technical Qualification Program.*

Because the general EM TQP was suspended, there are no positions (those that could impact the safe operations of defense nuclear facility) identified as mandatory in the program, and the program is non-existent. Technical training and developmental activities are being provided, but not necessarily based on job competency requirements. Usually training or developmental activities are decided between employee and supervisor using the “it would be nice to have” theory of decisionmaking.

Prior to the suspension of the TQP, attempts were made to identify specific positions. The EM Deputy Assistant Secretaries nominated specific positions, and employees in those positions began their self-assessments. As of April 1996, EM-13 was tracking about 50 employees, however, all activity stopped when the NTEU concerns were raised. In addition, EM procedures were developed and implemented for the TQP.

With respect to the STSM/A program, the 24 positions identified in the *STSM/A Handbook* are being tracked. Currently, 15 employees have STSM/A responsibility for those positions. The incumbents in the STSM/A positions have been interimly qualified, and most recently, have completed an interview by a three-member panel of safety experts to determine their general competency. Other positions where an incumbent is not yet interimly qualified or where the

incumbent cannot meet the requirements contained in the *STSM Handbook* have compensatory measures in place.

*TQP-1.2 Individual Development Plans (IDPs), training plans, technical qualification records, or other related documents are updated to reflect the activities that each individual shall participate in to satisfy competencies.*

DOE Order 360.1, *Training*, requires that supervisors, in conjunction with their employees, develop Individual Development Plans (IDPs). The IDP process was put into place in 1995. Overall, the EM Headquarters organization responded well to the IDP requirement. However, late in 1996 and throughout 1997, a Reduction in Force was proposed for EM Headquarters. It was determined that the IDP requirement would not be enforced because of the severe reductions that needed to be taken. The process has never been formally reinstated, however, there are some supervisors that have IDPs for their employees at the current time.

Other training records are continually being updated. EM-13 has staff that registers employees in approved training courses, ensures that supervisors complete the required training forms at the completion of the training, but there is little in the way of measuring competency based on the training taken between supervisor and employee.

The STSM/A program participants have completed their self-assessments and have documented their deficiencies toward competency. There is very little information or documentation on whether STSM/As are correcting their identified deficiencies.

*TQP-1.3 A formal evaluation process is in place to objectively measure the technical competency of personnel. The rigor of the evaluation process is commensurate with the responsibilities of the position.*

There is no formal evaluation process in place for the general TQP that would measure the technical competency of personnel in the program. STSM/As have been interviewed by a panel of safety experts and those interviews have been documented. Minor concerns were raised that will be communicated to the STSM/A participants.

## **TQP-2: Competency Levels**

Competency requirements are clearly defined and consistent with applicable industry standards for similar occupations.

### Criteria

*TQP-2.1 Competency requirements include clearly defined knowledge, skill, and ability elements.*

The EM TQP, prior to its suspension, utilized the General Base Technical Qualification Standard (GTBQS) and the 24 Functional Area Qualification Standards developed by the Department. There were very few office-specific standards developed and put into place.

*TQP-2.2 Subject matter experts are involved in establishing competency requirements.*

For those office-specific standards that were developed, subject matter experts were utilized. Several EM subject matter experts participated in the development of the functional area qualification standards at their inception.

*TQP-2.3 Consideration of related professional certification requirements is included in the program as applicable.*

Consideration was given to related professional certifications in the original development of the EM TQP and the sub-set STSM/A Program. Certifications such as “certified health physicist,” “industrial hygienist,” etc. will be included in the new EM TCP to demonstrate competence.

*TQP-2.4 Competency requirements are identified in the areas listed below (Note: this does not imply that three separate documents are required).*

Basic Technical Knowledge: includes basic fundamental knowledge of radiation protection, occupational safety, chemical safety, nuclear safety, environmental regulations, and other areas.

Technical Discipline Competency: Competency in a technical discipline (e.g., mechanical engineering, chemical engineering) which can be demonstrated by education, professional certification, examination or on-the-job performance.

Position Knowledge, Skills, and Abilities: Specific to the position and the office.

These competency requirements were included in the EM TQP prior to its suspension and will be included in the new EM program.

### **TQP-3: Plans and Procedures**

Plans and/or procedures are developed and implemented to govern the administration of the program.

#### Criteria

*TQP-3.1 The Technical Qualification Program has the commitment of senior management.*

There was little or no activity being taken because of the suspension of the EM TQP. Most recently, however, EM management has committed to the program. EM-1 approved the Charter for the TCPIT (see Appendix D), an internal team made up of individuals from each of the EM

program offices, and representatives from the NTEU. EM-1 is also committed to a “real, credible, and defensible” STSM/A program. For example, it was EM-1 who insisted that a panel of safety experts conduct the EM STSM/A interviews and determine general competency of the program’s participants.

*TQP-3.2      Written procedures that adequately define the processes and requirements to implement the Technical Qualification Program are in place.*

Prior to the suspension of the EM TQP, specific procedures were in place. These procedures will be revised to reflect a more flexible approach to administering the program as it is revised. Currently, there are no written procedures in place for the STSM/A program. For the STSM/A program, a consistent process was applied to all applicants to the program and will be continued to be applied. The program would benefit from a more well defined process and operating procedures.

*TQP-3.3      Roles and responsibilities for the implementation of the Technical Qualification Program are clearly defined and understood by all involved.*

Although briefings were conducted early in the TQP, roles and responsibilities for both the general TQP and the STSM/A program are not well defined or understood. It was clear from the STSM/A survey responses, that they did not know why they were in the program and what the basis of the program was. The respondents acknowledged that EM-13 was responsible for implementing the program, however, there was not enough communication between the implementors and the participants.

*TQP-3.4      The procedures that govern the implementation of the Technical Qualification Program are understood by all involved, and are being implemented as written.*

There were written procedures for the general TQP prior to its suspension in April 1996 . There are no written procedures for the STSM/A program, however, it is being implemented consistently among the participants in accordance with the *STSM Handbook*.

*TQP-3.5      A training and qualification records system is established for each employee in the Technical Qualification Program.*

Prior to the suspension of the TQP, hard copy records were being maintained by the respective offices. EM is currently using TQP Tracker for the STSM/A program. In addition, EM uses the Department’s DTIS system for maintaining training records.

**TQP-4: Qualification Tailored to Work Activities:**

The program includes the identification of unique Department and position-specific work activities, and the knowledge and skills necessary to accomplish that work.

Criteria

*TQP-4.1 An analysis has been performed to identify the related knowledge, skill, and ability elements to accomplish the duties and responsibilities for each Technical Qualification Program functional area or position.*

This analysis was being performed when the suspension of the TQP program took effect. Since that time, there has been no activity in this area. For the STSM/A program, each participant had the flexibility to choose, in addition to the GTBQS and STSM Qualification Standard (which incorporated a Headquarters office-specific standard), his/her functional area standard. Generally, the functional area chosen was based on the EM program the participant was in, e.g., environmental restoration, waste management, etc. There was not necessarily a match to the duties and responsibilities of the position.

*TQP-4.2 The program includes job-specific requirements related to the rules, regulations, codes, standards, and guides necessary to carry out the mission of the office.*

There has not been much effort in developing the office-specific standards. This is an area where EM-13 and the TCPIT will place emphasis, utilizing the flexibilities allowed in the revised DNFSB Recommendation 93-3 IP.

*TQP-4.3 The program supports the mission needs of the office.*

There is no general TQP in place for EM Headquarters. The STSM/A program generally supports the mission and needs of EM, however, there is a need to better define the work of a Headquarters organization, and recast functional area and office-specific standards to match that work.

**TQP-5: Credit for Existing Technical Qualification Program(s)**

The program is structured to allow credit, where appropriate, for other technical qualification program accomplishments.

Criteria

*TQP-5.1 Credit (equivalency) is granted for previous training, education, experience and completion of related qualification/certification programs, where applicable.*

It was always the intent of the TQP, and certainly the STSM/A program, to give credit for previous training, education, and certifications. The participants, in their self-assessment, declare equivalency, and provide the appropriate documentation to support their declaration for the record. This will continue to be the case in any new program that is designed.

*TQP-5.2      Equivalency is granted based upon a review and verification of objective evidence such as transcripts, course certificates, test scores or on-the-job experience.*

In the STSM/A program, participants prepared their self-assessment. Participants to any new program that is developed will be also be required to do so. Documentation of such equivalency was required for the record. The self-assessment package and the records provided were then objectively reviewed by an internal EM panel. After the panel's review, the complete packages were sent to the FTCP for review and approval. It is anticipated that an internal review process will be institutionalized in any new program designed for the EM Headquarters organization.

*TQP-5.3      Equivalencies are validated, approved and documented in a formal manner.*

There was a formal STSM/A process in place in as much as there was an internal review group reviewing all qualification packages before sending them to the FTCP. It is anticipated that a similar rigorous process will be included in any new program developed for the EM Headquarters organization.

## **TQP-6 Transportability**

Competency requirements that are identified as having Department-wide applicability are transferable.

### Criteria

*TQP-6.1      The program includes all of the competencies that have been identified as having Department-wide applicability.*

The GBTQS that is being used is completely transportable, as are the functional area standards. The original EM TQP, and the STSM/A program relied on the Department's standards. Office-specific standards, when developed for the new program, would have to be evaluated for transportability.

*TQP-6.2      Formal documentation of the completion of Department-wide competencies is maintained in a manner that will allow for easy transferability.*

TQP Tracker and DTIS are currently being used as formal documentation for the STSM/A Program. It is believed that these systems are transferable. EM will move, as will the rest of the Department, toward using the training module for *PeopleSoft* as it becomes available for records maintenance.

*TQP-6.3      The Technical Qualification Program is integrated with personnel-related activities such as positions descriptions, vacancy announcements, recruiting, and performance appraisals.*

There is a lack of integration between personnel-related activities. EM is currently in a state of flux because of the recent downsizing activities. Position descriptions need to be evaluated against the work that is being performed, new position descriptions need to be prepared as appropriate, and then technical competencies, IDPs, etc., need to be developed and integrated to have an effective human resource management and development program.

### **TQP-7: Measurable**

The program contains sufficient rigor to demonstrate compliance to the principles.

#### Criteria

*TQP-7.1 The technical competency of personnel who have completed the requirements of the Technical Qualification Program is adequate and appropriate.*

Because EM Headquarters has no TQP program and no one is enrolled, it is hard to determine whether technical competence is adequate. With respect to the STSM/A program, the recent interview process generally found that there was adequate competence. It also found, however, that there were areas that needed attention by the participants. A process will be developed and put into place to ensure that competence is improved.

*TQP-7.2 The program allows for continuous feedback and periodic evaluation to ensure that it meets the needs of the Department and the mission(s) of the office.*

Because there is no program, there is no real mechanism for feedback or periodic evaluation. These important aspects will be included in any new program that is designed and implemented.

*TQP-7.3 The Program includes provisions for continuing training.*

Obtaining training is generally not problematic in the EM Headquarters organization. Sufficient funds are budgeted to be used to enhance the technical capabilities of EM Headquarters employees. However, there needs to be mechanisms put into place to ensure that training is identified in the IDP process, and that funds are not being spent on meaningless training that does not enhance technical capability.

## **IV. PROGRAM STATUS SUMMARY AND RECOMMENDATIONS**

### **Summary**

There is no TQP in the EM Headquarters organization. This is due to the concerns raised by the NTEU that we not able to be resolved. Additionally, because of the downsizing events of 1997

and early 1998, the IDP process was not implemented. With respect to the STSM/A program, real progress has been made since mid-1997. Incumbents have been interimly qualified, interviews have been held, and it is generally felt that the program is adequate. However, there are still areas needing improvement.

Since the issuance of the revised DNFSB Recommendation 93-3 IP, EM-13 (the responsible EM organization for DNFSB Recommendation 93-3 implementation) has formed a team (the TCPIT) of technical professionals. Included on the team are representatives of each EM program office. In addition, representation from the NTEU has been encouraged. The TCPIT has been formally chartered and endorsed by EM senior management. The purpose of the TCPIT is to redefine, design, and develop a technical capability program for EM Headquarters employees. While the team is currently focusing on technical positions, its goal is to develop a human resource development program for both technical and non-technical employees. The team has been active in its deliberations of the shape of a technical capability program in the EM Headquarters organization. Bi-weekly meetings are held, a strawman "program plan" has been developed and is under review by team members, and an implementation schedule is being developed to meet the requirements of the revised DNFSB Recommendation 93-3 IP.

### **Recommendations**

It is clear that human resource management and human resource development activities need to be integrated. Currently, the Director of Administrative Services (the EM Office responsible for personnel activities and processes) is also serving as the Acting Director of Training and Education. It is likely that these two offices will be merged in a future reorganization to facilitate the integration process. Position descriptions will need to be evaluated against the work expectations of the EM Headquarters organization, modified as appropriate, and competency requirements built against the modified position descriptions to measure the technical capability of EM Headquarters employees.

Specific recommendations include:

- Human resource management and human resource development activities need to be integrated.
- Senior EM management will need to decide which positions are to be included in the new program on a mandatory basis, if appropriate;
- Formal written procedures need to be developed;
- Internal review groups will need to be established to review competency self-assessment packages;
- Feedback mechanisms need to be put into place;
- Office-specific standards will need to be built to afford the maximum amount of transportability;

- Sufficient funding for technical training will need to be maintained in the budget process to develop and maintain the technical competency of EM Headquarters employees;
- More communication between the participants, management, and the implementors is needed; and
- Most importantly, the concerns of the NTEU will need to be resolved if there is any hope that an effective, meaningful, and valid program can be implemented for the EM Headquarters organization.

**APPENDIX A**

**PHASE I ASSESSMENT  
OBJECTIVES AND CRITERIA**

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**TECHNICAL QUALIFICATION PROGRAM  
ASSESSMENT OBJECTIVES AND CRITERIA**

**TQP-1 Demonstration of Competence:** The program clearly identifies and documents the process used to demonstrate employee technical competence.

Criteria

- 1.1 At a minimum, personnel providing management direction or oversight that could impact the safe operation of a defense nuclear facility have been identified as participants in the Technical Qualification Program.
- 1.2 Individual Development Plans (IDPs), training plans, technical qualification records, or other related documents are updated to reflect the activities that each individual shall participate in to satisfy competencies.
- 1.3 A formal evaluation process is in place to objectively measure the technical competency of personnel. The rigor of the evaluation process is commensurate with the responsibilities of the position.

**TQP-2 Competency Levels:** Competency requirements are clearly defined and consistent with applicable industry standards for similar occupations.

Criteria

- 2.1 Competency requirements include clearly defined knowledge, skill, and ability elements.
- 2.2 Subject matter experts are involved in establishing competency requirements.
- 2.3 Consideration of related professional certification requirements is included in the program as applicable.
- 2.4 Competency requirements are identified in the areas listed below (Note: this does not imply that three separate documents are required).
  - Basic Technical Knowledge: This includes basic fundamental knowledge of radiation protection, occupational safety, chemical safety, nuclear safety, environmental regulations, and other areas.

- Technical Discipline Competency: Competency in a technical discipline (e.g., mechanical engineering, chemical engineering) which can be demonstrated by education, professional certification, examination or on-the-job performance.
- Position Knowledge, Skills, and Abilities: Specific to the position and the office.

TQP-3 **Plans and Procedures**: Plans and/or procedures are developed and implemented to govern the administration of the program.

Criteria

- 3.1 The Technical Qualification Program has the commitment of senior management.
- 3.2 Written procedures that adequately define the processes and requirements to implement the Technical Qualification Program are in place.
- 3.3 Roles and responsibilities for the implementation of the Technical Qualification Program are clearly defined and understood by all involved.
- 3.4 The procedures that govern the implementation of the Technical Qualification Program are understood by all involved, and are being implemented as written.
- 3.5 A training and qualification records system is established for each employee in the Technical Qualification Program.

TQP-4 **Qualification Tailored to Work Activities**: The program includes the identification of unique Department and position-specific work activities, and the knowledge and skills necessary to accomplish that work.

Criteria

- 4.1 An analysis has been performed to identify the related knowledge, skill, and ability elements to accomplish the duties and responsibilities for each Technical Qualification Program functional area or position.
- 4.2 The program includes job-specific requirements related to the rules, regulations, codes, standards, and guides necessary to carry out the mission of the office.
- 4.3 The program supports the mission needs of the office.

TQP-5 **Credit for Existing Technical Qualification Program(s):** The program is structured to allow credit, where appropriate, for other technical qualification program accomplishments.

Criteria

- 5.1 Credit (equivalency) is granted for previous training, education, experience and completion of related qualification/certification programs, where applicable.
- 5.2 Equivalency is granted based upon a review and verification of objective evidence such as transcripts, course certificates, test scores or on-the-job experience.
- 5.3 Equivalencies are validated, approved and documented in a formal manner.

TQP-6 **Transportability:** Competency requirements that are identified as having Department-wide applicability are transferable.

Criteria

- 6.1 The program includes all of the competencies that have been identified as having Department-wide applicability.
- 6.2 Formal documentation of the completion of Department-wide competencies is maintained in a manner that will allow for easy transferability.
- 6.3 The Technical Qualification Program is integrated with personnel-related activities such as positions descriptions, vacancy announcements, recruiting, and performance appraisals.

TQP-7 **Measurable:** The program contains sufficient rigor to demonstrate compliance to the principles.

Criteria

- 7.1 The technical competency of personnel who have completed the requirements of the Technical Qualification Program is adequate and appropriate.
- 7.2 The program allows for continuous feedback and periodic evaluation to ensure that it meets the needs of the Department and the mission(s) of the office.
- 7.3 The Program includes provisions for continuing training

**APPENDIX B**

**SURVEY QUESTIONNAIRES  
AND RESULTS**

**QUESTIONNAIRE  
for  
EM HEADQUARTERS STAFF MEMBERS**

In May 1998, the Department revised its Implementation Plan (IP) for Defense Nuclear Facilities Safety Board Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*. The revised IP places emphasis on Headquarters and Field Technical Qualification Programs (TQPs) and requires a self-assessment of the program as it now stands.

The Environmental Management TQP was being implemented when concerns were raised by the National Treasury Employees Union (NTEU). Those concerns were never fully resolved and as a consequence, the EM TQP was held in abeyance. Because of the emphasis being placed on the technical qualifications of employees in the revised IP for DNFSB Recommendation 93-3, the Office of Training and Education (EM-13) is actively working to reestablish a professional development program renamed the Technical Capability Program (TCP). A Technical Capability Program Implementation Team (TCPIT) has been chartered and it includes representation from each EM Program Office, and the NTEU. The TCPIT, in its discussions, determined it appropriate to solicit feedback regarding the old TQP as we build a new program in EM Headquarters. With that in mind, please take 10 minutes to respond to this questionnaire. Your responses will influence the program that EM develops and implements in the near future. While the current program is focused on EM's technical employees, it is a goal of EM-13 and the TCPIT to expand the program to include all EM Headquarters employees.

Please e-mail your responses to Joni Boone (Joni.Boone@em.doe.gov) by **September 23, 1998**. If you would like to remain anonymous please FAX your response to Joni at 6-7734, or mail or hand-deliver it to Joni in Room 1H-072 in the Forrestal Building. We sincerely appreciate you taking the time to answer the following questionnaire and for your help in establishing a meaningful professional development program in EM Headquarters.

**Questions:** Please mark the appropriate answer or provide comment where appropriate.

1. Do you believe that adequate attention is being given to continuous technical development and improvement of EM employees?  
Yes \_\_\_\_\_ No \_\_\_\_\_
  
2. In your view, would a formal EM HQ technical and non-technical capability program be of value to you?      Yes \_\_\_\_\_ No \_\_\_\_\_
  
3. Do you think that participation (at some level) in a Technical Capability Program (TCP) should be mandatory or voluntary for technical staff and managers?  
Mandatory \_\_\_\_\_ Voluntary \_\_\_\_\_
  
4. If you believe that participation in the TCP should be mandatory for certain technical positions (staff and managers), what two criteria in your opinion can be used to select those positions?
  
5. Do you think that the current Technical Capability Program (TCP) should be broadened to allow non-technical employees to participate in some form of capability/qualification program? If yes, should the participation be mandatory or voluntary?  
Yes \_\_\_\_\_ Mandatory \_\_\_\_\_ No \_\_\_\_\_

Voluntary \_\_\_\_

6. In what year did you develop your last individual development plan (IDP)? \_\_\_\_\_
7. Participants in a TCP will continually work on maintaining their skills and competencies that relate to their position and the work being performed. Do you believe participation in a TCP would provide better tools than those currently available for the participant to identify training/professional development needs on their IDP? Yes\_\_\_\_ No\_\_\_\_

8. Are you familiar with the DOE Technical Qualification Program?  
Yes\_\_\_\_ No\_\_\_\_

If yes, do you think that the majority of the Functional Area Qualification Standards (i.e., Waste Management, Environmental Restoration, Radiation Protection, etc.) and their respective competencies are appropriately written for EM Headquarters?

9. Do you think that your supervisor would see the value of a TCP and support your participation?  
Yes\_\_\_\_ No\_\_\_\_

10. How much of your time per year is allotted for continuing training/professional development activities?  
\_\_\_\_weeks/year

11. Please rank your preferred methods of learning (1=most, 6=least).  
\_\_\_\_ Formal classroom/lecture/short courses (1 - 3 days)  
\_\_\_\_ Academic credit courses  
\_\_\_\_ Video  
\_\_\_\_ Computer based training (CD ROM, Internet, etc.)  
\_\_\_\_ Independent self study  
\_\_\_\_ Job assignments/rotations/details to other offices  
\_\_\_\_ Other. If checked, please explain. \_\_\_\_\_

12. Is it important to you to have a capability program that is recognized as credible within and outside the Department so that your documented capabilities/qualifications would be transferrable to other job openings? Yes\_\_\_\_ No\_\_\_\_

13. Do you think that each office position should identify specific capabilities that are unique to your work and that those capabilities should be reflected in the program? Yes\_\_\_\_ No\_\_\_\_

14. To have a credible program, EM Headquarters will need to verify that competencies related to capability standards have been obtained by an individual. How do you think this should be done without creating a huge administrative burden on the organization (i.e., testing, interview with supervisor, project performance reviews)?

15. Please provide any additional comments you may have.

**QUESTIONNAIRE  
for  
MANAGERS AND SUPERVISORS**

In May 1998, the Department revised its Implementation Plan (IP) for Defense Nuclear Facilities Safety Board Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*. The revised IP places emphasis on Headquarters and Field Technical Qualification Programs (TQPs) and requires a self-assessment of the program as it now stands.

The Environmental Management TQP was being implemented when concerns were raised by the National Treasury Employees Union (NTEU). Those concerns were never fully resolved and as a consequence, the EM TQP was held in abeyance. Because of the emphasis being placed on the technical qualifications of employees in the revised IP for DNFSB Recommendation 93-3, the Office of Training and Education (EM-13) is actively working to reestablish a professional development program renamed the Technical Capability Program (TCP). A Technical Capability Program implementation Team (TCPIT) has been chartered and it includes representation from each EM Program Office, and the NTEU. The TCPIT, in its discussions, determined it appropriate to solicit feedback regarding the old TQP as we build a new program in EM Headquarters. With that in mind, please take 10 minutes to respond to this questionnaire. Your responses will influence the program that EM develops and implements in the near future.

Please complete the attached questionnaire and return it to Joni Boone by **September 21, 1998**. If you would like to remain anonymous please FAX your response to Joni at 6-7734, or mail or hand-deliver it to Joni in Room 1H-072 in the Forrestal Building. We sincerely appreciate you taking the time to answer the following questionnaire and for your help in establishing a meaningful professional development program in EM Headquarters.

**Questions:** Please mark the appropriate answer and/or provide comment where applicable.

1. Are you familiar with the requirements and administrative flexibilities that are available in for recruiting, hiring, and retaining high quality technical employees?  
  
Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, can you name a few?
  
2. Do you believe that adequate attention is being given to continuous technical development and improvement of EM employees? Yes \_\_\_\_\_ No \_\_\_\_\_
  
3. Do you think that there would be value to your staff if EM HQ had a formal technical and non-technical capability program? Yes \_\_\_\_\_ No \_\_\_\_\_
  
4. Do you think that participation (at some level) in a Technical Capability Program (TCP) should be mandatory or voluntary for technical managers and staff?  
Mandatory \_\_\_\_\_ Voluntary \_\_\_\_\_

5. If you believe that participation in the TCP should be mandatory for certain technical positions (staff and managers), what two criteria in your opinion can be used to select those positions?

6. Do you think that the current Technical Capability Program (TCP) should be broadened to allow non-technical employees to participate in some form of qualification program. If yes, should participation be mandatory or voluntary?

Yes\_\_\_\_ Mandatory\_\_\_\_ No\_\_\_\_  
Voluntary\_\_\_\_

7. Do you develop Individual Development Plan (IDP) for your subordinates?

Yes\_\_\_\_ No\_\_\_\_ If yes, when were the last IDPs developed?\_\_\_\_\_

8. Participants in a TCP will continually work on maintaining their skills and competencies that relate to their position and the work being performed. Do you feel participation in a TCP would provide better tools than those currently available for the participant to identify training/professional development needs on their IDP?

Yes\_\_\_\_ No\_\_\_\_

9. Are you familiar with the DOE Technical Qualification Program?

Yes\_\_\_\_ No\_\_\_\_

If yes, do you feel the majority of the Functional Area Qualification Standards (i.e., Waste Management, Environmental Restoration, Radiation Protection, etc.) and their respective competencies are appropriately written for EM Headquarters?

Yes\_\_\_\_ No\_\_\_\_

10. Do you think that your staff would see the value of a TCP?

Yes\_\_\_\_ No\_\_\_\_

11. How much time is allotted for each of your staff per year for continuing training/professional development activities? \_\_\_\_\_weeks/year

12. Please rank your preferred methods of learning (1=most, 6=least).

- \_\_\_\_ Formal classroom/lecture/short courses (1 - 3 days)
- \_\_\_\_ Academic credit courses
- \_\_\_\_ Video
- \_\_\_\_ Computer based training (CD ROM, Internet, etc.)
- \_\_\_\_ Independent self study
- \_\_\_\_ Job assignments/rotations/details to other offices
- \_\_\_\_ Other. Please comment if checked \_\_\_\_\_

13. Do you think that each position in an Office should identify specific capabilities that are unique to the work of each office and that those capabilities should be reflected in the program?

Yes\_\_\_\_ No\_\_\_\_

14. To have a credible program, EM Headquarters will need to verify that competencies related to capability standards have been obtained by an individual. How do you feel this should be done without creating a huge administrative burden on the organization (i.e., testing, interview with supervisor, project performance reviews,)?
  
15. Please provide any additional comments you may have.

**QUESTIONNAIRE  
for  
SENIOR TECHNICAL SAFETY MANAGERS/ADVISORS**

In May 1998, the Department revised its Implementation Plan (IP) for Defense Nuclear Facilities Safety Board Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*. The revised IP places emphasis on Headquarters and Field Technical Qualification Programs (TQPs) and requires a self-assessment of the program as it now stands.

The Environmental Management TQP was being implemented when concerns were raised by the National Treasury Employees Union (NTEU). Those concerns were never fully resolved and as a consequence, the EM TQP was held in abeyance. Because of the emphasis being placed on the technical qualifications of employees in the revised IP for DNFSB Recommendation 93-3, the Office of Training and Education (EM-13) is actively working to reestablish a professional development program renamed the Technical Capability Program (TCP). A subset of the TCP is the Senior Technical Safety Manager/Advisor (STSM/A) program. This program has been implemented in accordance with the STSM Handbook, May 1996. Currently, EM-13 is tracking positions that fall within the program. Incumbents have either been qualified under the program or a compensatory measure has been put in place.

The following questionnaire has been prepared to solicit feedback about the STSM/A program and will be used in the self-assessment of the TQP. With that in mind, please take 10 minutes to respond to this questionnaire. Please e-mail your responses to Joni Boone (Joni.Boone@em.doe.gov) by **September 21, 1998**. If you would like to remain anonymous please FAX your response to Joni at 6-7734, or mail or hand-deliver it to Joni in Room 1H-072 in the Forrestal Building. We sincerely appreciate you taking the time to answer the following questionnaire and for your help in establishing a meaningful professional development program in EM Headquarters.

Questions for STSM/A Participants

1. When were you enrolled in the STSM/A Program? (Month/year)
2. Why were you selected to participate in the EM STSM/A Program?
3. Have you completed your STSM/A self assessment package in TQP Tracker and submitted it to EM-13?
4. Have you completed your STSM/A interview? Yes\_\_\_\_ No\_\_\_\_ If yes, do you think the process was of value to the yourself and the EM panel? Please explain.
5. Have you been working towards obtaining needed skills and abilities (as planned) to meet deficiencies identified in your self assessment? Yes\_\_\_\_ No\_\_\_\_
6. If the answer to #5 above was yes, have you updated your qualification record (TQP Tracker) to reflect these accomplishments?

7. About what percent complete are you in the process of qualification completion (e.g., 25%, 50%, 70%, etc.)?
8. Does your Individual Development Plan (IDP) reflect needed learning activities to meet STSM/A competencies?
9. Are you confident that you will complete the program by the summer of 1999? [Note: This only applies to STSM/A incumbents who were enrolled in the program as of January 1998.]
10. What service(s) can be provided by the Office of Training and Education (EM-13) that are most needed by you to facilitate your participation and completion of the program?
11. How would you rate the support you have received from EM-13 to date?

*RESPONSE TO THE  
TECHNICAL CAPABILITIES PROGRAM  
QUESTIONNAIRE*

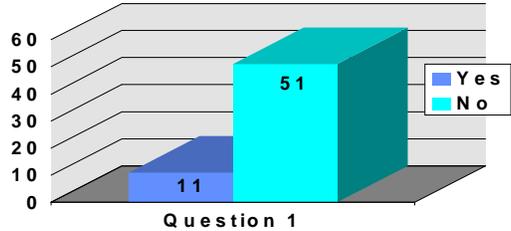
The following pages graphically display the responses received so far to the questionnaires distributed by the Department of Energy's (DOE's), Office of Environmental Management's (EM's) Office of Training and Education (EM-13). A total of four hundred and thirty one questionnaires were distributed to all EM headquarters staff members, including managers/supervisors and STSM/A's. A separate questionnaire was sent to thirty five managers and supervisors, and a questionnaire specific to the STSM/A program was sent to the fifteen participants enrolled in the program. As of this date, a total of eighty five responses (for all three questionnaires) have been returned to EM-13.

Each graph corresponds to a specific question asked in the questionnaire, and portrays the total number of responses to each question or part of a question. Comments to specific questions are listed by page number.

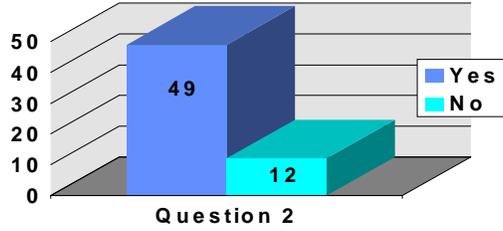
**RESPONSES TO QUESTIONNAIRE**

**EM HEADQUARTERS STAFF MEMBERS:**

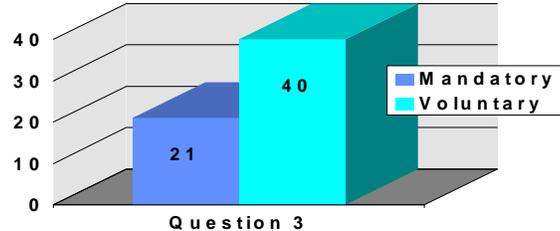
1. Do you believe that adequate attention is being given to continuous technical development and improvement of EM employees?



2. In your view, would a formal EM HQ technical and non-technical capability program be of value to you?

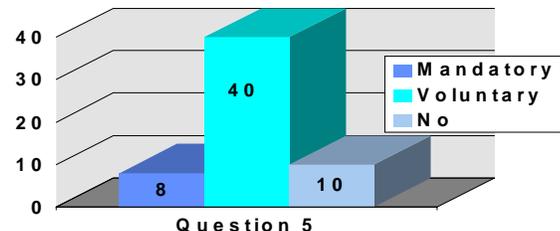


3. Do you think that participation (at some level) in a Technical Capability Program (TCP) should be mandatory or voluntary for technical staff and managers?



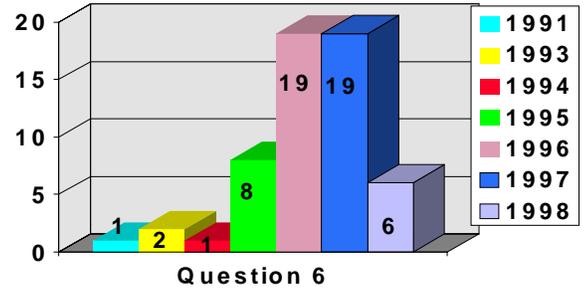
4. If you believe that participation in the TCP should be mandatory for certain technical positions (staff and managers), what two criteria in your opinion can be used to select those positions? (See comments on page B - 13)

5. Do you think that the current Technical Capability Program (TCP) should be broadened to allow non-technical employees to participate in some form of capability/qualification program? If yes, should the participation be mandatory or voluntary?

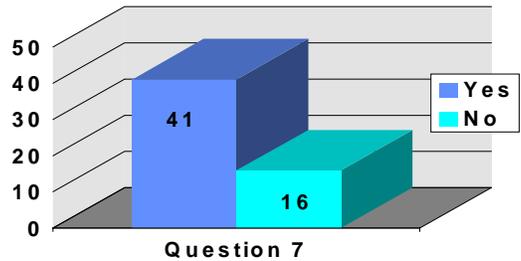


**RESPONSES TO QUESTIONNAIRE**

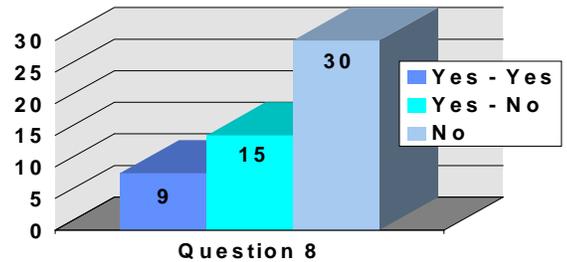
6. In what year did you develop your last individual development plan (IDP)?



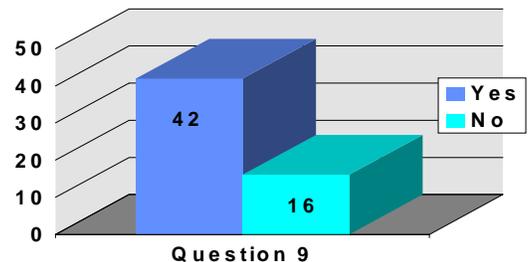
7. Participants in a TCP will continually work on maintaining their skills and competencies that relate to their position and the work being performed. Do you believe participation in a TCP would provide better tools than those currently available for the participant to identify training/professional development needs on their IDP?



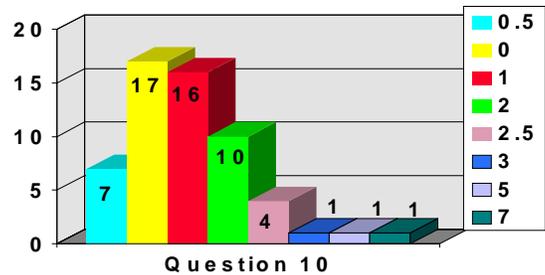
8. Are you familiar with the DOE Technical Qualification Program? If yes, do you think that the majority of the Functional Area Qualification Standards (i.e., Waste Management, Environmental Restoration, Radiation Protection, etc.) and their respective competencies are appropriately written for EM Headquarters?



9. Do you think that your supervisor would see the value of a TCP and support your participation?

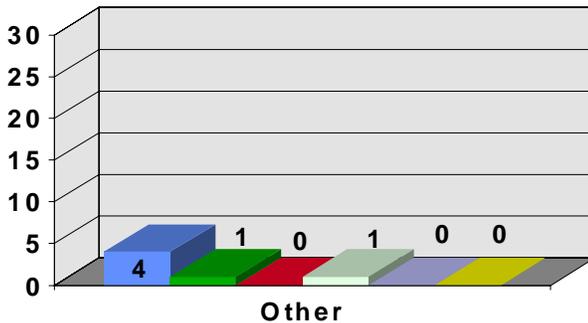
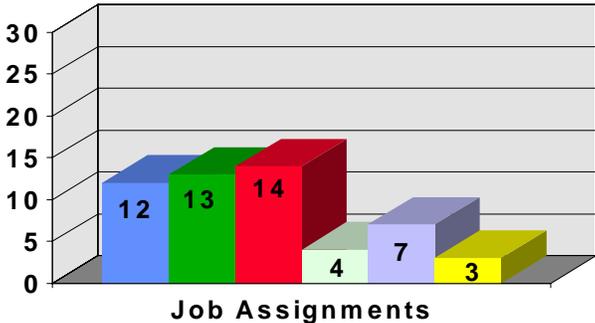
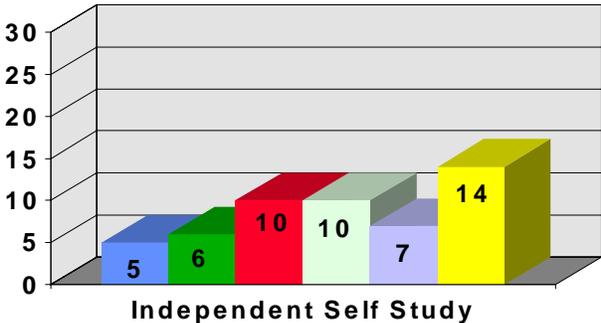
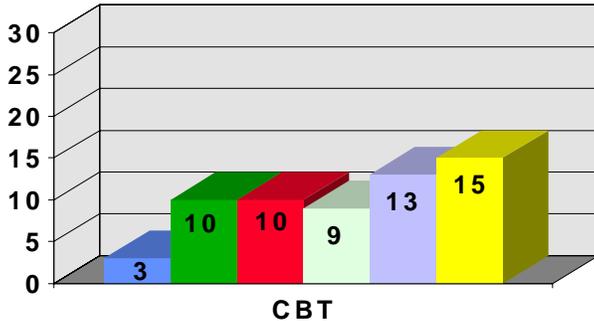
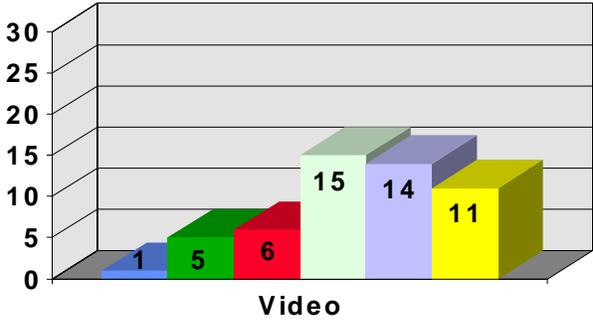
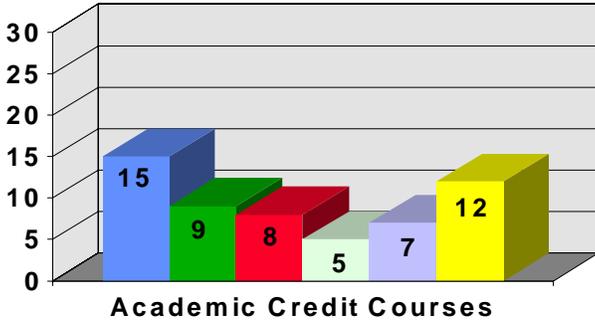
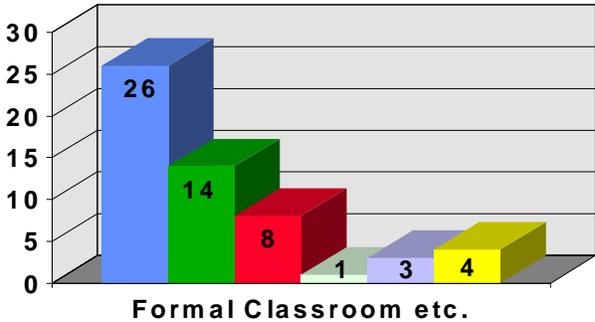


10. How much of your time per year is allotted for continuing training/professional development activities?



**RESPONSES TO QUESTIONNAIRE**

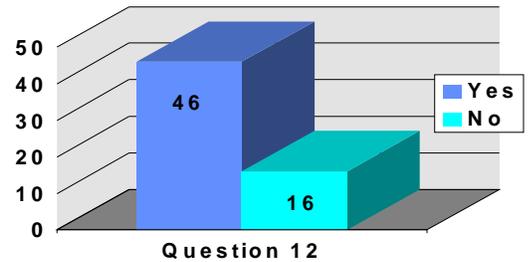
11.. Please rank your preferred methods of learning (1=most, 6=least).



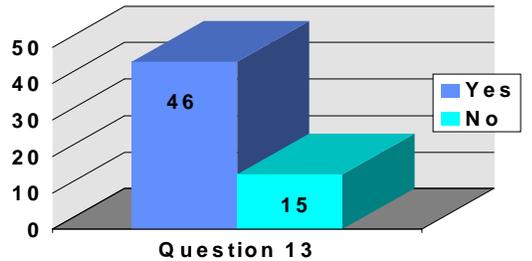
(See comments on page B-14)

## RESPONSES TO QUESTIONNAIRE

12. Is it important to you to have a capability program that is recognized as credible within and outside the Department so that your documented capabilities/qualifications would be transferrable to other job openings?



13. Do you think that each office position should identify specific capabilities that are unique to your work and that those capabilities should be reflected in the program?



14. To have a credible program, EM Headquarters will need to verify that competencies related to capability standards have been obtained by an individual. How do you think this should be done without creating a huge administrative burden on the organization (i.e., testing, interview with supervisor, project performance reviews,)?

(See comments on page B - 14)

15. Please provide any additional comments you may have (See comments on page B - 14)

**EM HEADQUARTERS STAFF MEMBERS COMMENTS**

QUESTION 4: If you believe that participation in the TCP should be mandatory for certain technical positions (staff and managers), what two criteria in your opinion can be used to select those positions?

- Critical needs of position, positions requiring certifications, and safety-related positions.
- Responsible for contacts with other sections of DOE, and responsible for contacts with field offices or field contractors.
- All program and project managers for a start.
- Must be in a technical position and have program or line management responsibility.
- Criteria must be based on current and planned future mission work, meaning that a) technical requirements based on specific positions' functions and positions are for decision makers or influence.
- I consider that such programs should be reserved for jobs where the people involved have real, hands on control of systems or facilities whose malfunction could result in the injury or death of workers or members of the public.
- Type of decisions made (i.e., technical or administrative); type of decisions made by subordinates.
- Is the individual involved in work that directly affects EM's technical program, and if the individual is involved with administrative support function, the individual would not be part of the TCP.
- Position description; level of responsibility.
- Related to budget and safety.
- Safety; engineering support.
- Worker safety, and environmental releases.
- Position's primary job responsibilities in a technical area, and management/SES responsibilities over a technical field.
- No selection required. Require that everyone in EM be qualified for their job.
- Employee classification (i.e., general engineer, etc.), and current job description.
- Relevance to position held, and time that has elapsed since last trained.
- The positions should be evaluated against the person. In a competitive situation you would pick the person who best meets the requirement and train the gaps, however with reassignments etc. each person should be evaluated against a position.
- Mission/functions of the office where technical positions are, and duties/responsibilities of the technical participant (not his/her title).
- Personnel having facility management responsibilities and who would be relied upon to advise, investigate, understand operations and safety implications, and those expected to be involved in emergency management team (EOC) responses.
- Grade and technical competence required for the position.
- Type of assignment; management approval.
- Responsibility for projects of technical nature; responsibilities associated with improving safety (RAD health understanding, chem. hazards understanding.)

- 
- I believe that all technical professionals should participate.
  - Grade level 12 and above; series (eg 801 and 1301).
  - Safety oversight function positions; positions involving assessing technical adequacy of a process or selection of a specific technology (e.g., QA audits of HLW acceptance programs)
  - Positions requiring “hard skills” such as accounting or engineering degrees versus “on-the-job” training and clear designation as either a supervisory manager or a technical line staff or project manager.
  - Position descriptions and position classification. Based upon the cancelled RIF, management will never do this. They prefer to see everyone as being the same, so they will never come up with a fair assessment of who is technical and who is not.
  - Participation should be mandatory for all managers.
  - Supervisors and technical staff, GS-14 and above
  - Program responsibility; critical lead technical specialists.
  - Tasks/responsibilities; required for the job.
  - Volunteers w/ consideration given for promotion and required of new hires.
  - Grade and position occupied.
  - Technical direction that obligates government funds, and safety related position.
  - Technical job series (eg. Engineer, scientist); PD which includes providing technical advice.
  - Program management; funds control/budget.
  - Performance of technical work (no program management) and need in the position for demonstrated technical competence.
  - Position; deficiencies

QUESTION 11 (OTHER):

- Group education of all individuals in a section together, possible with more than one section to reach a suitable class size.
- Participating in technical subject matter workshops.
- Professional societies, conferences, etc.

QUESTION 14: To have a credible program, EM Headquarters will need to verify that competencies related to capability standards have been obtained by an individual. How do you think this should be done without creating a huge administrative burden on the organization (i.e., testing, interview with supervisor, project performance reviews,)?

- Testing based on curriculum
- Testing before allowing credit for achievement paired with a short 20-30 minute oral exam from a technically competent person.
- Supervisor and project performance reviews.
- Supervisor and project performance reviews.

- 
- Prioritize such that external professional certifications are preferred (and require no EM test/review), next could be supervisor interviews (is not this one of the purposes of annual and mid-year reviews?), third should be courses/training -- doe should be with rest of Fed.
  - I consider that it couldn't be done without wasting an enormous amount of time and effort. I also consider that, given the types of jobs that we do at headquarters, it cannot be done in a worthwhile manner at all. Such a program would just be another of the bureaucratic time .
  - None of the above; should generally use a standard curriculum and certification. In many cases the supervisors have become administrators and are not qualified to judge the technical competencies of the staff under them.
  - SME panel(s) review documented progress of performance and/or interviews. Panel membership could be rotated.
  - Make it part of an improved approved approach for developing performance appraisal plans and conducting performance evaluations. That is, make it a performance element.
  - Each individual should have a technical development plan in a file maintained by his or her supervisor, with a copy to EM-13. As courses are completed, they could be checked off. When it is completed, a form could be sent to EM-13 indicating that it is completed.
  - Interview with supervisor.
  - Testing.
  - Testing; interviews with individual employee.
  - Formal in training exams.
  - Interview with supervisor, similar to a regular performance evaluation.
  - Interview with supervisor.
  - Interview with supervisor.
  - Verify with employee.
  - Have each individual document their own competencies.
  - Simply require professional license/registration/certification.
  - If the majority of work is done through the completion of formal classroom training with tests this is not an issue.
  - IDP's are not the answer. We have had them but because of the lack of follow-through nothing positive has resulted. Management needs help from a credible program and staff trained to help managers in this effort. I think the key is for EM to focus on the managers and thus.
  - Credentials, certification, awards outside and in the department as well as those listed by you. Also these items (moving forward in qualifications) should be reflected in the performance rating of the individual.
  - Should be done by an independent group and the employee provides the documentation.
  - Interview with supervisor (since in most cases supervisors are familiar with competencies and related capability standards).
  - Project performance reviews, oral (interview) or written report demonstrating competency.
  - Based on the criticality of the position a combination of all three.

- 
- Develop a permuted index of technical competencies identified with specific individuals and distribute throughout doe. Utilize the pressure of technical colleagues to stimulate individuals to maintain and improve their technical capabilities. Ask supervisors to evaluate such individuals on a periodic basis. Mandatory programs do not work well with the type of self-motivated technical staff you are seeking.
  - Review of job experience (SF-171); review of PD's; review transcripts; interview supervisor/ individual if there are questions.
  - Interview with supervisor.
  - Training course completion certificate.
  - A combination of written and oral testing appears to be an industry standard approach.
  - Participation in other training programs available. For example, the CFO has a training and developmental program which all budget analysts are required to take.
  - Let the supervisors establish the standards with realistic PD's, and get continuous improvement through the IDP process.
  - None of these really work, who would create the tests? Most supervisors would not be qualified to rate staff, who would do project reviews? The only way is to develop standards and go through the administrative process.
  - Verify competencies by interviews with an impartial TCPIT oversight or management group, performance reviews with supervisors are already too subjective.
  - Successful completion of course work and full attendance at all sessions and passing exam.
  - Individual responsibility to verify standards are met (through training, work assignments, etc.), with immediate supervisor.
  - Those listed and academic accomplishments, training completed, past job histories/accomplishments.
  - Project performance reviews.
  - Part of supervisory appraisal.
  - Tie in position description with performance indicators.
  - Questionnaire or interview.
  - Interviews with qualified supervisors.
  - Centers of excellence.
  - It cannot be done with no effort. In order to be credible it has to be well documented. Designate specific individuals to sign off specific competencies in program.
  - No opinion.
  - Annual performance reviews.
  - Directly related to how well that person runs his program or does his/her work against their performance standards for that position (remember, performance standards must reflect the employees' job description).
  - Yes.
  - Project performance reviews.
  - Review by peers. Some supervisors do not know the technical niceties.
  - Interview with supervisor.

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QUESTION 15: Please provide any additional comments you may have.

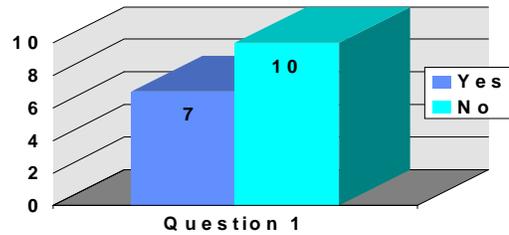
- If you want an education program to work, you must have designated supervisor responsibility by individuals who are technically competent to determine if knowledge is present. It would be a good thing to pay them a bit of a bonus. Funding for the bonus can be taken from paychecks of individuals who are not competent. You must have materials which are more easily obtained than at present. You must allow for specific classes to cover all the material necessary. This has to be on company time or have severe penalties attached to noncompliance by employees (a fine from wages if designated steps towards completion are not taken within stated periods). Any diminution of the organization and pressure described above will not institute the required result. I feel diminished when my employer doesn't care if I know what I am doing, and am sometimes amazed to find that my co-workers know even less than I do. EM needs a competent education program and cannot function properly until it gets one.
- Courses need to be written and travel money needs to be made available for training. I started a program/project manager certification program when I came here. The program had 7 courses to be taken to be certified. Five courses were written; I have completed all five.
- DOE is not set up for and has never been good at developing and conducting technical training. Training programs are usually put together by non-technical individuals with little knowledge of the requirements. Training has invariably been taught at well below the technical skills of the individuals and results in boredom and poor feedback. I have never seen a training program improved as a result of feedback from participants. DOE has some highly trained experts. If you want to train them you have to have world experts. Don't teach beneath.
- For question 13, it is important to capture the specific technical capabilities that are unique within DOE (eg., criticality), others require for a long time frame to be competent in addressing DOE issues (industrial hygiene in cleanup of mixed, RAD, and nuclear waste). Thus a select number of specific job positions are and cannot be interchangeable.
- To determine the competencies for the unique positions that most of em staff hold would require more effort than would benefit any office or staff. The capability of an individual in the complex tasking takes in many intangible skills learned over years of experience - difficult to measure if at all possible.
- An analogy would be that someone has all the best kitchen utensils available to cook; ingredients for the finest dinner; great cook books; but without experience - the dinner might well be a flop. But lets assume that we have an excellent cook and we measure his/her capability on the product of their efforts.
- And how do you measure the capability of the cook? Did he have the resources or was his/her budget cut. Were they empowered to use all the tools or did they have to request permission from the field that wants to keep all the tools in their kitchen. Were they really the chefs or were they just cooks and just do "hamburgers" because that's all HQ wanted was hamburgers, i.e., something on the plate till the next year. Were they empowered to tell all, that the stuff from the field was of poor quality and shouldn't be excused if excellent dinners are expected.....quality in training is an attitude of workers, empowered with the appropriate training and tools for the task. Things to work on:

- 
- attitude; empowerment; training and tools will follow.
- My responses reflect a concern that many of the questions do not apply to me personally but could easily apply to my peers and associates. Also, I have a concern that some of the questions may be biased to the extent that many positions (especially recognized technical professions) may have incumbents who, by virtue of their education, training, and experience, will require little in the way of training/retraining.
  - A set of competencies for each position should be developed.
  - Related to question 1, I believe that “continuous technical development” is a responsibility between the employee and his/her supervisor -- not EM-10’s or EM-13’s. It is of utmost importance that managers/supervisors permit flexibility for employees to do this.
  - The DOE technical qualification program is too cumbersome and is misdirected at qualifying individuals who are not technically qualifiable.
  - If we allow this to be voluntary then we will continue to get pulled off to work on other projects and fire drills. Unless we require this and ensure managers allow us to take the time and provide us with training resources, it won’t happen.
  - EM needs to define HQ and field roles and responsibilities first and then develop a TCP for EM.
  - This program will definitely increase the employee morale and productivity/efficiency of the department.
  - Good luck!
  - When DOE chose to downsize, it gave up the flexibility to send its technical staff to continuous training programs. My office has difficulty covering our requirements between leave and travel commitments. The area suffering most is training.
  - The concept of Tech. Qualification is good however, the job assignment and job expectations must be the first priority. I would not spend a lot of time establishing a qualification program before reorganization is complete. I would also include in a supervisors performance.
  - The mandatory nature of a TCP will make it hard for supervisors to discourage training as it is now done. Also, any DC area training for g’town employees must be offered in the germantown area.
  - I am still not sure about the purpose of this feedback. It appears it will primarily assist TCP organizers to accommodate techniques and areas about which there is some flexibility. Primarily though, it seems that the revised ip for 93-3 should drive the requirements for the content and conduct of a TCP. The answer is very much dependent on our roles at hq and, it is not real clear, so individuals determine for themselves a framework of roles and responsibilities.
  - There seems to be an assumption that the HQ staff are not technically qualified. I disagree. We have a wealth of expertise covering all the major technical areas needed to be effective HQ advocates and overseers. No one can be expert in everything, but I would need to go .
  - EM never follows through on any program it develops, so unless this has buy-in at the highest levels it will fail. The office responsible must make the consequences of failure to comply severe or else don’t bother.

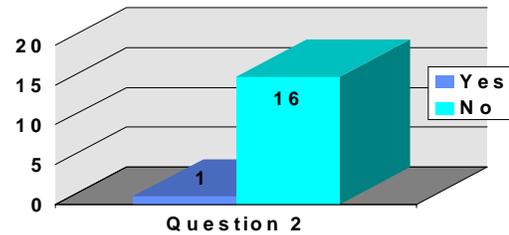
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- It's a grave mistake not to place all EM, technical employees in a tqp. It creates a divide between those who are and those who are not. It implies that those who are not in the TQP are technically incompetent. Any engineer or scientist who isn't in the tqp should be converted to a nontechnical job series such as program analyst.
  - Strategic plans, the EM working charter, and functional performance all seem to indicate that what is needed at HQ is better planning, mgnt, and communication. These areas need emphasis and continue to suffer while attention is directed to technical quals.
  - Since EM staff has downsized, employees, for the most part, are too busy to get training of any significance. Most staff are just too busy and managers feel they cannot let staff take long or short term training because there are no backups for people. There is just not enough staff, time during the day, etc. To get everything done. Previously we used contractors for a lot of the work load, but that support is being downsized too. So staff is already over burdened with work. Perhaps the TQP should be put on hold until EM can get reorganized and distribute the workload evenly among all employees.
  - Depending on the job functions, the TCP may not work for everyone. However, in positions that have critical skill requirements, it is necessary to provide a vehicle that will shore up skill deficiencies for those within the position. Identifying the deficiencies will be a key component in determining the specific tcp needed for the individual. Also, the TCP should be a continuing education program for those applicable employees or at least provide for periodic qualification renewal.
  - Supervisors must take charge/responsibility for training their staff. It's their job.
  - Typically, my supervisor is not receptive to training as it takes me away from his work.

**MANAGERS AND SUPERVISORS:**

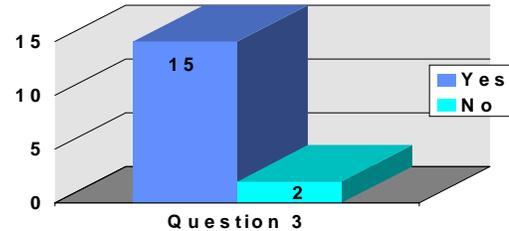
1. Are you familiar with the requirements and administrative flexibilities that are available in for recruiting, hiring, and retaining high quality technical employees?



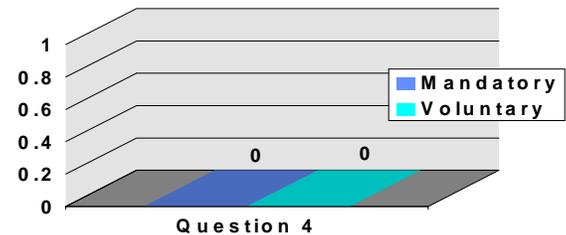
2. Do you believe that adequate attention is being given to continuous technical development and improvement of EM employees?



3. Do you think that there would be value to your staff if EM HQ had a formal technical and non-technical capability program?



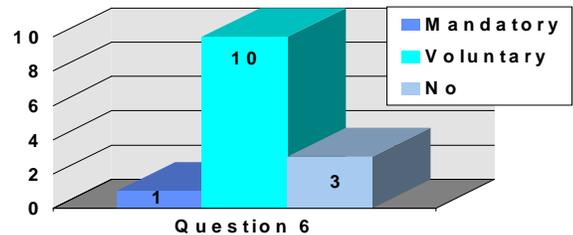
4. Do you think that participation (at some level) in a Technical Capability Program (TCP) should be mandatory or voluntary for technical managers and staff?



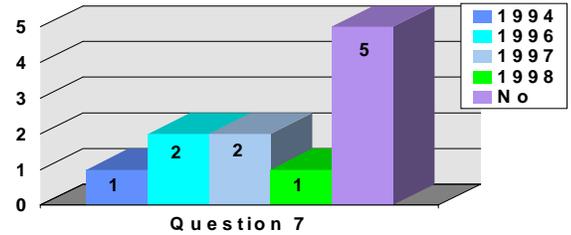
5. If you believe that participation in the TCP should be mandatory for certain technical positions (staff and managers), what two criteria in your opinion can be used to select those positions?

(See comments on page B - 23)

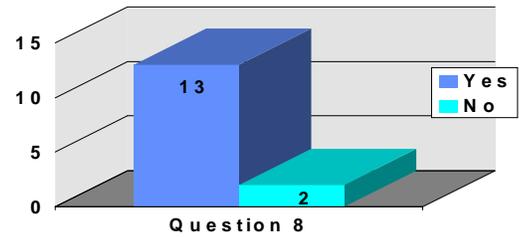
6. Do you think that the current Technical Capability Program (TCP) should be broadened to allow non-technical employees to participate in some form of qualification program. If yes, should participation be mandatory or voluntary?



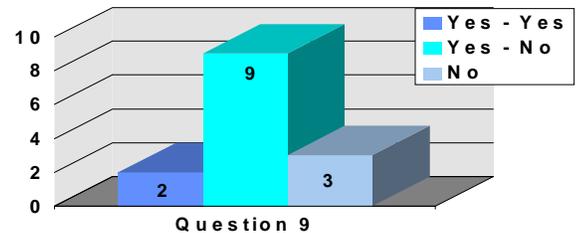
7. Do you develop Individual Development Plan (IDP) for your subordinates?  
If yes, when were the last IDPs developed?



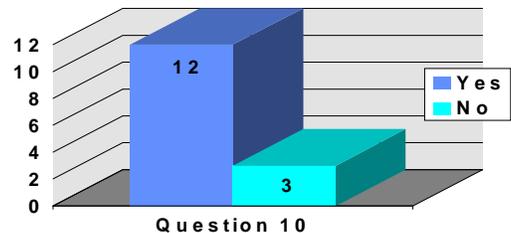
8. Participants in a TCP will continually work on maintaining their skills and competencies that relate to their position and the work being performed. Do you feel participation in a TCP would provide better tools than those currently available for the participant to identify training/professional development needs on their IDP?



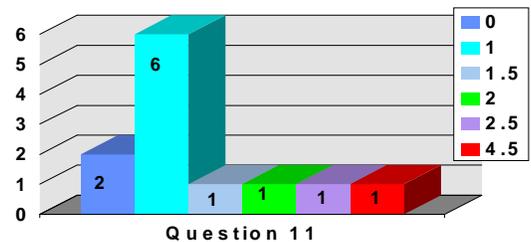
9. Are you familiar with the DOE Technical Qualification Program? If yes, do you feel the majority of the Functional Area Qualification Standards (i.e., Waste Management, Environmental Restoration, Radiation Protection, etc.) and their respective competencies are appropriately written for EM Headquarters?



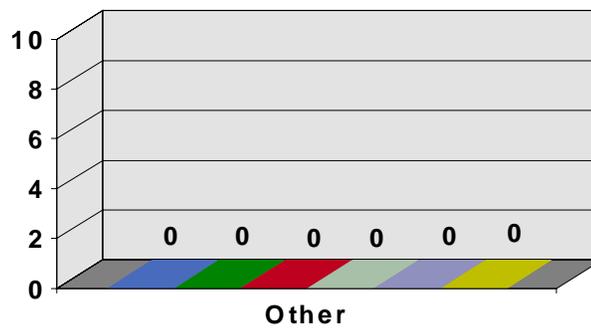
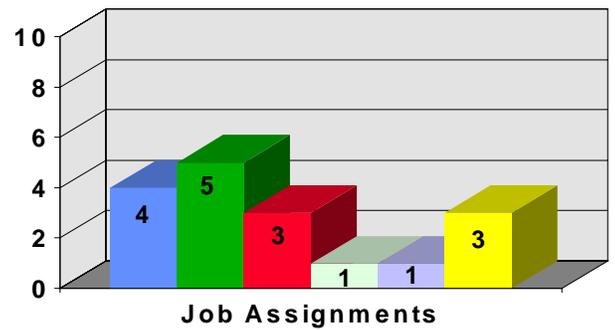
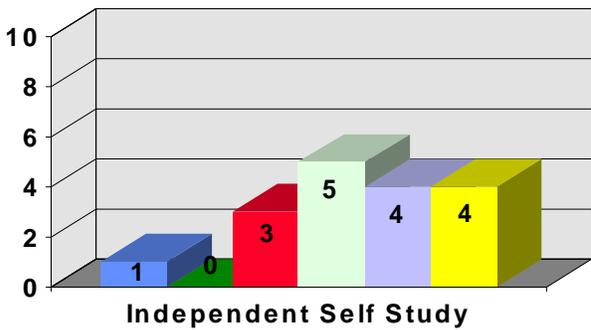
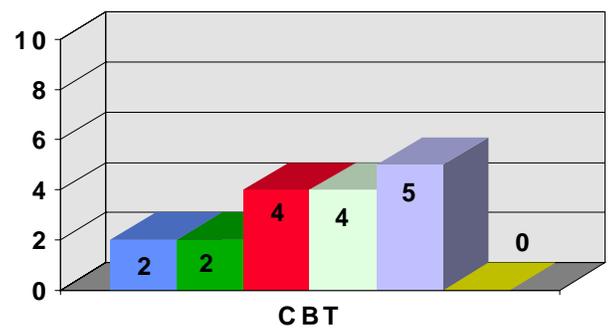
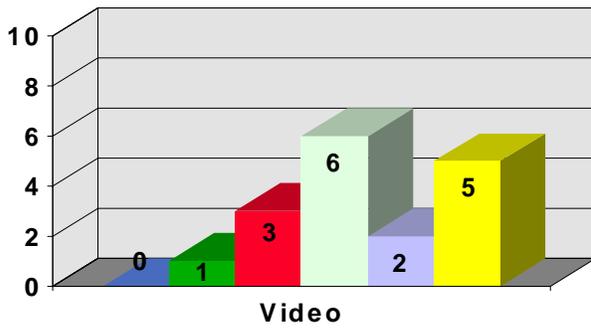
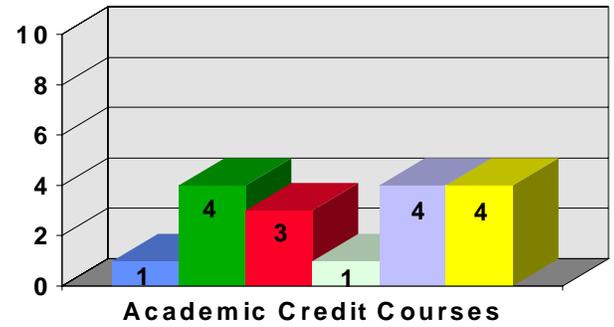
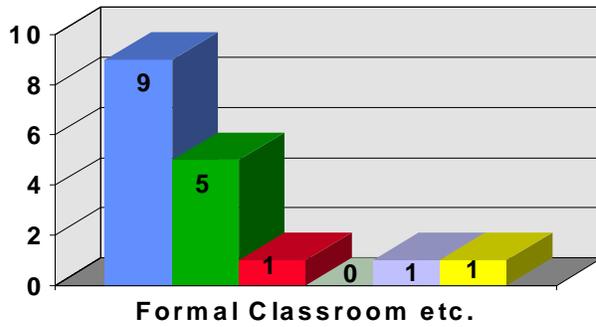
10. Do you think that your staff would see the value of a TCP?



11. How much time is allotted for each of your staff per year for continuing training/professional development activities?

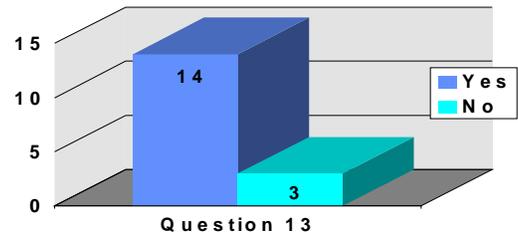


12.. Please rank your preferred methods of learning (1=most, 6=least).



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13. Do you think that each position in an Office should identify specific capabilities that are unique to the work of each office and that those capabilities should be reflected in the program?



14. To have a credible program, EM Headquarters will need to verify that competencies related to capability standards have been obtained by an individual. How do you feel this should be done without creating a huge administrative burden on the organization (i.e., testing, interview with supervisor, project performance reviews,)?

(See comments on page B - 24)

15. Please provide any additional comments you may have.

(See comments on page B - 24)

Question 5:

- Grade level; position description; is tutorial work required
- Does the position require principally management or technical Skills? Can technical requirements be met with technically capable personnel.
- Critical nature of position, i.e., safety managers positions requiring certifications.
- Direct technical oversight of project; technical policy formulation
- Determine by technical function and grade.
- Influence on em corporate policy and decisionmaking; Impact on operational and safety performance in the field.
- Depends on what is in the TCP.
- Unknown.
- Job function.
- Unknown.
- Degree of technical oversight required in position and grade level.
- Unknown advisory responsibilities to em-1 for making line safety management decisions; Authorization of funds to be committed to Site operations.
- Makes actual, real time decisions affecting safety.
- Seniority (all 15 & managers at a minimum); Area of responsibility.
- Level/scope of responsibilities; Type of work (i.e., are there potential safety issues?).

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Question 14:

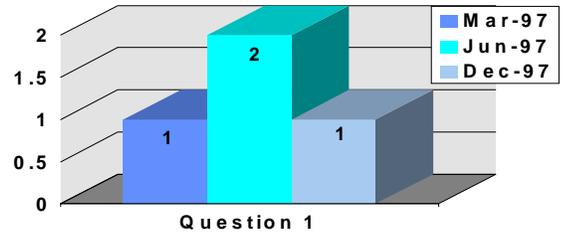
- Testing and periodic performance reviews; 360 degree input.
- Leave it up to supervisors to keep track.
- Self certification.
- Testing at end of training.
- Greater ability to fire employees and hire ones with the right education, experience, and interests (not just leftover AEC employees who don't know or care about environmental cleanup issues).
- By supervisor.
- Independent interview panel.
- Certification of completion of training, and classes approved by supervisor and an EM expert in the field of the particular competency.
- Interview with supervisor.
- Interview with supervisor.
- Testing.
- Desk audits.
- Not sure - one on one interviews.
- No testing - interviews; prior work experience.
- Interview with supervisor; project performance reviews.
- Completion of required courses/training. Honor system for completion. Course certificates should be filed in personnel file.
- Limited focused testing.

Question 15:

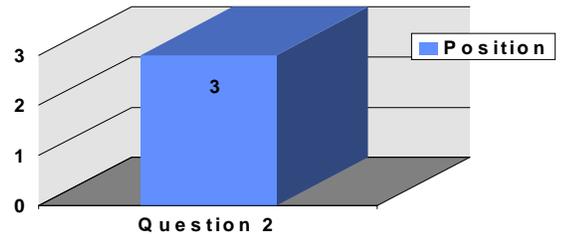
- Most of the work at HQ is not very technical. Beyond a very basic level of technical ability (chemistry, physics, biology, engineering), most employees need policy and management skills. Also, some basic history of the cold war and the technical role of each facility and the interrelationship of the facilities during the cold war to build bombs would be useful.
- In relation to IDPs, the last communication regarding IDPs that I have on file is an e-mail dated 9/29/95. Following that e-mail, we were told to hold off on IDPs pending resolution of union issues. I do not recall ever seeing a subsequent notice regarding IDP formulation.

**SENIOR TECHNICAL SAFETY MANAGERS/ADVISORS:**

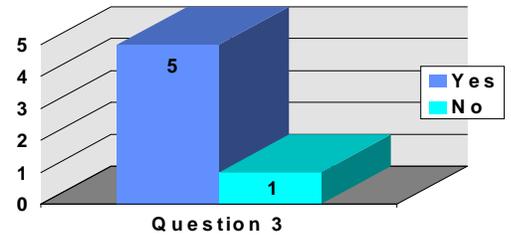
1. When were you enrolled in the STSM/A Program?  
(Month/year)



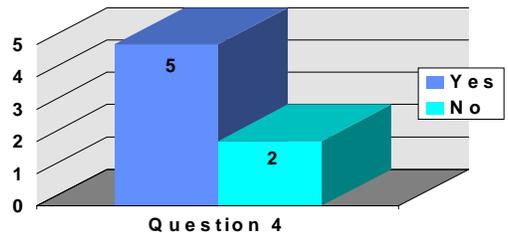
2. Why were you selected to participate in the EM STSM/A Program?  
(See additional comments on page 20)



3. Have you completed your STSM/A self assessment package in TQP Tracker and submitted it to EM-13?  
(See additional comments on page 20)

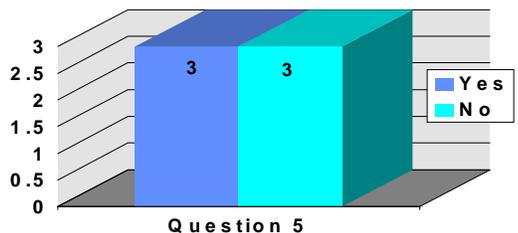


4. Have you completed your STSM/A interview?  
If yes, do you think the process was of value to the yourself and the EM panel? Please explain.

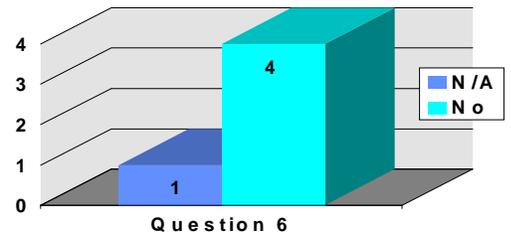


*(See Comments on Page B - 27)*

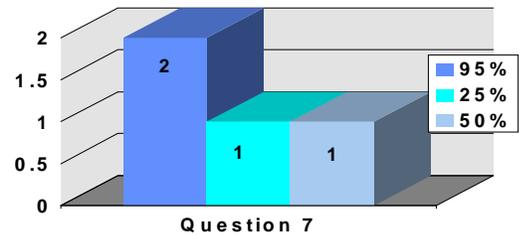
5. Have you been working towards obtaining needed skills and abilities (as planned) to meet deficiencies identified in your self assessment?  
(See additional comments on page B - 27)



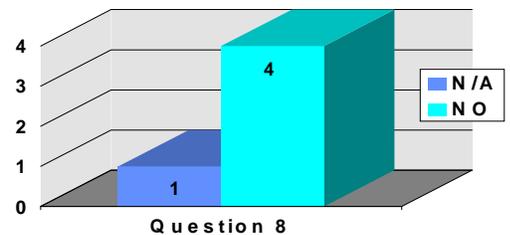
6. If the answer to #5 above was yes, have you updated your qualification record (TQP Tracker) to reflect these accomplishments?



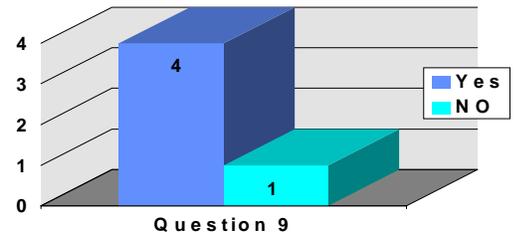
7. About what percent complete are you in the process of qualification completion (e.g., 25%, 50%, 70%, etc.)?



8. Does your Individual Development Plan (IDP) reflect needed learning activities to meet STSM/A competencies? (See additional comments on page 20)



9. Are you confident that you will complete the program by the summer of 1999? [Note: This only applies to STSM/A incumbents who were enrolled in the program as of January 1998.]



10. What service(s) can be provided by the Office of Training and Education (EM-13) that are most needed by you to facilitate your participation and completion of the program?

(See comments on page B - 27)

11. How would you rate the support you have received from EM-13 to date?

(See comments on page B - 28)

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Question 2:

- I think it's because I'm a senior EM manager with some influence in safety decision making. Quite honestly, communication of EM efforts in this program have been dismal. It sometimes has the appearance of a clandestine effort.
- Position and line management responsibilities.
- As a senior program manager.

Question 3:

- Completed the paper version, EM-13 put it in TQP tracker.

Question 4:

- Too brief. Not familiar with my package at all.
- To me - important to regularly review selected doe directives and have the opportunity to review with other STSM/A's. To the ranch?
- Not sure what to think. What's the purpose of the program in conjunction with EM line program responsibilities for safety? I'm not sure that what we're doing aligns well with the board's concerns expressed in 93-3.
- Reinforces the formality and rigor of the process. If STSM is going to be a real title it should be reinforced with testing and training.

Question 5:

- No time and not enough money.

Question 8:

- Haven't updated yet.
- No up-to-date IDP.

Question 9:

- I'm not aware that I needed to.
- If it is required, it will be done.

Question 10:

- Get review and signatures on the submitted self assessment packages.
- Periodic structured discussions of topics critical to EM STSM/A's; periodic updates of EM status/actions.

- 
- A clear, concise explanation for my participation in the program would help. I'm not sure anyone has talked to me directly about what's expected.
  - Link the tqp tracker with online training modules and links on the internet or LAN to actual reference material.
  - Management needs to make this a priority in order for us to make the time to upgrade qualifications. Whatever EM-13 can do to make that happen would be most helpful.

Question 11:

- Haven't.
- Very good.
- I've received no support from EM-13. On the other hand, I wasn't aware of what's expected.
- Have had nominal interaction with EM-13 on this subject.
- O.K.
- Satisfactory.

**APPENDIX C**  
**BIOGRAPHIES**

**BIOGRAPHIES OF TEAM MEMBERS**

**Michael H. Kleinrock** currently serves as the Director of the Office of Administrative Services (EM-12) and the Acting Director of the Office of Training and Education (EM-13). His primary duties include managing the Office of Environmental Management's (EM's) human resource management and human resource development programs and is responsible for the other administrative functions in EM. Previously, he served as the Environment Team Leader in the Office of Waste Management (EM-30), the Director of Environmental Activities in the Office of Compliance and Program Coordination, as Environment Team leader on two "Tiger Team" assessments, and as Team Leader in the Environmental Survey program of the Office of Environmental Audit. He has a B.S. in Civil Engineering and thirty years experience in governmental programs. Mr. Kleinrock was previously qualified as certified (interim) EM Lead Auditor.

**Joni Boone** currently serves as a staff member in the Office of Training and Education (EM-13). Her primary duties include managing the implementation of EM's 93-3 and STSM/A programs, managing EM's educational grant programs, and has been involved in the Department's Corporate Human Resource Information System. She was instrumental in developing the EM TQP prior to its suspension in April 1996. She has 22 years of experience in the personnel and training field in several Governmental agencies.

**Larry D. Vaughan** currently serves as the Office of Environmental Management Quality Assurance Advisor. His primary duties includes: developing policies and management practices for the EM Quality Assurance Program; advising EM management on the implementation of, and compliance with QA processes and procedures; and representing DOE and EM on policy or standards writing committees. He has a B.A. in Mathematics and minor in Physics with over twenty years experience in the field of nuclear/environmental quality assurance and total quality management. Mr. Vaughan is a certified lead quality assurance auditor per ASME NQA-1 national standard and is the certifying official for EM Headquarters auditors/lead auditors.

**J. Stephen Voelkel** received his Bachelor of Arts (BA) degree with a concentration in Geological Sciences from Harvard University and his Master of Health Science (MHS) degree with concentrations in Environmental Health, Industrial Hygiene and Safety from The Johns Hopkins University, School of Hygiene and Public Health. Mr. Voelkel has 13 years of experience in the technical training field. His responsibilities have included all aspects of the management, development and delivery of environmental and health and safety training for both government and industry. To date he has conducted more than 200 site visits and 10,000 hours of classroom instruction to more than 4,500 government and private employees throughout the

world. During the past five years Mr. Voelkel has provided DNFSB 93-3, Technical Qualification Program (TQP) support to the EM and EH training offices.

**Pamela S. Logan** has supported the EM training office since 1994. As a management analyst, her current responsibilities include developing a system for tracking technical training in EM, providing business solutions, and coordinating activities to facilitate a successful Technical Training Program (the Technical Capability Program) in support of the EM training office. Ms. Logan has 6 years of experience in records management and was responsible for implementing and managing a records program for a 6 billion dollar program. She is pursuing her Bachelor of Science (BS) in Information Systems Management, and expects to graduate in 1999.

**APPENDIX D**  
**TCPIT CHARTER**

# memorandum

DATE: AUG 06 1998

REPLY TO  
ATTN OF: EM-12 (Kleinrock:6-4604)

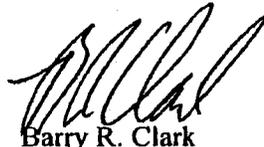
SUBJECT: Technical Capability Program Implementation Team (TCPIT) Charter

TO: James M. Owendoff, EM-1

As you are aware, the Implementation Plan (IP) for Defense Nuclear Facility Safety Board (DNFSB) Recommendation 93-3, has been revised by the Department and accepted by the Board. The IP requires, among other things, that each Headquarters and Field element responsible for defense nuclear facilities develop and implement a Technical Capability Program (TCP) for its employees.

The Office of Environmental Management (EM) began development of a TCP under the original DNFSB Recommendation 93-3 IP. That program was never implemented in EM due to many factors, including issues raised by the National Treasury Employees Union (NTEU). Many of those issues remain, however, EM Headquarters needs to meet its commitments in the DNFSB Recommendation 93-3 IP. To this end, a working group - the Technical Capability Program Implementation Team (TCPIT) - has been formed. Members of the team were nominated by their Deputy Assistant Secretaries in response to my May 11, 1998, memorandum. In addition, representatives from NTEU have been asked to participate on the team to share ideas and exchange information so that when it is time to enter into impact and implementation (I&I) negotiations, the major issues will have been resolved.

Attached, for your approval, is a charter for the TCPIT. It was developed and signed by the team members. I am the responsible EM Deputy Assistant Secretary for implementing DNFSB Recommendation 93-3. I support the team, its mission, goals, and responsibilities, and have approved the charter. I recommend that you too approve the charter. If you have any questions, please call me on 6-1665.



Barry R. Clark  
Acting Deputy Assistant Secretary  
for Management and Evaluation

Attachment

# **TECHNICAL CAPABILITY PROGRAM IMPLEMENTATION TEAM (TCPIT) CHARTER**

## **BACKGROUND**

The Defense Nuclear Facilities Safety Board (Board) issued a letter to the Secretary of Energy (Secretary) on April 2, 1997, requesting that the Implementation Plan (IP) responding to Board Recommendation 93-3 be revised. The Secretary agreed with the request to revise the IP in his response to the Chairman on April 25, 1997.

The Department developed the "Revised Implementation Plan for Improving DOE Technical Capability in Defense Nuclear Facilities Programs," which was approved by the Secretary on May 5, 1998, and accepted by the Board on June 1, 1998.

In order to effectively address the commitments and action items in the 93-3 IP, the Office of Environmental Management (EM) has assembled the Technical Capability Program Implementation Team (TCPIT). The TCPIT will plan, develop, and promulgate the implementation of those commitments involving EM.

## **MEMBERSHIP**

The Deputy Assistant Secretary of each EM organization shall designate a representative from their organization to be a member of the team. The EM Capability Agent to the Federal Technical Capability Program (FTCP) will also designate a representative member. Representatives of the National Treasury Employee Union (NTEU) have been asked to participate on the team. EM-12/13 will chair the EM TCPIT.

## **MISSION/GOALS**

The mission of the TCPIT is to develop a means to implement EM's commitments to the Board for Recommendation 93-3 for the purpose of recruiting, deploying, developing, and retaining federal personnel with the demonstrated technical capabilities to safely accomplish the Department's safety missions and responsibilities. The TCPIT's goal is to assist in the development and implementation of a meaningful technical professional program designed to enhance and retain high quality technical personnel. The means to achieve the purpose is to initiate the Technical Capability Program (TCP), formerly the Technical Qualification Program (TQP).

## **RESPONSIBILITIES**

1. TCPIT members will represent their program offices on all EM Technical Capability Program issues.

2. As a path forward, the old TQP will be reviewed and analyzed to determine if any of the old program can be applied to the new (although the overall program was not fully successful and effective, there may be value in some of the processes that can be applied in the new effort).
3. Plan, schedule, promulgate implementation, and evaluate DNFSB Recommendation 93-3 commitments and actions as they relate to EM.
4. Initiate the TCP for EM Headquarters staff.
5. Provide status to EM-1 on Implementation progress.
6. Provide status and information to the NTEU to promote an equitable transition.
7. Ensure commitments and actions identified in the revised IP are met.

Michael Kleinrock 8/3/98  
 Michael Kleinrock, EM12/13 Date  
 Chair, TCPIT

Chandra S. Majumdar 7/23/98  
 Chandra Majumdar, EM-4/ Date

Arnold Gritzke 7/22/98  
 Arnold Gritzke, EM-20 Date

Hank Himpler 7/22/98  
 Hank Himpler, EM-30 Date

Randy Smyth 7/23/98  
 Randy Smyth, EM-40 Date

Mac Lankford 7/20/98  
 Mac Lankford, EM-50 Date

Andy Szilagyi 7/24/98  
 Andy Szilagyi, EM-60 Date

Robert Goldsmith 7/27/98  
 Robert Goldsmith, EM-70 Date

**APPROVED BY:**  
Barry R. Clark 8/6/98  
 Barry R. Clark, Acting Deputy Assistant Secretary for Management and Evaluation Date

James M. Owendoff 8/11/98  
 James M. Owendoff, Acting Assistant Secretary for Environmental Management Date