

United States Government

Department of Energy
Office of River Protection**memorandum**

DATE: **FEB 05 2014**

REPLY TO
ATTN OF: ORP:JHW 14-ORP-0013

SUBJECT: REPORT OF RELIEF OF THE FEDERAL TECHNICAL CAPABILITY PANEL
AGENT

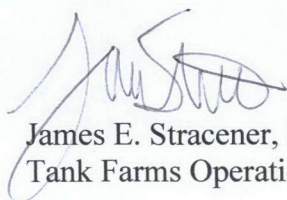
TO: Kevin W. Smith, Manager
Office of River Protection

- References:
1. DOE Order 426.1, Change 1, "Federal Technical Capability."
 2. Technical Qualification (TQP) Plan, MGT-QT-PL-01.
 3. MGT-QT-DI-01, "Federal Technical Capability Panel Agent Duties."

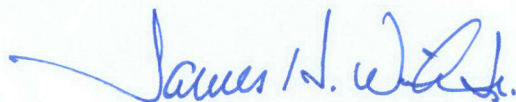
Jim Wicks and Jim Stracener have conducted a turnover of responsibilities for the U.S. Department of Energy, Office of River Protection's Federal Technical Capability Panel (FTCP) agent. Concurrent with this relief, a self-assessment of References 1, 2, and 3 was conducted by Jim Wicks, Jim Stracener, and Colleen Meyers. While the self-assessment did not identify non-compliances with the implementing order, Reference 1; several opportunities for improvement were identified and are reported in the attachment. Upon request, Jim Wicks will provide assistance to Jim Stracener to develop corrective actions and implement improvements into the procedures.

Accordingly, effective February 1, 2014, the FTCP agent's roles and responsibilities will be assumed by Jim Stracener. The FTCP chairperson, Karen Boardman and her deputy, Dave Chaney, have been informed of the relief.

If you have any questions, please contact James H. Wicks, Jr., FTCP Agent, (509) 376-3522.



James E. Stracener, Facility Representative
Tank Farms Operations Division



James H. Wicks, FTCP Agent
Office of River Protection

Attachment

Attachment
to
14-ORP-0013

Self-Assessment in Support of Relief of the Federal Technical Capability Panel Agent

(total number of pages, 3)

**U.S. Department of Energy
Office of River Protection**

Assessment Report Number: M-14-MGR-INTERNAL-001
Division Performing the Assessment: Federal Technical Capability Panel Agent
Integrated Assessment Schedule Number: 14296
Title of Assessment: Self-Assessment in Support of Relief of the Federal Technical Capability Panel Agent
Dates of Assessment: December 2013 through January 29, 2014
Assessment Lead: James H. Wicks, Jr.
Assessment Team Members: Jim Wicks, Jim Stracener, Colleen Meyers

Scope: The purpose of the assessment was to review the U.S. Department of Energy (DOE), Office of River Protection's (ORP) compliance to DOE O 426.1, *Federal Technical Capability*, Chg 1, as applicable to the roles and responsibilities of the Federal Technical Capability Panel (FTCP) agent in support of the reassignment of the position from Jim Wicks to Jim Stracener. A self-assessment was performed in accordance with TRS-OA-IP-07, *Management (Self) Assessment*, Rev. 2, where information was retrieved from MGT-QT-PL-01, *Technical Qualification Program (TQP) Plan*, Rev. 3; MGT-QT-DI-01, *Technical Qualification Program: Federal Technical Capability Agent Duties*, Rev. 2; technical staff electronic training and qualifications files; and ORP's technical staff hard copy training and qualification files to determine the effectiveness of the implemented program and identify any weaknesses of the existing program at turn-over of responsibilities.

Requirements Reviewed:

- DOE O 426.1, *Federal Technical Capability*, Chg 1, September 2011
- MGT-QT-PL-01, *Technical Qualification Program (TQP) Plan*, Rev. 3, September 2012
- MGT-QT-DI-01, *Technical Qualification Program: Federal Technical Capability Panel Agent Duties*, Rev. 2, October 2012
- Electronic training and qualification files
- Hard copy training and qualification files stored in fire-proof cabinet at 2440 Stevens Center.

Discussion of Area(s) or Activities Reviewed:

The existing FTCP agent responsible programs, records, metrics, and reports were reviewed against the requirements contained in the above documents.

Summary of Findings, Opportunities for Improvement, or Assessment Followup Items:

The following opportunities for improvement were identified:

- **M-14-MGR-INTERNAL-001-001:** Michelle Searls, ORP's technical editor, reviewed the Technical Qualification Program (TQP) Plan and FTCP Agent Desk Instruction that are the responsibility of the FTCP agent. Michelle reported that while she had no issues with the documents as read, they do need to be revised to bring them into compliance with MGT-PCA-IP-03, *Writer's Manual*. Michelle has been requested to mark-up the documents as part of the minor changes identified below.
- **M-14-MGR-INTERNAL-001-002:** ORP's TQP Plan, Paragraph 5.2.1 requires an annual review of the TQP Plan by the FTCP agent if the agent considers it necessary. This review is to be conducted with the assistance of the division directors whose goal is to reconfirm the TQP Plan as current and applicable. There is no documented evidence of such an annual review, identification of the need for a revision, or a report documenting the decision that a review is not required. This paragraph is awkward and does not agree with the requirement contained in DOE O 426.1, Chg 1. Recommend revising the TQP Plan to clarify the requirement.
- **M-14-MGR-INTERNAL-001-003:** Continuing training is ORP's weakest TQP compliance area. This condition is attributed to insufficient budgets for training and travel, but division directors have not made sufficient effort to capture any continuing training, with the notable exception of nuclear safety in the developmental training of nuclear safety specialist into criticality safety engineers. A commitment was written into the TQP Plan to give the technical staff a continuing training event at least once every two years. We need to either refresh that commitment, change it to something we can commit to, or remove it since it is not based on any documented higher-tier requirement.
- **M-14-MGR-INTERNAL-001-004:** References in both the TQP Plan and desk instruction need to be updated to include Implementing Procedure MGT-QT-IP-03, *ORP Safety System Oversight Engineer Qualification Process*.
- **M-14-MGR-INTERNAL-001-005:** DOE O 426.1, Chg 1, requires that the FTCP agent is to be involved as an active participant in the approval of any submitted training implementation matrices and all other training related documents. This has not been the case in the past.
- **M-14-MGR-INTERNAL-001-006:** DOE O 426.1, Chg 1, requires the FTCP agent to be consulted as part of the hiring process for positions requiring qualification as a senior technical safety manager (STSM). No such collaboration is extended to the FTCP agent by the Human Resources Management Team. Additionally, DOE O 426.1 requires the agent to "Concur with STSM vacancy announcements to ensure the inclusion of adequate selection criteria." This is not part of the DOE Office of Richland Operations/ORP Human Resources Management STSM posting process.
- **M-14-MGR-INTERNAL-001-007:** ORP's Qualification-At-A-Glance metric is required to be updated monthly and distributed to the senior staff quarterly. Experience has shown that quarterly updates are sufficient. Recommend changing the local

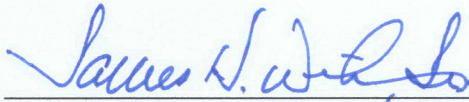
requirement contained in the TQP Plan and desk instruction to reduce the administrative burden of the metric to quarterly.

- **M-14-MGR-INTERNAL-001-008:** Travel to the FTCP semiannual face-to-face meetings has been disapproved for the past two years because of budget. Sufficient priority needs to be established to ensure the agent meets his/her obligations as a member of the FTCP.
- **M-14-MGR-INTERNAL-001-009:** During the TQP self-assessment the hard-copy TQP files were in the process of being updated and improved. Colleen Meyers will continue to work on these as time permits. We have a significant volume of files that are old training files from employees' past. While impressive, they are not necessary for ORP to demonstrate qualifications. Accordingly, we are copying the files we need to show qualifications to today's requirements for the assigned functional area qualifications and providing the employees their files for retention in their personal files or in field files depending on the choice of the employee.

Conclusion: While overall compliant with the requirements contained in the DOE O 426.1, Chg 1, improvement actions exist. Results of the survey indicate good overall qualification achievement by the majority of the ORP technical staff. Records are in order with minor deficiencies noted for correction. The parent ORP documents need revision in order to bring them into compliance with the ORP *Writer's Manual*.

ORP Management Debriefed: (the content of this self-assessment is part of the relieving report to the ORP Manager) Jonathan Dowell, Kevin Smith.

Lead Assessor:



Date:

