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# OFFICE OF THE GENERAL MANAGER

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FY 2019 Work Plan

OCTOBER 12, 2018

DEFENSE NUCLEAR FACILITIES SAFETY BOARD  
625 Indiana Avenue, N.W., Washington, DC 20004

## **Introduction**

We have aligned the Office of the General Manager (OGM) FY 2019 Work Plan with the Board's Strategic Plan for FY 2018-22. Specifically, the Work Plan supports the three strategic objectives included under Goal 6 which promotes: "[a]chievement of mission in a manner that is accountable and transparent to the public and achieves the mission efficiently and effectively."

### **Strategic Objective 6.1**

Strategic Objective 6.1 challenges OGM to "[a]pply management controls to achieve the Board's mission efficiently and effectively in a manner consistent with the Board's enabling statute with respect to the duties of the Board as a whole, the Chairman, and individual Board Members." As such, we will maximize our efficiency and effectiveness through IT modernization, enhancing privacy and security, and streamlining work flows and business processes.

#### **A. IT Modernization**

In FY 19, we will improve the agency's mission capability and effectiveness by upgrading our IT environment. To that end, we will upgrade to Windows 10 which will be faster, safer, and far more compatible than our current Windows 7 environment. Funding for Windows 10 and related hardware was requested in last year's FY 2019 budget submission and this project must be completed before our extended end-of-life support ends in January 2020. New equipment will include laptops, conference room and Continuity of Operations (COOP) desktop machines, and servers.

In FY 19, we will provide agency personnel with a data environment that is not just secure, but has readily-available data. Our data management solution will form the cornerstone of the agency's effort for personal drives, data-at-rest encryption and electronic records management. We will design and configure access on the network to support personal drives to allow employees to save working files and other documentation on a network folder that is only accessible by individual employees.

We will enhance our cybersecurity program to meet Office of Management and Budget (OMB), Department of Homeland Security (DHS), and Office of the Inspector General (IG) mandates. While we have made great strides in securing our IT infrastructure from potential cyber threats in FY 2018, we are always striving for further improvement. The world is a dangerous place and we need to keep evolving as a professional IT entity on the cutting edge of technology. The agency's cybersecurity team will concentrate on managing the findings and plan of action and milestones from the FY 2018 independent Federal Information Systems Modernization Act (FISMA) assessment and the FY 2018 OIG inspection. The team will also coordinate with DHS on the Continuous Diagnostics and Mitigation program during its life-cycle.

## B. Enhancing Privacy and Security

In FY 19, we will enhance and accelerate our privacy protection efforts as we meet the requirements of OMB Circular A-130, Managing Information as a Strategic Resource. In accordance with OMB Circular A-130, Appendix I, § 4 (h), items 4 and 5, agencies are required to provide advanced levels of privacy training to information system users and test our knowledge level. In addition, this directive requires role-based privacy training for employees and contractors with assigned security and privacy roles and responsibilities. To implement this requirement, role-based training will be developed and delivered to individuals with routine privacy responsibilities, including users with privileged access, privacy program managers, supervisors, system owners/system managers, and the Breach Response Team. Targeted training will also be provided to employees who routinely process privacy information (e.g., human resources). As a follow-up to our October 11<sup>th</sup> OGM discussion with the Board, we will look to include contractors wherever necessary in this training. Many DNFSB contractors handle PII on a regular basis.

Throughout FY 19, our security team will continue work to secure sensitive and classified information. This includes the implementation of the Controlled Unclassified Information (CUI) program's safeguarding protocols and the initiation of the Limited Area (LA) project to support on-site classified discussions and meetings. In FY 19, OGM will continue ongoing work on Phases I and II (drawings, permits, and construction) of the project to provide DNFSB with a secure space to conduct classified discussions on-site. Operating procedures and physical security countermeasures will also be updated, as needed. When Phase II concludes, OGM will present the Board with Phase III options as to whether or not to connect to any secure classified networks. This decision point will require a full briefing to the Board.

## C. Streamlining Workflows and Business Processes

Throughout FY 19, we will continue to challenge ourselves to update and overhaul longstanding business process and work flows to enhance efficiency. In FY 19, we will concentrate on our acquisitions program, financial management systems, and electronic records management initiatives. Our overarching goals will be to migrate back-office paper functions to fully automated electronic systems. We hope to integrate these features into a tool we already pay for—Sharepoint.

Each fiscal year, OGM executes dozens of mission-essential contracts and agreements to support Board operations. In order to efficiently and effectively process the agency's work, OGM will define processes and procedures to streamline the acquisitions process in Sharepoint. We will develop requirements for the use of SharePoint to track purchase order and contract actions for the acquisitions team. This workflow will include requirements for tracking acquisition-related approvals and a library of documentation to support each procurement action. The acquisition program records will be managed electronically, eliminating the need for the current paper-based

file folder system. The implementation of this workflow will be coordinated with SharePoint modifications and may span across two fiscal years, depending on the complexity.

In the financial management realm, OGM took a fresh look at manual processes in FY 18, researching readily-available technology to input data into systems and streamline work functions. In FY 2019, we will begin implementing these processes while maintaining the effectiveness of internal controls. We will streamline our requisition process in the Sharepoint application. We will also work with our third-party vendor Symplicity to develop data import capabilities, field definitions, and new fields to efficiently manage financial data tracking.

We will also continue our journey towards a fully electronic environment for records management. The Presidential Memorandum on Managing Government Records requires agencies to manage all permanent records in Federal agencies electronically to the fullest extent possible for eventual transfer and access to National Archives and Records Administration (NARA) in electronic format. To comply with the NARA requirement, a cross-functional working group will be formed to develop a strategy and implementation plan for electronic records management (focused on electronic records outside of e-mail).

We will also make several strategic changes in our purchasing program in FY 19. We will be increasing purchase card limits to more efficiently obligate funds from \$3,500 up to the \$10,000 micro-purchase limit. Authorized users and key personnel will receive the requisite training. Additionally, GSA recently awarded the next government purchase card contract, to be implemented in November 2018. DNFSB will be transitioning from Citibank to US Bank. New credit cards will be issued to all employees. DAF is coordinating with GSA and US Bank to ensure a seamless and efficient transition. For travel, we will set up a centrally-monitored travel mailbox (travel@dnfsb.gov). This approach will reduce duplicative inquiries to multiple staff members, help provide consistent responses and help manage workload for staff more efficiently.

## **Strategic Objective 6.2**

Strategic Objective 6.2 challenges OGM to “[a]llign human capital strategies with agency mission, goals, and objectives through analysis, planning investment, measurement, and management of human capital programs.” With the arrival of a new human resources director in FY 18, we will focus on human capital and strategic hiring, training and development, program evaluation, and organizational performance strategies in FY 19.

### **A. Human Capital & Strategic Hiring**

In FY 19, we will draft a comprehensive Human Capital Strategic Plan for 2019-2021 that values the DNFSB’s most important resource.—its people. The strategic plan will provide a roadmap for HR to support the agency’s mission by ensuring its human resources management (HRM) programs and practices are efficient, effective, and merit-based. In FY 18, the agency experienced unprecedented attrition of critical staff. In early FY 19, we will develop a comprehensive, agency-wide succession plan that targets managerial and supervisory positions and ensures continuity of leadership. We will also need to fill critical line vacancies in the

engineering ranks in FY 19. We are meeting daily with the Office of the Technical Director (OTD) to determine their critical needs, and how we can begin to fill vacancies in the first quarter of FY 19. In order to retain critical staff, particularly with current favorable economic conditions, we will map out career paths for upward mobility in the Office of the Technical Director.

#### B. Training and Development

In FY 19, we will evaluate two specific aspects of training and development at DNFSB—the effectiveness of our training and our automated tools to identify relevant classes to ensure provisions of Title 5, Code of Federal Regulations, Subparts 410 and 412 are being met. Specifically, we will conduct a comprehensive training evaluation within the four levels of the Kirkpatrick model. This will help assess the effectiveness of current training in meeting organizational performance goals and contributing to mission accomplishments. We are also in the market for an improved learning management system. The current AgLearn system has serious limitations that may not have been resolved with the newest release of AgLearn.

#### C. Program Evaluation

We will also evaluate and assess the effectiveness of our Human Capital Management program, in a manner consistent with 5 CFR Part 250.203(d)(1)(2). Specifically, we will conduct a Performance Appraisal Assessment Tool (PAAT) on the Civil Service (CS) and DN performance plans to evaluate the effectiveness of the performance management programs in moving the agency to a high-performing organization.

#### D. Organizational Performance

We want to ensure that our employees feel good about their work environment, and receive the appropriate rewards and recognition for their contributions. To that end, we plan to conduct a full evaluation of the awards program to assess its effectiveness in providing employees with motivational incentives to excel in their jobs and make significant contributions to the DNFSB mission. Based on our recently-received FEVS scores for FY 18, we have significant work to do in the area of employee engagement. We will develop a comprehensive plan that covers training, communication, and change management. Fortunately, we have two-year funding for employee engagement activities that will expire at the end of FY 19.

### **Strategic Objective 6.3**

This strategic objective encourages OGM to communicate effectively and transparently with the Board's stakeholders on Board safety issues in DOE's defense nuclear complex, on Board's operations, and all Board Member views. We plan to address these issues through public hearings, transparent financial management, accessible agency data, and our public website.

#### A. Public Hearings on DOE Order 140.1

OGM will support a series of public hearings on DOE Order 140.1 throughout FY 19. These hearings will include live broadcasts so interested parties can watch in real time. The hearing videos will also be uploaded soon after the hearings end, along with relevant exhibits, thereby providing distant stakeholders the opportunity to view these important proceedings in a timely fashion. OGM will provide support for both local hearings and hearings at more distant sites (e.g. New Mexico). Additionally, OGM will interface with any interested media outlets that cover these hearings, in an effort to get the word out about the potential safety implications of DOE Order 140.1. OGM will continue to coordinate with congressional committees that are requesting information and/or meetings on DOE Order 140.1.

#### B. Transparent Budget and Financial Management for Capitol Hill and Stakeholders

In FY 19, OGM will continue to make performance and financial data available to our congressional committees and stakeholders through a series of publicly-available financial reports. OGM communicates critical financial information through the annual Performance and Accountability Report (PAR) which includes three main components: a) audited financial statements, b) management discussion, and analysis (MD&A), and performance reporting from the previous fiscal year. The reporting time frame is mid-November, which is approximately 45 days after the end of the fiscal year. In FY 2019, we will shift to a different timetable. An Annual Financial Report (AFR) will be published in mid-November and will only include the financial statements and MD&A. An Annual Performance Report (APR) will be published with the Congressional Budget Justification (CBJ) in mid-February and will include the performance reporting from the previous fiscal year. This will shift the reporting timeline to promote consistent messaging for DNFSB and allow the agency to publish the APR, CBJ, and Annual Report to Congress around the same time frame. These changes will result in consistent messaging in these annual documents.

OGM will also arrange Capitol Hill meetings after the release of the President's budget in February 2019. Our 2020 Congressional Budget Justification will provide a unique opportunity to showcase our work products and upcoming reviews.

#### C. Accessible Agency Data under the DATA Act

The Digital Accountability and Transparency Act of 2014 (DATA Act) requires federal agencies to improve the accessibility of their respective financial data to the public. To that end, DNFSB must do a better job making our financial data available to the public. OGM struggled in FY 18 to make the required changes under the DATA Act, but exceptional contractor support has improved the agency's position for FY 19. We will continue to work with USDA on file uploads to USASpending.gov to make sure there are no warnings or errors. Also, we will work with our new contracting officer to better verify information loaded in the Federal Procurement Data System. Finally, OGM will continue to work closely with the OIG auditors to close out findings from the FY 2017 DATA Act audit.

D. Designate a Content Manager for DNFSB's Public Website

As discussed at the October 11, 2018 OGM update, we will designate a specific content manager for the public website. The content manager will ensure that all appropriate documents are posted timely to our website. The content management will interface with Board Members when necessary to ensure accuracy, and will lead the effort to develop posting procedures, if necessary.

**AFFIRMATION OF BOARD VOTING RECORD**

**SUBJECT: FY 19 OGM Work Plan**

**Doc Control#2018-300-079**


The Board, with Board Member(s) Bruce Hamilton, Jessie H. Roberson, Joyce L. Connery *approving*, Board Member(s) none *disapproving*, Board Member(s) Daniel J. Santos *abstaining*, and Board Member(s) none *not participating*, has voted to approve the above document on October 19, 2018.

The votes were recorded as:

	APRVD	DISAPRVD	ABSTAIN	NOT PARTICIPATING*	COMMENT	DATE
Bruce Hamilton	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10/17/18
Jessie H. Roberson	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	10/18/18
Daniel J. Santos	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10/19/18
Joyce L. Connery	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10/17/18

\*Reason for Not Participating:

This Record contains a summary of voting on this matter together with the individual vote sheets, views and comments of the Board Members.

  
\_\_\_\_\_  
Executive Secretary to the Board

Attachments:

1. Voting Summary
2. Board Member Vote Sheets

cc: Board Members  
OGC  
OGM Records Officer  
OTD



**DEFENSE NUCLEAR FACILITIES SAFETY BOARD**  
**NOTATIONAL VOTE RESPONSE SHEET**

**FROM:** Bruce Hamilton

**SUBJECT:** FY 19 OGM Work Plan

**Doc Control#**2018-300-079

**Approved**   X                        **Disapproved**                             **Abstain**       

**Recusal – Not Participating**       

**COMMENTS:**      **Below**             **Attached**             **None**   X  

  
Bruce Hamilton

17 OCT 2018  
Date


**DEFENSE NUCLEAR FACILITIES SAFETY BOARD**  
**NOTATIONAL VOTE RESPONSE SHEET**

**FROM:** Jessie H. Roberson  
**SUBJECT:** FY 19 OGM Work Plan  
Doc Control#2018-300-079

Approved  Disapproved \_\_\_\_\_ Abstain \_\_\_\_\_  
Recusal - Not Participating \_\_\_\_\_

COMMENTS: Below  Attached \_\_\_\_\_ None \_\_\_\_\_

I appreciate the additions to the OGM proposed Work Plan and the effort to address Board Member Comments. There are few specifics in regard to Work activities and their associated priority relative to resources assignment. However, I do not advocate for such for OGM as much of its annual resources will be applied as things happen. I do support this document as a high level strategic document for OGM only as it is unclear how it integrates with the OTD and OGC Strategic Docs.

  
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Jessie H. Roberson  
October 18, 2018  
\_\_\_\_\_  
Date

**DEFENSE NUCLEAR FACILITIES SAFETY BOARD  
NOTATIONAL VOTE RESPONSE SHEET**


**FROM:** Daniel J. Santos

**SUBJECT:** FY 19 OGM Work Plan

**Doc Control#**2018-300-079

**Approved** \_\_\_\_\_      **Disapproved** \_\_\_\_\_      **Abstain**   X    
**Recusal – Not Participating** \_\_\_\_\_

**COMMENTS:**      **Below** \_\_\_\_\_      **Attached** \_\_\_\_\_      **None**   X  

  
\_\_\_\_\_  
**Daniel J. Santos**  
  
\_\_\_\_\_  
10/19/18  
**Date**

**DEFENSE NUCLEAR FACILITIES SAFETY BOARD**  
**NOTATIONAL VOTE RESPONSE SHEET**

**FROM:** Joyce L. Connery

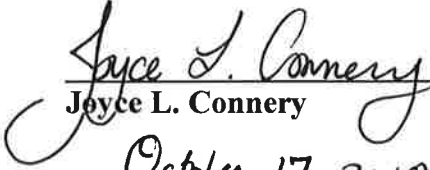
**SUBJECT:** FY 19 OGM Work Plan

**Doc Control#**2018-300-079

**Approved**  **Disapproved**  **Abstain**

**Recusal – Not Participating**

**COMMENTS:** **Below**  **Attached**  **None**

  
\_\_\_\_\_  
Joyce L. Connery  
October 17, 2018  
\_\_\_\_\_  
Date