NATIONAL PERFORMANCE REVIEW

Internal Team Report to the Secretary
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U.S. governmental organizations are, for the most part, hierarchical, evolving originally from the European -- principally British -- military, that marched to battle in square formations adopted originally to keep the impressed ranks from deserting. This kind of organization did not serve the British well in the Revolutionary War. Organizations that trace their origins to these roots are "top-down" operations that stifle the free flow of communication and ideas, that is to say, "orders are orders." Exacerbating this condition is a negative dynamic between the career service and appointed officials that has grown dramatically over the past two decades. The former tend to close ranks, while appointees seem to have come to view the career service with something ranging from suspicion to contempt. In the reinvention of government, our hope is to eliminate these organizational and attitudinal barriers and to win the revolution again.
EXECUTIVE SUMMARY

The National Performance Review Internal Team received over 300 statements suggesting changes in legislation, procedures and directives that govern the operations of the department. These papers were reviewed, combined where appropriate, referred to internal task forces, focus groups, and in one case the White House team and were distilled to the 41 issues that are presented in the appendix to this report.

Of equal importance to the matters addressed by the 41 issues but not immediately apparent, is the theme that emerged from the review of all of the 300 papers that were received, namely, that Department of Energy employees want a major change -- a revolution -- in the way we do business. Specifically:

- Department employees want to be empowered in areas of decision-making and responsibility that will allow them to be seen from within as well as from outside the Department as adding value through their activities.

- Our employees earnestly believe that Department contracting needs to be done better, cheaper and simpler.

- They are eager to learn from individuals and organizations that have made a successful transition to principles of quality management.

- They believe that communications back and forth between headquarters and the field need to improve dramatically.

Finally, through the National Performance Review internal process emerged the identification of a number of strictly internal barriers -- self-inflicted wounds -- to efficient operation. These difficulties, which included the DOE requirement for government drivers licenses and the lengthy period required for travel clearance, do not appear in the present recommendations. These barriers fell after they were exposed to daylight through the broad departmental representation of the National Performance Review Internal Team. We recommend that this type of function -- the exposure and elimination of self-inflicted wounds -- be continued through the Quality Council. We also strongly recommend that each of the issues in this report that have been referred for action to a task force or focus group be followed by the Quality Council to successful resolution.
RECOMMENDATIONS FOR ACTION

The recommendations for action listed below are extracted from the body of the report. Summary descriptions of the issues appear in body of the report and the issues are presented in detail in the appendix.

GENERAL

REFERRALS

Many of the 41 issues included in this report (list, page 34), among them some of the most important issues that were addressed by our team, were referred to existing offices and task forces. We consider these referrals to be one of the greatest successes of our effort. We recommend that the Secretary charter the Leadership Group and the Quality Council to follow the referred issues in this report through to their resolution.

RECOMMENDATIONS FOR ACTION

The recommendations listed below are presented to the Secretary for action for one of two reasons, that the issue is sufficiently broad that no single team or office was identified to manage it, or that our team had little confidence that a single recipient would adequately consider the diverse views of multiple stakeholders. We recommend that the Secretary assign the action to one or more offices or organizations for resolution and that she also charter the Leadership Group and the Quality Council to follow these issues through to their resolution.

COSTS: MORE FOR OUR MONEY

PROCUREMENT/ACQUISITION PROCESS

We recommend that the General Counsel's Office prepare a legislative package that would effect desired changes to the Department of Energy Organization Act, Public Law 95-91, that would enable the Department to expedite certain changes to its procurement regulations by providing a less formal rulemaking process consistent with procedures followed by other federal agencies. (Report page 10, Issue Paper A-3)

We recommend that the Assistant Secretary for Human Resources and Administration delegate the use of credit card purchases under $2,500 to program offices within the department. (Report page 10, Issue Paper A-4)
We recommend that the Assistant Secretary for Human Resources and Administration delegate the authority for making small purchases under $25,000 to the Department's program offices. (Report page 10, Issue Paper A-2)

**CONTRACT MANAGEMENT**

We recommend that the Secretary endorse the development of a permanent status in the federal sector for the Federal Demonstration Project, which has worked to improve research administration policies and processes, and its activities. This should be accomplished by requesting the Executive Branch Office of Science and Technology Policy to take the lead to promote the Federal Demonstration Project mission and suggest improvements to the Office of Management and Budget for implementation government-wide. (Report page 12, Issue Paper A-6)

We recommend that the Secretary empower the Office of Energy Efficiency and Renewable Energy and the Office of Human Resources and Administration to establish teams to proceed with implementation of a pilot project at the Department of Energy concerning energy savings contracts. The project will focus specialized resources on technical issues and contracting requirements associated with the unique requirements of this type of contractual arrangement, and will serve as an example for the remainder of the Federal government. (Report page 13, Issue Paper A-7)

We recommend that the Secretary request that the Associate Deputy Secretary for Field Operations establish a team to investigate the potential of contractor consolidation at Department of Energy sites in addition to the Idaho National Engineering Laboratory. (Report page 13, Issue Paper A-8)

We recommend that the Secretary request the Associate Deputy Secretary for Field Operations to monitor and examine the results of the Richland Field Office Privatization Program with a view to expanding the program department-wide. (Report page 13, Issue Paper A-9)

**FINANCIAL MANAGEMENT**

We recommend that the Secretary request the Associate Deputy Secretary for Field Operations to consider consolidating administrative and finance activities into 3-4 Regional Centers. This recommendation would leave the budget functions, funds control functions, contractor oversight and financial management responsibilities with each Operations Office, but would consolidate cash management, accounting, on-line payment and collection systems, Health and Human Services contract payment
system, some administrative functions and Financial Information System reporting into three or four Department of Energy Regional Centers. These centers can be located in existing Operations Offices by expanding the office capability that currently exists. (Report page 15, Issue Paper A-13)

PEOPLE: VALUING AND EMPOWERING PEOPLE

WORKERS AND COMMUNITIES

We recommend that the Secretary empower the Assistant Secretary for Environmental Restoration and Waste Management to pursue innovative options to assure full stakeholder participation in the environmental restoration process. (Report page 18, Issue Paper B-6)

ENABLING OUR PEOPLE TO WORK SAFELY AND EFFECTIVELY

We recommend that the Office of the General Counsel review financial disclosure and other reporting requirements to see if (1) there is value added by imposing reporting burdens on all employees in a category or if a more narrowly-focused effort would suffice and (2) if, in the spirit of reinventing government and empowerment of federal employees, laws should be changed to eliminate this and similar reporting requirements. (Report page 19, Issue Paper B-8)

We recommend that the Secretary empower the Leadership Group and the Quality Council to study and redefine internally independent oversight activities. In many instances, the oversight organizations are much more satisfied with their policies and reporting requirements than are the programs that they support. A full airing of these issues among all stakeholders would develop more effective measurements for worker safety and health and other similar important issues. (Report page 19, Issue Paper B-9)

We recommend that the Secretary continue to aggressively support development of a quality culture through line management initiatives fully supported by the Leadership Group and the Quality Council. (Report page 20, Issue Paper B-10)
DOE UNIVERSITY

We recommend that the Secretary implement the proposal developed by the Secretary's Diversity Council to centralize training under a "DOE University." Centralized training cross-cuts many goals of the Department: reducing waste and duplication, empowering employees to succeed, retaining a quality work force that can meet future challenges, and providing upward mobility for many women and minorities. (Report page 20, Issue Paper B-11)

OPERATIONS: DOING THINGS BETTER

WORKING WITH THE PRIVATE SECTOR

We recommend that the Secretary direct the Associate Deputy Secretary for Field Operations to monitor progress in the Richland Operations Office reinvention laboratory for successes in attracting private sector investment and for innovative disposal of excess real property and consider applying similar techniques at sites other than Hanford. (Report page 23, Issue Papers C-1 and C-2)

We recommend that the Secretary establish one or more task forces that include stakeholders within and outside of government, including private sector experts in investment banking, accounting and operations, to encourage moving revenue-generating operations to the private sector. (Report page 23, Issue Paper C-3)

ADAPTATION OF THE LABORATORIES TO NEW PRIORITIES

We recommend that the Secretary encourage the Mission of the Laboratories Priorities team to continue its valuable studies and, in addition, encourage testing more entrepreneurial approaches to defining laboratory missions, technology transfer, and laboratory management than have yet been tried. (Report page 24, Issue Paper C-4)

STREAMLINE DEPARTMENT OF ENERGY OPERATIONS

We recommend that the Secretary empower the Leadership Group and the Quality Council to study and redefine the response process to Inspector General reports and audits. In many instances, the oversight organizations are much more satisfied with their policies and reporting requirements that are the programs that they support. A full airing of these issues among all stakeholders would develop a more effective response process. (Report page 27, Issue Paper C-9)
INFORMATION: QUALITY COMMUNICATIONS THROUGH TECHNOLOGY

STREAMLINE REPORTING REQUIREMENTS

We recommend that the Secretary ask each major DOE component to conduct a review of their reporting requirements, to identify and eliminate all reports that are unnecessary, overlapping or duplicative. The review should include Department of Energy external reports, internal reports and field-to-headquarters reports. The review process should include the producers as well as the consumers of these reports. (Report page 32, Issue Paper D-5)
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COSTS: MORE FOR OUR MONEY
COSTS: MORE FOR OUR MONEY

The Department of Energy's Fiscal Year 1994 budget is estimated to be almost $20 billion, including more than $18 billion for contractual goods and services. This set of issues will focus on how the Department can better manage its funds -- from how we request our budget, to how we spend it on contracts and supplies, and, finally, how we manage our costs.

PROCUREMENT/ACQUISITION PROCESS

The acquisition process within the Department of Energy is overly complex and administratively burdensome to program offices. It takes an average of 1 1/2 to 2 years to award a competitive contract, and the system for making small purchases (those under $25,000) is costly, time-consuming and bureaucratic. In an effort to reduce the time and costs associated with the use of contracted services and goods, several proposals have been made to streamline and simplify the acquisition process within the Department:

• Modification of Part 33 of the Federal Acquisition Regulation that would establish penalties against frivolous protests by an offeror, would reduce much of the burden from the federal procurement process and reduce unnecessary paperwork.

• Increasing the small purchase threshold in Federal Acquisition Regulation Part 13.0000 from $25,000 to $75,000 would increase the ability for stimulation of small business and small disadvantaged businesses and enhance the productivity of federal staff. Delegating the authority for making some or all small purchases (under $25,000) to the Department's headquarters program offices would reduce the costs and delays now associated with small purchases.

• A revision to the Department of Energy Organization act, Public Law 95-91, rescinding section 501(b)(3), would enable the Department to expedite certain amendments to its procurement regulations by providing a less formal rule making process consistent with procedures followed by other federal agencies.

• Delegating the use of credit card purchases for goods and services under $2,500 to program offices would eliminate unnecessary reviews and paperwork and save time and money. The National Performance Review's Customer Support Services Team has, in fact, also recommended that agency heads provide
managers with the ability to authorize the purchase of small dollar value items with credit cards.

- Evaluating and potentially streamlining procurement processes such as the Source Evaluation Board Process, the Work Authorization Directive System, the Contractor Award Fee Process, the Accountability Rulemaking System and the RFP/IFP process would likely result in the implementation of a more efficient and effective system to support the goals of the program offices and save the Department substantial costs in the administration of contracts.

- Making the Defense Contract Audit Agency the cognizant audit agency for all government contracts would result in significant improvement to the verification of costs associated with the delivery of contractor services government-wide, streamline the audit function and create consistency throughout the government.

The proposed changes to the Federal Acquisition Regulation (increasing the small purchase threshold and reform of the protest process) have government-wide implications and are being addressed by the National Performance Review's Systems Team.

An Office of Management and Budget Task Force on Contract Audits, on which the DOE was a representative, reviewed the government-wide cognizance issue and did not conclude that the Defense Contract Audit Agency should be the cognizant audit agency for all government contracts. Rather, the Task Force endorsed that DCAA should be the cognizant auditor for all for-profit contractors, except where another agency desires cognizance because it has the largest amount of contract dollars with a particular contractor or an agency has a special interest in a contractor. An example of the exception would be the DOE management and operating contractors for which the DOE Inspector General has cognizance.

The issues dealing with the Source Evaluation Board Process, the Work Authorization Directives System, the Contractor Award Fee Process, the Accountability Rulemaking System and the RFP/IFP process have all been referred to the Department's Contract Reform Task Force for their consideration.

Three issues remain for the Secretary's consideration:

- We recommend that the General Counsel's Office prepare a legislative package that would effect the desired changes to the Department of Energy Organization Act, Public Law 95-91, that would enable the Department to expedite changes to its procurement regulations in the
same manner as all other agencies of the Federal Government. (Issue Paper A-3)

- We recommend that the Assistant Secretary for Human Resources and Administration delegate the use of credit card purchases under $2,500 to program offices within the Department. (Issue Paper A-4)

- We recommend that the Assistant Secretary for Human Resources and Administration delegate the authority for making small purchases under $25,000 to the Department's program offices. (Issue Paper A-2)

**CONTRACT MANAGEMENT**

In addition to the many procurement processes which have been recommended for improvement, there is a category of "contract management" activities that have been suggested as potential candidates for enhancing the overall management of contracts and facilitating special areas of emphasis.

- **Grants/contracts with colleges and universities**

  The Federal Demonstration Project is a group of Federal, University and National Academy of Science staff which has worked to improve research administration policies and processes that will increase research productivity and decrease unnecessary Federal and recipient paperwork burden, yet remain consistent with Federal and recipient financial oversight responsibilities.

  As currently structured, the Federal Demonstration Project is an informal group of dedicated government employees whose interest is to streamline and simplify Federal and recipient requirements for research administration. The FDP has no formal sponsorship office designated to champion its mission. A recommendation was received to endorse the development of a permanent status in the Federal sector for the FDP and its activities. This could be accomplished in the Executive Branch, Office of Science and Technology Policy. This office could promote the FDP mission and suggest improvements to the Office of Management and Budget for implementation government-wide.

- **Energy savings contracts**

  In order to achieve the goals of Executive Order 12759 and the Energy Policy Act of 1992, Federal agencies must invest an estimated $2-4 billion in energy saving projects. A large part of that investment must come from the private sector which is involved in leasing facilities and/or providing utilities to the
Federal government. This requires utilization of a special contract arrangement to incorporate special provisions which result in the Federal government and private investors sharing in savings from utility billings.

The Department's issue paper relative to the Federal government's making greater use of energy savings contracts was forwarded to the White House Team on Science and Technology for their consideration. The subject matter contained in the issue paper was accepted, in part, by the Science and Technology Team. In addition, other components of the issue paper were utilized by two of the White House System Teams (i.e., "Environment" and "Customer Services") which are addressing government-wide practices.

The suggestion that a pilot project be initiated (comprised of teams of personnel who possess the necessary technical and procurement expertise on energy savings contracts) is being adopted by the White House for government-wide implementation. This action is particularly relevant as every week of delay in installing energy efficient measures in Federal facilities costs the government over $19 million in lost opportunity.

Accordingly, we recommend that the Secretary empower the Office of Energy Efficiency and Renewable Energy and the Office of Human Resources and Administration (the two DOE offices which possess the technical knowledge and expertise necessary for carrying out this action) to proceed with implementation of a pilot project at DOE and thereby serve as an example for the remainder of the Federal government. The project will focus specialized resources on technical issues and contracting requirements associated with the unique requirements of this type of contractual arrangement.

- Consolidation of contractors

At some locations, the DOE has established multiple management and operating contractors to accomplish the DOE mission. The use of multiple contractors at a single site impedes effectiveness and efficiency of management and oversight of operations. Communications, integration of multiple programs, and planning in such a fragmented contractor environment are extremely difficult. Also, it is difficult to assign or determine ultimate responsibility and accountability on programmatic efforts, since different contractors frequently work on different aspects of a given program or issue. It becomes a complex process to ensure adequate coordination of interactions with federal regulators and integration of activities in site-wide environment, safety, and health programs.
The Idaho Operations Office is currently seeking a single consolidated contractor to replace five contractors on the Idaho National Engineering Laboratory site in order to streamline and reduce the cost of operations. Consolidation of multiple contractors should be given consideration at other sites.

- **Managed competition concept (privatization)**

Department of Energy management and operating contractors currently manage all site services, operations, infrastructure systems, from its "core" mission of research, development and testing and waste management facilities to "non-core" mission operations such as railroad services, laundry, photography, bus service, fleet management, etc. These services are generally performed in a non-competitive environment rather than acquiring competitively priced services from industry.

The Richland Field Office has developed a privatization program that seeks to acquire cost-effective competitively priced services and products from industry. A recommendation has been forwarded that the Department should seek private commercial bids to replace its in-house service operations and move to identify what "non-core" mission functions should be considered for privatization and the expected cost savings that could be obtained. The concept is currently being reviewed as a part of the Hanford Reinvention Laboratory project.

Four issues are highlighted for the Secretary's consideration:

- We recommend that the Secretary endorse the development of a permanent status in the Federal sector for the Federal Demonstration Project, which has worked to improve research administration policies and processes, and its activities. This should be accomplished by requesting the Executive Branch, Office of Science and Technology Policy to take the lead to promote the Federal Demonstration Project mission and suggest improvements to the Office of Management and Budget for implementation government-wide. (Issue Paper A-6)

- We recommend that the Secretary empower the Office of Energy Efficiency and Renewable Energy and the Office of Human Resources and Administration to establish teams to implement a pilot project at DOE to better utilize energy savings contracts. The pilot project will focus technical and contracting expertise on this unique type of
procurement arrangement and will serve as an example for the remainder of the federal government. (Issue Paper A-7)

- We recommend that the Secretary request that the Associate Deputy Secretary for Field Operations establish a team to investigate the potential of contractor consolidation at Department of Energy sites in addition to the Idaho National Engineering Laboratory. (Issue Paper A-8)

- We recommend that the Secretary request the Associate Deputy Secretary for Field Operations to monitor and examine the results of the Richland Field Office Privatization Program with a view to expanding the program DOE-wide. (Issue Paper A-9)

BUDGET PROCESS

In attempting to identify recurring themes which should be addressed through the auspices of the National Performance Review, one of the key DOE processes which readily surfaced was the manner in which agency budgets are formulated and executed. As the budget process is significantly affected by external entities such as the White House, the Office of Management and Budget, Congressional Oversight Committees, as well as others, the issue papers were submitted to the White House "System Team" assigned to handle budget matters. The White House "System Teams" are addressing cross-cutting matters that have an impact on multiple federal agencies. In addition, in order to obtain a technical perspective on general budget matters which were surfaced by the NPR team and to obtain input on some of the cited budget practices which pertain solely to DOE, the issue papers were also submitted to the Office of Chief Financial Officer which has overall responsibility for budget formulation and execution within the Department.

The issue papers developed by the Department's NPR team identified the following areas where enhancements to current practices and procedures appear warranted:

- Currently, the federal budget process takes place on an annual basis. This effort requires a major commitment of resources by all three branches of government. Administrative costs associated with the process entail vast quantities of staff time for budget preparation, hearings, and appropriations. In addition, budgeting on an annual basis limits the ability of departments and agencies to conduct effective and efficient long-range planning, and can serve to undercut stability in the planning process.
• The budget process in the Department is overly complex, time-consuming, and is not sufficiently integrated with the Strategic Planning Process. Budget decisions are sometimes disassociated from program objectives and instead focus on the Department's political/policy agenda. In addition, decisions impacting manpower, organizational structure, and grade levels may be carried out without full consideration of prudent programmatic and fiscal issues.

• DOE's highly detailed "budget and reporting" (B&R) structure can result in program offices being micro managed. As a result, extraordinary administrative costs are incurred by all Departmental elements as they address required functions such as work planning, work authorizations, and financial reporting. The detailed B&R structure also limits managers' ability to consider their programs from a broad implementation perspective that supports cross-cutting Departmental initiatives and/or national needs relative to DOE's research activities.

Concerning the NPR team's issue paper which recommended that a biennial budget process be considered, implementation of such an action clearly has government-wide implications. The White House "System Team" looking at the budget process is currently addressing this matter, along with other budget issues of a macro nature, in their report to the Vice President. Accordingly, it would not appear appropriate at this time for the Department to unilaterally initiate proposals to develop a biennial budget process.

With regard to the NPR team's issue papers which presented recommendations for making the Department's internal budgeting process more responsive to the needs of program managers, it should be pointed out that the Office of Chief Financial Officer has created a "Financial Management Information Task Force" which is made up of representatives from Headquarters and Field organizations. The initial meeting of this group was held on June 23, 1993. The action taken by the Office of Chief Financial Officer, while not specifically initiated in response to the team's issue papers, appear to satisfactorily address our recommendations. Accordingly, additional referral actions are not warranted.

FINANCIAL MANAGEMENT

• Consolidation of the DOE Field Office Administrative and Financial Activities

The Department of Energy currently operates with each DOE Operations Office having capabilities covering the full range of all administrative and financial activities: budget, budget validation, funds control, oversight of Management and
Operating (M&O) contractor operations, cash management, all accounting functions, on-line payment and collection (OPAC) systems, Health and Human Services contract payment system, various other administrative support activities (i.e., personnel, travel and procurement) and the Financial Information System (FIS).

- The consolidation of administrative, accounting and financial processing functions to a few specific centers should result in improved service to the entire DOE operational structure. The establishment of Regional Centers should also eliminate unnecessary levels of management and reporting/approval levels that currently exist in the process. Real savings can be obtained in total FTEs and systems and facilities expenses.

For the Secretary's consideration:

- We recommend that the Secretary request the Associate Deputy Secretary for Field Operations to consider consolidating administrative and finance activities into 3-4 Regional Centers. This recommendation would leave the budget functions, funds control functions, contractor oversight and financial management responsibilities with each Operations Office, but would consolidate cash management, accounting, on-line payment and collection systems, Health and Human Services contract payment system, some administrative functions and Financial Information System reporting into three or four Department of Energy Regional Centers. These centers can be located in existing Operations Offices by expanding the office capability that currently exists. (Issue Paper A-13)
PEOPLE: VALUING AND EMPOWERING PEOPLE
PEOPLE: VALUING AND EMPOWERING PEOPLE

With the end of the Cold War, the Nation and DOE have freedom to build a stronger civilian economy and to shift from the military goals that influenced the DOE culture for since its inception. As the Department struggles to change its missions to support new priorities, it must also "reinvent" the way it treats its stakeholders, including its own employees.

Rigid, outmoded practices will no longer serve the Department or its customers. A bureaucracy based on a rigid hierarchy or "top down" approach to managing will not suffice. The bureaucratic model served well when change was leisurely, when only top managers had enough information to support decision making and when most people worked with their hands instead of their minds.

Today, however, rapid change demands that DOE organizations, especially those that recruit, hire, train and promote employees, respond to their customers by streamlining processes, cutting red tape, offering incentives to achieve, promoting teamwork, nurturing creativity and innovation and assuring that its training enables the Department to retain a quality work force that can perform the jobs of the future, e.g., technology transfer environmental restoration/management. Moreover, considerations of fairness and diversity must underlie all DOE personnel policies and practices.

TREATING PEOPLE FAIRLY

Our team developed the following four proposals, which we referred to the Human Resources Strategy Team for implementation:

• Structuring positions for maximum flexibility to enrich and broaden the current work force -- allowing more "flexiplace," job sharing and other such approaches to give employees, especially lower graded ones, traditionally female and minority, more latitude to meet needs of families, while improving their skills and finding opportunities to advance.

• Streamlining hiring and placing, expanding areas of consideration in recruiting, improving position descriptions, job classifications and matching skills to jobs to benefit virtually all employees and managers.

• Changing how DOE rates/rewards employees to encourage risk takers, improve work quality, recognize outstanding employees and allow employees to contribute to supervisory appraisals. Recommending reform of personnel
regulations to permit alignment with quality management initiatives, facilitation of goal-setting, planning, teamwork, creativity and innovation.

- Improving the relevance, quality, delivery and equity of training for DOE employees.

WORKERS AND COMMUNITIES

Workers and communities surrounding the department's environmental restoration and waste management projects and some 11 defense-related facilities in 10 states, as well as such other stakeholders as labor unions, environmental groups, state and local governments, the Congress, suppliers and other companies doing business with the department are impacted substantially by our activities. The issues are:

- Reconfiguring the nuclear weapons complex to become smaller, less diverse and consequently less expensive to operate as quickly as possible. In this way the Department can scale down the current complex to match current/projected needs, eliminate inefficiencies/redundancy, and protect the environment, safety and health of its workers and host communities.

On May 27 the Department took a major first step in this effort when the Secretary announced DOE will consolidate the non-nuclear manufacturing operations of the weapons complex, saving the taxpayers $250 million-per-year. Also the Department will aid workers/communities affected.

- Establishing a pilot program to work with private industry to use surplus DOE defense plants and equipment to create new industry jobs within the next few months.

- Focusing on customer service by building problem-solving relationships with states, Native American tribes and local communities for the environmental management of Department of Energy facilities. To succeed, the Department of Energy must achieve and demonstrate: (1) a unified, clear decision making process, incorporating stakeholder input to determine program goals and priorities; and (2) a management structure which delegates authority to those who interact with stakeholders and rewards managers for concrete clean-up and waste management results.

The Team referred the first and second issues to the Defense Conversion Task Force that is working with Environmental Restoration and Waste Management, Defense Programs and Rocky Flats on economic development.
The third issue was referred to the Environmental Restoration Priorities team. In addition to the referral, this issue is highlighted for the Secretary's consideration because it contains several innovative options to enhance stakeholder involvement in the environmental restoration process.

- We recommend that the Secretary empower the Assistant Secretary for Environmental Restoration and Waste Management to pursue innovative options to assure full stakeholder participation in the environmental restoration process. (Issue Paper B-6)

ENABLING OUR PEOPLE TO WORK SAFELY AND EFFECTIVELY

Federal employees are eager to demonstrate that they can work effectively. In addition to the issues addressed earlier in this section regarding fair treatment, they identified several barriers and opportunities that, if pursued, would enable them to contribute more.

- Contracted personnel perform many tasks that could be performed by federal workers. Ceilings that limit the number of available federal employees are perceived to be arbitrary. Federal workers want to be able to compete with contracted personnel on an equal footing.

- The annual disclosure of financial interests by federal employees GM-13 and above requires a substantial investment of time, yet is perceived to add little value in limiting conflicts of interest. It is cited as an example of activities that add little value, have no means to measure effectiveness, and divert time from more important tasks.

- Policy development and internally independent oversight for worker safety and health is perceived to be inefficient. In particular, the program organizations that receive assistance from non-program organizations see opportunities to create more consistency in making policy, to eliminate turf battles and to eliminate overlapping and sometimes conflicting requirements.

- Creating a quality management culture is seen to have strong potential for releasing the best creative efforts of Department of Energy employees.

Our team recognized several active tasks that are addressing the use of contracted personnel, among them the department-wide assessment by line managers of the use or support services contractors, the Contracts Reform task force and the work by the Office of Human Resources and Administration with the Office of Management and Budget and the General Accounting Office to determine the "cost-benefit" of using
contractors and federal employees. Although we made no referral of this issue, we are confident that it is being addressed.

The specific issue of worker safety and health was referred to and accepted for consideration by the Office of Environment, Safety and Health.

The other three issues are highlighted for the Secretary's consideration.

• We recommend that the Office of the General Counsel review financial disclosure and other reporting requirements to see if (1) there is value added by imposing reporting burdens on all employees in a category or if a more narrowly-focused effort would suffice and (2) if, in the spirit of reinventing government and empowerment of federal employees, laws should be changed to eliminate this and similar reporting requirements. (Issue Paper B-8)

• We recommend that the Secretary empower the Leadership Group and the Quality Council to study and redefine internally independent oversight activities. In many instances, the oversight organizations are much more satisfied with their policies and reporting requirements than are the programs that they support. A full airing of these issues among all stakeholders would develop far more effective measurements for worker safety and health and other similar important issues. (Issue Paper B-9)

• We recommend that the Secretary continue to aggressively support development of a quality culture through line management initiatives fully supported by the Leadership Group and the Quality Council. (Issue Paper B-10)

DOE UNIVERSITY

Another important issue, referred from the Secretary's Diversity Council, is to centralize all training under "DOE University," which will provide "one-stop shopping" for all education/training needs "from GED to PHD," and with shared funding/resources from clients, offer courses for contractors, other agencies and organizations with common missions in three centers: Washington, Oak Ridge and Albuquerque.
DOE University would be cost effective, because current DOE training is costly and duplicative -- DOE does not even know what it spends because many organizations do not report training expenditures, nor do DOE contractors, whose training costs probably exceed hundreds of millions of dollars a year.

Moreover, DOE University will permit documenting, measuring, validating and assuring training quality. In this way, DOE can assure returns on human capital investments and also reduce losses due to fraud, waste and abuse, which would more than pay the actual training costs. Through the University, DOE can promote technology transfer from its labs to the marketplace and allow its employees to "retrain" or "cross train" for the jobs of the future.

Implementation of DOE University is highlighted for the Secretary's consideration:

- We recommend that the Secretary implement this proposal, whose benefits cross-cut many goals of the Department: reducing waste and duplication, empowering employees to succeed, retaining a quality workforce that can meet future challenges, and providing upward mobility for many women and minorities. (Issue Paper B-11)
OPERATIONS: DOING THINGS BETTER
The management of Department of Energy operations has been recommended for reinvention to streamline processes and create a management environment of "best business practices." Our recommendations present opportunities to partner with the private sector and change the culture of operations to one which is committed to an entrepreneurial spirit. Because of the diverse nature of the Department's operations, the proposals represent ideas from many aspects of operations. These proposals will facilitate the transition of many facilities to a post-cold-war environment.

WORKING WITH THE PRIVATE SECTOR

- **Private investment in Department of Energy facilities**

  An initiative to implement improved management practices has been recommended for the Richland Operations Office in its mission of environmental cleanup. The objective is to attract private companies to finance, build, own and operate facilities that are needed by the Department of Energy. The recommendation would reduce government investment and direct management of large, complex projects while initiating private sector investment and management of facilities on behalf of the Department.

  The proposed changes in private investment regulation are intended to improve cash flow for private companies sufficient to interest companies in significant new opportunities. Meanwhile the Department would minimize its resource investment and direct management, and reduce costs. While it is proposed for facilities at DOE's Hanford facility, it has application for facilities and services across the entire Department of Energy complex.

- **Disposal of real property**

  Several substantive proposals concerning practices and procedures for disposal of Department of Energy real property have been made. A proposal which facilitates the Department's interface with local governments and private concerns requires amendment of the Atomic Energy Community Act of 1955. The amendment would streamline the process for local communities such as, Richland, Washington, to plan for a smooth and comprehensive turnover of land for private sector investment. Cost savings can be realized for the Department by elimination of cumbersome and bureaucratic land disposal regulations.
In addition to the land use and disposal issues, the National Performance Review White House Team has raised two other issues concerning the disposal of Department of Energy real property. The first issue recommends that Department of Energy develop an integrated planning mechanism for environmental cleanup to facilitate technically sound and publicly acceptable future use and cleanup strategies. The second White House issue recommends that Congress enact legislation to authorize the sale of Alaska Power Administration assets in accordance with previously negotiated agreements.

The land use initiatives would reduce Departmental costs and open the land use planning process to the public and impacted stakeholders. These proposals eliminate barriers which now face the public and the Department in effective land use disposal procedures.

• Corporatization of selected Department of Energy operations

Certain programs within the Department of Energy have missions which are more commercial than governmental since the principal function is to produce and sell a product to a constituency, with a resultant generation of income. In some cases, these programs compete with private sector business. Like their private sector competitors, these programs must operate efficiently and maximize net revenue. These programs often encounter many barriers to operations despite a need to respond to competition with flexible operating procedures and new ideas.

In an effort to create an entrepreneurial operating environment, we recommend that programs such as the Naval Petroleum Reserve and the Power Marketing Administrations initiate business-like programs to maximize efficiency and profitability through corporatization of their missions. Initiatives at the Naval Petroleum Reserve and Bonneville Power Administration should be reviewed for elimination of bureaucratic practices. Successful operating initiatives should be exported to other revenue-generating programs offices in the department.

The first 2 issues are being developed as pilot programs within the Richland Operations Office's reinvention laboratory. Successes in these pilot programs should be considered for application at other locations.

The Bonneville reinvention laboratory proposes to conduct the Bonneville Power Administration operations on a basis that resembles private sector, but does not suggest "corporatization."
Two actions are highlighted for the Secretary's consideration:

• We recommend that the Secretary direct the Associate Deputy Secretary for Field Operations to monitor progress in the Richland Operations Office reinvention laboratory for successes in attracting private sector investment and for innovative disposal of excess real property and consider applying similar techniques at sites other than Hanford. (Issue Papers C-1 and C-2)

• We recommend that the Secretary establish one or more task forces that include stakeholders within and outside of government, including private sector experts in investment banking, accounting and operations, to encourage moving revenue-generating operations to the private sector. (Issue Paper C-3)

ADAPTATION OF THE LABORATORIES TO NEW PRIORITIES

The National Performance Review has received a number of recommendations on the redirection of the mission, process for technology transfer and management structure of the national laboratories.

• **Redefining the mission of the laboratories**

  While different in their processes, all recommendations share a vision that the end of the cold-war-driven missions requires laboratories to reinvent themselves to meet changed national priorities. These current priorities relate to the economy, jobs and enhanced U.S. global competitiveness. Key in the process of redefining the mission is the acceptance of a more entrepreneurial culture in which is driven by a multi-customer market.

• **Improving the process of technology transfer**

  A second aspect of the transformation of the national laboratories is the removal of barriers to facilitate technology transfer to primarily the private sector. Three considerations are suggested: 1) how to 'transfer out' technology already developed for some public purpose; 2) how laboratories can 'partner' in work in which there may be both public and private benefits; and 3) how to facilitate private industrially-funded work at the laboratories as Federal funding is likely to decline.
• **Examining the management structure of the laboratories**

The management structure for accomplishing the work of the laboratories requires examination. The reinvention process has proposed several frameworks for managing the laboratories, including: utilizing private capabilities to operate laboratories in an effort to reduce Federal workers; increasing the laboratories' focus on goals; and readjusting the mix of Federal and contractor employees in an effort to improve productivity.

Our team recognizes the substantial effort in progress to redefine the mission of the laboratories, particularly the work of the Mission of the Laboratories Priorities team. The ideas presented to us are complementary to these efforts.

To help assure full innovative use of the laboratories, we highlight this recommendation for the Secretary.

- We recommend that the Secretary encourage the Mission of the Laboratories Priorities team to continue their valuable studies and, in addition, to encourage testing more entrepreneurial approaches than have yet been tried. (Issue Paper C-4)

**ENVIRONMENTAL MANAGEMENT**

• **Streamline environmental management**

The environmental management effort of the Department of Energy is a comprehensive program with significant national impact. There are a number of significant concerns which impede the efficient execution of the environmental restoration program. These include:

- overlapping authorities and jurisdictional conflicts;
- lack of national, risk-based cleanup standards;
- insufficient or lack of publicly acceptable technologies for waste treatment and disposal;
- inconsistent interpretation and application of EPA regulations by EPA Regional Offices and host States; and
- difficulty in building consensus of cleanup, treatment and waste disposal options.
Recommendations to facilitate the planning and implementation of the environmental restoration and waste management program have been referred to the Environmental Restoration Priorities team. In addition, the reauthorization of several major statutes will provide the opportunity for reform. The options below are among the many changes under consideration.

- Modify CERCLA and RCRA to eliminate jurisdictional uncertainties to reduce redundancy and cost inefficiencies.
- Amend RCRA to either regulate source, special nuclear, or by-product material or exempt mixed waste.
- Incorporate site-wide future use planning into environmental decision making.
- Focus environmental contract management on tangible environmental results and reduction of risk to human health and the environment.

- **Worker safety and health during environmental cleanup operations**

Worker safety and health concerns during environmental cleanup operations have been raised with emphasis on demonstrating the full commitment of the Department. Recommendations would improve the process through reallocation of resources, accountability for the program, employee empowerment, streamlining of requirements, and cooperation among the Department, the public and other concerned stakeholders including contractor employees. These suggestions are referred to the Worker Safety and Facility Management Priority team.

Our team is confident that the Environmental Management Strategy Priorities team is thoroughly addressing these issues and that our referrals to them is complete.

**STREAMLINE DEPARTMENT OF ENERGY OPERATIONS**

- **Duplication of regulatory effort**

The Department of Energy expends significant resources on oversight operations which may duplicate those performed by other agencies. There is concern that resources in the Environmental Protection Agency, Nuclear Regulatory Commission and Occupational Safety and Health Administration could perform functions now performed by the Office of Environment, Safety and Health within the Department of Energy. The concept of independent internal oversight is being addressed by several Secretarial strategy teams. It is recommended that environmental issues be referred to the Environmental
Management Priority Team; nuclear safety and worker safety oversight issues be referred to the Worker Safety and Facility Management Priority Team for objective review of the value added by independent internal oversight.

- **Security information**

Because a large part of the Department’s mission is concerned with national security and defense-related activities, security of information and physical sites is a critical aspect of managing operations. Issues submitted for reinvention affect the security clearance process, consistency of classification and declassification of significant amounts of information and the Departmental badging process. Briefly the issues and implications under review are as follows:

**Security clearance process.** The duplication of efforts by Department of Energy, Department of Defense, and all other national security agencies in the investigation and reinvestigation process of employees is costly and inconsistent, and creates barriers to productive management processes. There is a need to standardize and centralize the security clearance process across agencies.

**Consistency in classification of information.** The existing security classification process at Department of Energy is based on regulations and procedures established in the Atomic Energy Act of 1954. The procedures establish the Q clearance level of classification differ from similar levels of classification used by other national security agencies for the same information. There is a need to review and develop changes to the Atomic Energy Act provisions which will enable consistency with other national security agencies.

**Declassification of information.** There is an initiative underway to revise the classification and declassification policy of the Department of Energy based on current and anticipated world conditions. The anticipated declassification would result in reduced costs for protection and security of information and sites, as well as facilitate the access of the public and Federal agencies to important historical information.

**Departmental badging process.** The lack of a standardized Department-wide badging process is considered a barrier to productive conduct of operations and a factor in more costly operations due to the establishment of separate systems by each activity within the Department of Energy complex. A uniform badging process is encouraged to reduce resources required to rebrand and indoctrinate Department of Energy employees as they travel from site to site.
Responding to Inspector General audit reports

Department of Energy Order 2320.2B, Establishment of Departmental Position on Inspector General Reports, and DOE Order 2300.1B, Audit Resolution and Follow-up, identify requirements for responding to and resolving issues raised in Inspector General audit reports. Under the requirements of these orders, Departmental elements are subjected to lengthy, inefficient, duplicative, and often unresolvable process for addressing audit findings and recommendations.

The National Performance Review Team met with representatives from the Office of Inspector General to discuss options for streamlining the audit resolution process. However, a consensus as to possible changes in current practices was not achieved. Therefore, the team recommends that this matter be referred to the Department's Quality Council in order to explore options for enhancing the present audit resolution process between audited organizations and the Inspector General.

Improvement in the directives process

The National Performance Review Team has referred recommendations to remove barriers to the Departmental Directive process to the Directives Improvement Project in Office of Administration and Human Resources. Efforts are underway to review and identify directives that are essential and add values to Departmental operating procedures.

Eliminate requirement for Federal drivers license

DOE Order 3791.2A, Federal Employee Motor Vehicle Safety Program, requires Departmental employees who operate government vehicles to obtain a government driver's license. Because drivers are already required to possess a valid state driver's license before a government vehicle can be obtained, this requirement is duplicative and burdensome.

The team discussed this matter with representatives of the Office of Human Resources and Administration and the team was advised that this requirement was being eliminated.

Our team found that many effective activities such as the Priorities teams, task forces and reinvention laboratories, are in progress to address streamlining the department's internal processes, including effective regulation, security procedures, and directives. We have addressed the issue of independent internal oversight of
worker and environmental safety and health under issue B-9 and we are confident that action on that recommendation will also address regulation by other agencies. Thus, while this category encompasses a large number of concerns, only one additional issue is highlighted for the Secretary's consideration.

- We recommend that the Secretary empower the Leadership Group and the Quality Council to study and redefine the response process to inspector General reports and audits. In many instances, the oversight organizations are much more satisfied with their policies and reporting requirements that are the programs that they support. A full airing of these issues among stakeholders would develop a more effective response process. (Issue Paper C-9)
INFORMATION: QUALITY COMMUNICATIONS THROUGH TECHNOLOGY
INFORMATION: QUALITY COMMUNICATIONS THROUGH TECHNOLOGY

Information is the life-blood of the Federal government. It is essential to formation of good policy, conduct of efficient operations and effective management of people and resources. The Federal Government collects information, generates information and disseminates information. There are substantial opportunities to work smarter and make use of rapidly developing computer and communications technology. The Department should collect only information which is truly necessary to minimize respondent reporting burden and assure that information which is collected and generated is easily available to those who need it in its most useful form. In all cases use and sharing of information must be consistent with the need to protect privacy and confidentiality of data and to ensure national security.

In analyzing and consolidating the original suggestions submitted to the Department of Energy National Performance Review team, several themes became apparent. The contributors wanted DOE to:

- Cooperate with other agencies to plan information collection and development so that results can be shared;
- Use networks and other computer/communications technology to make information more readily accessible internally and, in some cases, externally;
- Listen to our customers, invite their input and disseminate only the information they want;
- Advertise what is available and let the customers select only the information they need;
- Solicit views of respondents (those who provide information to us either voluntarily or in response to legal mandate) so that only essential information is collected and in a form which minimizes the reporting burden;
- Constantly monitor and maintain quality of the information provided to improve accuracy, timeliness and relevance.

From these suggestions three initiatives emerged: (1) to facilitate sharing of statistical data among Federal agencies, (2) to improve the management and use of information resources and (3) to streamline reporting requirements.

FACILITATE SHARING OF STATISTICAL DATA AMONG FEDERAL AGENCIES

Data may be collected by the Federal Government from citizens and companies for statistical purposes (e.g., the decennial census) or for regulatory and enforcement purposes (e.g., income tax returns). When data are collected for purely statistical
purposes, the collecting agency must provide guarantees of confidentiality to ensure respondent privacy. All Federal statistical agencies should operate under a common set of confidentiality rules so that statistical data can be shared among agencies without fear of its disclosure or use for regulatory purposes. Currently they operate under a hodgepodge of legislative mandates guaranteeing various degrees of confidentiality. As a result, in most cases the agencies are unable to share not only individual respondent data but even the statistical frames (names and addresses of respondents) used for data collection.

- Legislation should be proposed to clearly distinguish between statistical and regulatory data and to provide a common set of confidentiality restrictions for all Federal statistical agencies. This would safeguard statistical data throughout the Federal government, allow the sharing of data among all statistical agencies, save millions of dollars and result in more reliable statistical data.

The only agency within the Department of Energy which is significantly impacted by this issue is the Energy Information Administration. The issue was referred to the Acting Administrator of the Energy Information Administration to pursue through the Statistical Agency Heads Committee and other appropriate means.

IMPROVE THE MANAGEMENT AND USE OF INFORMATION RESOURCES

Information is produced by Federal government agencies which is potentially valuable to other parts of government and to the public, but which is not now widely used. The DOE NPR Team received many suggestions to make this information more usable and available, primarily by using computer and communications technology. Among them were:

- Expand access to computerized energy data by using Internet, making vital energy information instantly accessible to Internet's 10 million users.

- Improve utilization of DOE's extensive energy, science and technology information resources to educate students. Install directories of the educational resources on major networks such as Internet, provide ordering information on the network and offer 2-day delivery for an appropriate fee.

- Coordinate information dissemination policies and approaches by establishing an information dissemination team representing all DOE organizations with information resources of value to the public.
• Expand the use of inter- and intra-Departmental electronic mail for better communication, cost savings, reduced waste, and sharing information directly with the public where appropriate.

• Streamline DOE's computer-related hardware and software procurement to avoid receiving outmoded systems.

• Expedite automation throughout DOE through the use of electronic forms to reduce paperwork.

• Develop an Integrated Accounting System using off-the-shelf software to avoid costly duplication of effort and to reduce development and maintenance costs.

The suggestion to expand access to energy data via Internet was used as one of five reinvention initiatives proposed by the Secretary to the Vice President. As a demonstration test the EIA will produce user-friendly versions of weekly, monthly and annual oil and gas data and make them available on Internet in a cooperative arrangement with the Department of Commerce. Subsequent implementation of other energy data will depend upon the outcome of the oil and gas demonstration.

Expanding the use of electronic mail Government-wide was one of the major proposals being considered by the National Performance Review Team on Information Technology. It is expected that this issue will be well covered in their report to the Vice President.

The Office of Science Education and Technical Information has an active program to improve the use of DOE's scientific and technical information resources for education, and a number of related initiatives have been proposed in work on the National Information Infrastructure.

Both the DOE Priorities Team on Information Management and the DOE Information Resources Management Council have been wrestling with issues similar to the remaining suggestions. Nineteen specific suggestions, including those listed above, were accepted by the Priorities Team for further consideration and action. A list of those specific suggestions and the Priorities Team discussion of them is included in the Appendix.

A great deal of taxpayers' money is spent on developing information, sometimes for publication and distribution, sometimes for use in accomplishing DOE's mission. Making this information known to other parts of government and to the public, and making it available in an easily usable form is one important step in making government more valuable and responsive to the people.
A number of proposals included recommendations to streamline requirements for filing reports to DOE, by parties both inside and outside the Department. It is widely believed that some reporting requirements are redundant, overly burdensome, or outdated. Individual efforts are underway to reduce and rationalize reporting requirements; a Department-wide, coordinated effort is needed.

Some of the specific reporting requirements suggested for streamlining were:

- Duplicative audit and appraisal reports, including self assessments.
- Environment, safety and health plans and reports.
- Budget and procurement reporting of non-essential items.

The preparation of Departmental reports and plans is expensive and often involves use of outside contractors to supplement Department staff. Although the initial review will require additional staff time to perform, simplification of the reporting process will reduce reporting costs, allow the Department to be more responsive to its stakeholders, and avoid costly delays in important projects.

- For the Secretary's consideration, we recommend that each major DOE component to conduct a review of their reporting requirements, to identify and eliminate all reports that are unnecessary, overlapping or duplicative. The review should include Department of Energy external reports, internal reports and field-to-headquarters reports.

  - Where possible, plans and reports should be consolidated and unnecessary information eliminated.

  - As part of the review, reporting parties should be queried for their comments.

  - Each originating office should determine which of the remaining reports and plans may be transmitted electronically through networks or made available through bulletin board-like electronic access.

  - Each major DOE component should submit a plan for streamlining these requirements to the Secretary within three months and implement it upon approval.
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**PEOPLE: VALUING AND EMPOWERING PEOPLE**

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**OPERATIONS: DOING THINGS BETTER**

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**INFORMATION: QUALITY COMMUNICATIONS THROUGH TECHNOLOGY**
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