

memorandum

National Nuclear Security Administration
Los Alamos Site Office
Los Alamos, New Mexico 87544

DATE: 706 0 5 2013
REPLY TO:
ATTN OF: Fred Bell
SUBJECT: Los Alamos Field Office Technical Qualifications and Federal Technical Capabilities
Program Self-Assessment Report

TO: Geoffrey Beausoleil, Acting Manager, Los Alamos Field Office

THRU: John Krepps, Assistant Manager, Field Operations, Los Alamos Field Office 

References:

1. DOE O 426.1, *Federal Technical Capability*
2. MP 00.15 Rev 0, *LASO Self-Assessments for Federal Operations*
3. MP 02.04 Rev 5, *LASO Technical Qualification Program Management Procedure*
4. MP 06.05 Rev. 2, *Facility Representative Training and Qualification*

This memorandum transmits the Los Alamos Field Office (NA-00-LA) Technical Qualifications and Federal Technical Capabilities Program Self-Assessment Report. The purpose of the self-assessment was to evaluate compliance with the Technical Qualifications Program (TQP) and Federal Technical Capabilities Program (FTCP) requirements in Reference (1), and to evaluate the effectiveness of the NA-00-LA program as implemented. The scope of this assessment included the criteria for 2 FTC and 2 TQP Program requirements identified in DOE O 426.1, Appendix C. Follow-on yearly self-assessments will be conducted, so that all 5 FTC criteria and the 7 TQP criteria are assessed within the Order required 4 year period.

As identified in the attached report, the assessment team concluded that NA-00-LA has implemented a compliant and effective TQP and FTC program. The assessment team identified no findings and two observations. Resolutions of the observations are being managed by ePegasus action number *ACT-FO-7.24.2013-525296*, as well as ePegasus action number *ACT-BA-7.25.2013-525452*.

Please direct questions related to the attached report to Jaime Navarro at (505) 665-1517.



Fred Bell
NA-00-LA
Federal Technical Capability Panel Agent

Attachment

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FO:40JN-526602

**U.S. Department of Energy
National Nuclear Security Administration
Los Alamos Field Office**



**Self-Assessment of the
LASO Technical Qualifications and Federal
Technical Capabilities Program**

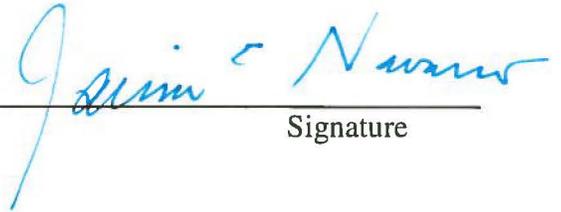
July 2013

Signature Page

Team member concurrence:

Jaime Navarro
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LASO SET, Team Member
Organization



Signature

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I. Executive Summary

This self-assessment of the Technical Qualifications and Federal Technical Capability program was conducted to provide Los Alamos Field Office management specific information related to effectiveness of the documentation and implementation of these programs. The conclusion of this assessment is that the areas assessed herein are compliant with the requirements, and that implementation of the requirements has been effective at this Field Office.

All of the assessment objectives were met; no findings and two observations were made. The two observations made are related to minor weaknesses in the documents that describe these programs; the first is a need to clarify in the NA-00-LA Integrated Management System Description, Functions, Responsibilities, and Authorities (FRAs), the organizational position responsible (either the Senior Science, Technology & Engineering Advisor or the Safety Engineering Team Leader) for ensuring adequate implementation of the Technical Qualifications Program (TQP). The second, a need to update the information provided in the NA-00-LA Employee Handbook that was last updated in 2009. The corrections of these items will be tracked as e-Pegasus actions.

Details of the program evaluation and discussions are included in Section V, Specific Criteria, Observations and Evaluations. A consolidated list of the observations is included in Section VI, Issue Summary.

II. Introduction

Federal technical capability is necessary for the Department of Energy (DOE) to accomplish its mission in a safe and efficient manner, and the Technical Qualifications Program (TQP) establishes a process to ensure its federal technical employees possess the necessary knowledge, skills, and abilities to perform their assigned duties.

Federal staff technical qualifications are conducted in accordance with DOE Order 426.1, *Federal Technical Capability*, and LASO Management Procedure 02.04, *LASO Technical Qualifications Program*. The purpose of this self-assessment of the TQP and the Federal Technical Capabilities Program (FTCP) is to evaluate compliance with its requirements and to evaluate the effectiveness of the program as implemented.

III. Scope and Methodology

The scope of this self-assessment was to evaluate TQP and FTC Program requirements as required by DOE Orders, included in Los Alamos Field Office procedures, and as implemented by the Los Alamos Field Office. The overall approach was to evaluate personnel, procedures and management control systems.

The self-assessment was performed in accordance with Los Alamos Field Office Management Procedure (MP) 00.15, Rev. 0, *LASO Self-Assessments for Federal Operations*, utilizing criteria identified in Los Alamos Field Office Technical Qualifications Program and Federal Technical Capabilities Program Self-Assessment Plan, transmitted by FO:26FB-489631, dated January 16, 2013. In accordance to the plan, the scope of this self-assessment will include the criteria for 2 FTC and 2 TQP Program requirements identified in DOE O 426.1, Appendix C, paragraph 2.a. Also according to the plan, follow-on yearly self-assessments will be conducted such that all 5 FTC criteria and the 7 TQP criteria are assessed within the Order required 4 year period. The specific assessment criteria are repeated in Section V of this report in the results discussion for each objective.

The assessment used the following definitions to categorize identified issues in accordance with MP 00.12, *Independent Assessment Process*:

Findings: Findings are violations of an applicable requirement or established performance criterion. Findings require corrective action and should be based upon: (1) regulatory requirements, (2) contract compliance requirements that involve necessary functions or could impact safety or quality assurance, (3) a number of related performance issues, (4) lack of necessary administrative controls, or (5) significant programmatic, effectiveness or safety related issues.

Observations: Observations are problems or conditions that are of concern to the Los Alamos Field Office team member that, if left unaddressed, could lead to non-compliance with

requirements, but is not a violation of requirements.

The assessment team included:

- Jaime Navarro, LASO TQP Manager
- The team members that were identified in the assessment plan were not able to support this activity due to on-going travel fund restrictions at the Albuquerque Complex.

IV. Results

This assessment concluded that the Los Alamos Field Office has implemented a compliant and effective TQP and FTC program for the objectives assessed. The related program processes and their implementation were found effective to assure technical staff achieve and maintain their required certification requirements so they may effectively perform their technical functions. It found that programs, plan and procedures are structured to meet DOE Order requirements. It also found strong management support and commitment to the programs, as well as processes to effectively attract competent technical personnel.

Following are the observations identified in this assessment;

- **Observation TQP 1:** Plan 00.14 Rev 1, of the LASO FRA, needs clarity in the identification of the position responsible for performing the function that ensures adequate implementation of the Technical Qualifications Program (TQP),
- **Observation FTCP 1:** The “*Los Alamos Field Office Employee Handbook*” adequately documents senior management commitment to continuous technical development, however, it is outdated and does not follow requirements under Management Procedure 00.01, *LASO Policy, Management Procedure, Work Instruction, and Process Description Preparation and Maintenance*, which provides a process for generating and maintaining Management level documents.

Details of evaluation of the programs and discussions supporting the identified observations follow under the discussion for each objective. A consolidated list of the observations is included in Section VI, Issue Summary.

V. Specific Criteria, Observations and Evaluations

Technical Qualifications Program

Objective: 1. Structured Program - The program clearly identifies and documents the process used to demonstrate employee technical competence.

Criteria:

- 1.1: Senior Management is committed to the TQP.
- 1.2: At a minimum, personnel providing management direction or oversight that could impact the safe operation of a defense nuclear facility have been identified as TQP participants.
- 1.3: Individual Development Plans (IDPs), Training Plans, technical qualifications records, or other related documents are updated to reflect the activities required for each individual to satisfy competencies.
- 1.4: A formal evaluation process (e.g. to select and train Qualifying Officials) is in place to objectively measure the technical competency of employees. The rigor of the evaluation process is commensurate with the responsibilities of the position.

Results:

TQP Objective 1 is met. The Los Alamos Field Office has established and implemented a well structured TQP program which includes participants that are involved in the oversight of defense nuclear facilities and has strong management support. Also, processes for assuring a healthy TQP program for the training and evaluation of participants are in place.

The program identifies and documents the process used to demonstrate employee technical competence. The program process is documented in the Los Alamos Field Office Management Procedure (MP) 02.04, Rev. 6, *LASO Technical Qualification Program*. The review found this management procedure fully describing the process in use to ensure technical competence of the technical staff, and includes the following process sections:

- 1) Entry to the TQP,
- 2) Completing qualification activities,
- 3) Developing site specific qualification standards,
- 4) Continuing training,
- 5) Requalification,
- 6) Qualifying officials,
- 7) Feedback,
- 8) Federal Technical Capability Program, and,
- 9) Training Files.

The file records of a number of TQP participants was reviewed to verify that their records included documentation described as required in management procedure MP 02.04; the following process items were verified, a) completed PEQ (paragraph 5.1.3), b) if the PEQ documents whether the position is considered part of the TQP (paragraph 5.1.3), c) if the PEQ was signed by the appropriate member of management, (paragraph 5.1.3) and d) if position descriptions (PDs) for technical positions that require oversight of defense nuclear facilities designate position as subject to coverage under the TQP, (5.1.1). The results of this review demonstrated that the records of TQP participants reviewed are compliant with the procedure.

Regarding training records and IDPs, it was noted that Human Resources (HR) staff does not maintain or have access to these records. However, it was noted that HR ensures IDPs are updated at least yearly and reviewed and approved by supervisors. Individuals maintain their own training records, and only they and their supervisors have access to these records.

Regarding Qualifying Official (QO) selection, DOE O 426.1, paragraph 4.b.(3)(c) requires that TQP plans include processes for “identifying employees and/or positions that can serve as qualifying officials to verify and certify qualifications”. Review of MP 02.04 section 5.7, “Qualifying Officials”, indicates that “a supervisor nominates a Subject Matter Expert (SME) who has sound judgment, good communications skills, and technical competence”. It also includes a list of activities the QO must perform, along with filling-out and signing a “Qualifying Official Attestation Form” that attests the individual has read the QO orientation and understands his duties and responsibilities, and requires it be also signed by the candidate QO’s supervisor. Accordingly, MP 02.04 expects supervisors to have the knowledge necessary to nominate a Subject Matter Expert (SME) as a candidate QO if he possesses the qualities necessary to become an effective QO. Review of the guidance in NNSA Technical Qualifications User’s Guide for QO section and training, indicates compliance in MP 04.02 with the recommended process in that document.

A summary of the responses from senior and mid-management indicates all interviewed are personally committed and are part of the TQP program by being technically qualified, mainly as Senior Technical Safety Managers (STSMs) but also Facility Representative (FR), and Federal Project Director (FPD), and as supervisors; also by supporting their staff and championing the TQP process. When asked how they monitor their employees’ progress toward qualification completion, a summary of the responses indicates a majority of those interviewed monitor employee progress through review of monthly Field Office Dashboard reports, others obtain status by attending staff meetings and by conducting their own data gathering for their staff. They indicated they are aware of issues and have close communication with their staff regarding technical qualification. They also indicated they have a high level of confidence their staff will be able to meet their TQP qualification schedule.

Finding

None.

Observation

None.

Strength

Strong management commitment for the TQP.

Objective: 2. Plans and Procedures – Plans and /or procedures are developed and implemented to govern administration of the program.

Criteria:

- 2.1: Written procedures that adequately define the processes and requirements to implement the TQP are in place.
- 2.2: Roles and responsibilities for implementing the TQP are clearly defined and understood by all involved.
- 2.3: The procedures that govern implementation of the TQP are understood by all involved and are being implemented as written.
- 2.4: A training and qualification records development and maintenance process is established for each employee in the TQP.

Results:

TQP Objective 2 is met. The assessment found that the Field Office has adequately established TQP procedures for TQP process and that they are understood by those involved and implemented as written. A lack of clarity was noted in the documentation for the responsibility for TQP process implementation, since the documents stated there were two different positions responsible. Management interviews indicated that TQP procedures are well understood.

The processes and requirements that must be included in a TQP plan are identified in DOE O 426.1, *Federal Capability*, paragraph 4.b.(3). These items were reviewed and verified for compliance in MP 02.04, *LASO Technical Qualification Program*; the comparison found the MP to be in compliance with the Order.

LASO PLAN 00.14 Revision 1, *Los Alamos Site Office Integrated Management System Description including LASO Functions, Responsibilities, and Authorities (FRAs)*, was reviewed to verify the Roles and Responsibilities for implementing the TQP are clearly defined and understood by those involved at the Los Alamos Field Office. The reviewer identified the following;

- Paragraph 6.0 Strategic Planning, page 24 states that the Manager appoints a Federal Technical Capabilities Panel (FTCP) agent to ensure adequate implementation of the Technical Qualifications Program (TQP), and goes on to say the FTCP Agent ensures appropriate technical employees are enrolled in the TQP Program. It states that each supervisor implements the DOE TQP, and is responsible for ensuring that their staff is trained and qualified to perform their duties.
- Under Appendix 1, Section 1.3 “The Senior Science, Technology & Engineering Advisor”, paragraph 1.3.12 (page 36) it states that he, “implements the FTCP with guidance developed by the Principal Deputy Administrator, CTA, and Deputy Administrators, to ensure the Los Alamos Field Office Federal technical employees responsible for oversight of NNSA (*should say Nuclear*) facilities are trained to perform their duties safely and efficiently. Provides coordination and oversight of the

implementation of the Los Alamos Field Office TQP. [NNSA FRAM 4.0]”

- Then also under Appendix 1, Section 8.2, “The Safety Engineering Team”, paragraph, 8.2.9 (page 56) it states, “The Safety Engineering Team Leader serves as the FTCP Agent for LASO and supports the Senior Science, Technology & Engineering Advisor in the implementation of the TQP for LASO. [DOE O 426.1, NNSA FRAM 4.0]”

The review therefore found a lack of clarity as to who is responsible for performing the function that ensures adequate implementation of the Technical Qualifications Program (TQP), and ensures appropriate technical employees are enrolled in the TQP Program. Paragraph 6.0 says the FTCP agent is responsible to perform this function, and Appendix 1, paragraph 1.3.12 states it is the Senior Science, Technology & Engineering Advisor that ensures the Federal technical employees responsible for oversight of NNSA facilities are trained to perform their duties safely and efficiently and provides coordination and oversight of the implementation of the TQP. Then in Appendix 1 paragraph 8.2.9 it states that the Safety Engineering Team Leader serves as the FTCP agent and supports the Senior Science, Technology and Engineering Advisor in the implementation of the TQP. Therefore, there needs to be clarity related to documentation of the responsibility for the performance of this function.

Management was interviewed to help assess whether TQP Roles and Responsibilities are clearly identified and understood by management and staff. Management interviewees felt the roles and responsibilities are well defined and understood, however, one felt changes in roles and responsibilities may be on the way due to future initiatives from the newly created office of NA-00. An issue was raised by one of the managers regarding a lack of flexibility in the TQP qualifying process, in that it takes too long to complete, and with the current need to be flexible due to constant staff changes, a more nimble qualifying process is needed.

Also, senior management interviews were conducted to help assess whether TQP Procedures are implemented as written and understood by all involved. All interviewed believe the procedures are understood as written. However, in an unrelated topic, one raised an issue in that it appears to him there is a lack of balance among all Field Office staff, between the technical and non-technical staff; because the non-technical staff doesn’t have a similar qualifying process with the rigor of the TQP. This concern was outside of the scope of this assessment, as non-technical staff training is covered under DOE O 306.1, “*Federal Employee Training*”.

Also, a review was conducted of TQP records to verify that TQP requirements in MP 02.04 are being implemented as written. The records for random participants were reviewed to verify that the procedure is being implemented as written. No issues were noted.

The review also found that TQP qualification records for technical employees are being maintained in accordance to section 6.0 of MP 02.04, and that non-TQP related training records are maintained by the individual TQP participant.

Findings

None

Observation

Observation TQP 1: Plan 00.14 Rev 1, *Integrated Management System Description Including LASO Functions, Responsibilities, and Authorities (FRAs)* needs clarity in the identification of the position responsible for performing the function that ensures adequate implementation of the Technical Qualifications Program, since paragraph 6, states it is the FTCP agent, and Appendix 1 says it is the Senior Science, Technology & Engineering Advisor.

Strengths

None

Objective: 3. Effective implementation of corrective actions identified in the most recent TQP self-assessment report.

Criteria:

3.1: Corrective action deliverables were implemented as identified in the Corrective Action Plan generated from the most recent TQP self-assessment report.

Results:

This assessment objective will be covered under a separate assessment, "Verification of Closure of Federal T&Q Deficiencies" which is planned to start on July 2, 2013.

Federal Technical Capability Program

Objective: 1. Executive Commitment and Line Management Ownership. Line management is actively involved in all aspects of technical employee recruitment, retention, development, and deployment.

Criteria:

- 1.1 Line managers are aware of the requirements and administrative flexibilities associated with recruiting, hiring, and retaining high-quality technical employees.
- 1.2 Senior line management supports the continuous technical development and improvement of employees.
- 1.3 Supporting Departmental organizations (personnel, training, contracts, finance, etc.) recognize line managers as customers and effectively support them in achieving and maintaining technical excellence.
- 1.4 The applicable Level One or field level Functions, Responsibilities, and Authorities (FRA) Document clearly defines Federal line management responsibilities in the area of technical capability.

- 1.5 Achieving and maintaining technical competence are reflected in the goals and objectives of the organization and the position descriptions and performance evaluation plans of senior managers.
- 1.6 Technical capability programs and processes are institutionalized through Policy, Orders, Standards, and procedures.
- 1.7 Management uses the results of previous FTCP assessments as a tool to improve the program.

Results:

FTCP Objective 1 was met. Indications from management interviews are that they understand the requirements and the flexibilities in the process for hiring technical staff and that they support continuous training and are committed to the TQP process. They indicated they are clear in understanding field level TQP requirements; although they expressed a need to better understand the process for identifying the best technical program to match their staff positions. The review also found that the field level FRA document adequately defines federal line management responsibilities with respect to technical capability. Another field office document, the "*Los Alamos Site Office Employee Handbook*", also describes technical positions; however, upon review, it was noted it did not meet the local process for maintaining management documents, Management Procedure 00.01, *LASO Policy, Management Procedure, Work Instruction, and Process Description Preparation and Maintenance*. It also found senior management position descriptions and performance evaluation plans to include references to maintaining technical competence and found procedures that institutionalized technical capability, as well as evidence that past FTCP assessments are used as a tool to improve the program.

Line managers interviewed stated they understand and are aware of the requirements and flexibilities in the process for hiring and retaining highly technical staff, however, they expressed concern regarding their inability to offer financial benefits to prospective employees and to reward existing technical employees, due to current budget restraints.

Management interviewees indicated strong support for the continuous training and development of their employees and themselves. Senior and mid-management also indicated they support and are personally committed to the TQP program and consider themselves as champions of the TQP process. They stated they have close communication with their staff regarding technical qualification issues and have high level of confidence their staff will meet and maintain TQP qualification. Senior management interviews indicated they have knowledge the LASO Plan 00.14 Rev 1, *Integrated Management System Description Including LASO Functions, Responsibilities, and Authorities (FRAs)*, and that they are clear regarding the TQP requirements for the field office technical staff.

The area of supporting organizations providing support and recognizing line managers as their customers was viewed by line managers as very positive. They felt they are being very well supported, however, they indicated supporting organizations are restricted by the current budget

in their ability to support them in regards to making available financial incentives to potential new employees or their current employees. They also pointed out that they may need help in better understanding the process for identifying the most appropriate technical program for their technical staff positions, either a Functional Area Qualification with the TQP, or in the TQP but enrolled in the Project Management Career Development Program (PMCD). It is recommended that a briefing or training to line managers be developed so they are better informed of the differences in FAQs in the TQP, and the appropriateness for the various technical positions at the Field Office.

Review of the LASO FRAs found that it includes statements related to federal technical capability, particularly under ISMS guiding Principles 3, “Competence Commensurate with Responsibility”, which states that an expected outcome is that training programs ensure technical capability of its current employees. The FRAs also requires that performance measures be used for measuring employee (including senior management) completion of their TQP qualifications.

The review also identified a statement of senior management commitment to technical capability in the “*Los Alamos Site Office Employee Handbook*”. The Handbook includes a section (21), which describes the types of positions that will be responsible for performing technical functions and the requirements under the TQP. It states that it is Federal line management’s responsibility to determine if an employee should be placed in the TQP. This document was located in the Field Office intranet website, however, does not include a document number or change log, and is currently outdated since it was signed by the Field Office Manager in 2009. **Observation FTCP 1:** The “*Los Alamos Site Office Employee Handbook*” adequately documents senior management commitment to continuous technical development, however, it is outdated and does not follow requirements under Management Procedure 00.01, *LASO Policy, Management Procedure, Work Instruction, and Process Description Preparation and Maintenance*, which provides a process for generating and maintaining Management level documents.

A review of Senior Management performance measures noted strong support for senior managers to achieve technical competence; evidence was found in senior management Specific Performance Objective (SPO) #2 which includes a performance measure that states, “Develop IDP (Individual Development Plan) to include TQP and position-specific requirements and complete required training”. Review of a sample senior management Position Description also indicated a strong expectation that senior managers acquire and demonstrate technical competence. Also, the “*Los Alamos Site Office Employee Handbook*”, in section 21, Technical Qualifications Program”, includes organizational goals and objectives that reflect achievement and maintaining of technical competence. However, as indicated above, this document, should to be updated and follow the local management procedure for document preparation and maintenance.

The Los Alamos Field Office’s technical capability programs and processes were found to be institutionalized through Management Procedure (MP) 02.04 “LASO Technical Qualification Program” and MP 06.05 “Facility Representative Training and Qualification”. These procedures were found to be adequately maintained and descriptive of these programs.

Evidence was also found that FTCP assessments are utilized to improve the TPQ, in that a recent TQP assessment of the LASO TQP conducted during January 2011, documented several

findings, AFIs and Recommendations. A corrective action plan was generated on May 2011 which identified necessary actions for the findings, and for a number of the AFIs. An assessment is currently planned for later in FY2013 that will evaluate the effectiveness of the actions of the corrective action plan.

Findings

None

Observations

FTCP 1: The “*Los Alamos Site Office Employee Handbook*” adequately documents senior management commitment to continuous technical development, however, it is outdated and does not follow requirements under Management Procedure 00.01, *LASO Policy, Management Procedure, Work Instruction, and Process Description Preparation and Maintenance*, which provides a process for generating and maintaining Management level documents.

Strengths

None

Objective: 2. Recruiting Technically Capable Personnel. An effective process is implemented to attract highly competent technical personnel to fill key positions in the Department.

Criteria:

- 2.1: Excepted Service Authorities are considered as a tool to attract highly competent technical personnel to fill key safety positions.
- 2.2: Intern programs (or Pathway Programs), such as the Departmental Internship Program, Recent Graduates Program, Presidential Management Fellows (PMF) are recognized as an effective method to attract technically competent personnel to the Department, consistent with Executive Order 13562, “Recruiting and Hiring Students and Recent Graduates”...

Results:

FTCP Objective 2 is met. The assessment found that the Field Office effectively utilizes Excepted Service hiring authority to attract competent technical personnel. It also utilizes the Future Leaders program to attract technically competent recent graduates to the field office.

A discussion with the Los Alamos Human Resources Liaison officer was held regarding using Excepted Service hiring authority to attract highly competent technical personnel to fill key safety positions. She indicated the process for recruiting technically capable personnel using the

Excepted Service Authority is managed by the Albuquerque Complex. She pointed to the Albuquerque Complex website provides the information and the policy for utilizing NNSA excepted service hiring authority. It was noted that the website specifically includes policy letter BOP#02A001, "*Excepted Service Employment Under the National Nuclear Security Administration Act*", and NNSA's "*Excepted Service Employment Program Guidebook*". She stated that when a position at the Los Alamos Field Office is to be advertized, the local management decides whether to fill it as Excepted Service or Pay Band position; if they decide to pursue Excepted Service hiring, then it is taken to the NNSA Executive Review Board (ERB) for review and approval. She stated the current number of NNSA Excepted Service positions in the field office is currently 37%, but that when the authority was granted in 2002, the percent was significantly greater. The field office continues to use Excepted Service hiring authority, with the most recent Excepted Service hire taking place in early 2012, therefore demonstrating that the field office has used and continues to utilize available tools to fill key positions.

Further discussions with the Los Alamos Human Resources Liaison officer indicated that the Future Leaders Program (FLP) is the program that the NNSA has utilized for attracting technically competent recent graduates to the Department. She indicated the FLP is administered by headquarters, and the process for the Field office to gain to a recent graduate through the FLP is as follows; a list of FLP participants is distributed to the NNSA field offices, (the list includes the graduate's preferred office locations and technical background), then the Field offices select the individuals that match their location and desired technical background. Following this process, the Los Alamos Field Office selected 2 graduates from the most recent FLP class, and plans to continue to utilize this program in future years.

Findings

None

Observations

None

Strengths

None

VI. Issue Summary

Observation TQP 1: Plan 00.14 Rev 1, *Integrated Management System Description Including LASO Functions, Responsibilities, and Authorities (FRAs)* needs clarity in the identification of the position responsible for performing the function that ensures adequate implementation of the Technical Qualifications Program, since paragraph 6, states it is the FTCP agent, and Appendix 1 says it is the Senior Science, Technology & Engineering Advisor.

Observation FTCP 1: The “*Los Alamos Site Office Employee Handbook*” adequately documents senior management commitment to continuous technical development, however, it is outdated and does not follow requirements under Management Procedure 00.01, *LASO Policy, Management Procedure, Work Instruction, and Process Description Preparation and Maintenance*, which provides a process for generating and maintaining Management level documents.

VII. References

Document Reviews:

- a. DOE O 426.1, *Federal Technical Capability*
- b. LASO Plan 00.14 Rev 1, *Integrated Management System Description Including LASO Functions, Responsibilities, and Authorities (FRAs)*
- c. LASO MP 00.15 Rev 0, *LASO Self-Assessments for Federal Operations*
- d. LASO MP 02.04 Rev 5, *LASO Technical Qualification Program Management Procedure*
- e. LASO MP 06.05 Rev. 2, *Facility Representative Training and Qualification*
- f. LASO WI 00.10 Rev 0, *ePegasus Correspondence and Action Tracking Instructions*
- g. LASO WI 00.13 Rev 0, *LASO Annual Assessment Planning*
- h. LASO Integrated Assessment Schedule
- i. LASO SET FY13 Planned Assessment Schedule
- j. CDNS Biennial Review of LASO, August 1, 2012, and associated corrective actions and records
- k. *Los Alamos Site Office Technical Qualification Program Self-Assessment Report*, January 10-13, 2011
- l. *Corrective Action Plan for the Technical Qualification Program Self-Assessment*, May 2011
- m. LASO Memorandum FO/SET:31FB-411785, Subject: Los Alamos Site Office Workforce Analysis and Staffing Report for Calendar Year 2011, dated January 23, 2012.
- n. LASO Technical Qualification Program Records
- o. LASO Assistant Manager Position Description
- p. Qualifying Official Attestation Form

Interviews:

- Deputy Manager and Chief Operating Officer
- Assistant Manager for Field Operations
- Assistant Manager for National Security Missions
- Waste Management Team Supervisor