

FY 2023  
Congressional Budget  
Justification

FY 2021  
Annual Performance  
Report



Defense Nuclear  
Facilities Safety Board

**March 28, 2022**

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## GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA) MODERNIZATION ACT

### **GPRA Strategic Planning Reporting Requirements**

The GPRA Modernization Act of 2010 requires each agency to make available on its website a strategic plan establishing general strategic goals and objectives for a period of not less than four years. The Defense Nuclear Facilities Safety Board's (Board) Strategic Plan for Fiscal Years (FY) 2018–2022 (revised December 2019) is available on the Internet at [www.dnfsb.gov](http://www.dnfsb.gov). In addition, agencies are required to develop an Annual Performance Report (APR) that provides information on the agency's progress achieving the goals and objectives described in the Strategic Plan and Annual Performance Plan (APP). The Board is developing a Strategic Plan for FY 2022-2026 and will also complete the FY 2023 Annual Performance Plan soon after, which will also be available on the Board's website.

## Defense Nuclear Facilities Safety Board

### FY 2023 Congressional Budget Justification

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## PROPOSED APPROPRIATIONS LANGUAGE

### Salaries and Expenses

For expenses necessary for the Defense Nuclear Facilities Safety Board in carrying out activities authorized by the Atomic Energy Act of 1954, as amended by Public Law 100-456, section 1441, [\$31,000,000]\$41,401,400, to remain available *including official reception and representation expenses not to exceed \$1,000*, until September 30, [2023]2024. *Note.—A full-year 2022 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Continuing Appropriations Act, 2022 (Division A of P.L. 117-43, as amended). The amounts included for 2022 reflect the annualized level provided by the continuing resolution.*

### FY 2023 EXECUTIVE SUMMARY

The Board requests \$41,401,400 and 120 full-time equivalents (FTEs) to carry out its mission in FY 2023. This is a 34 percent increase from the agency's FY 2022 appropriation level of \$31,000,000.

This increase is driven by an enhanced need for oversight of defense nuclear facilities that aligns to the Department of Energy's (DOE) modernization efforts; necessary staffing increases to execute the Board's mission; and the requirement to have appropriate infrastructure and capabilities in place to support effective Board operations. First, the Board's oversight requirements are increasing as DOE's modernization efforts proceed. These requirements need to be properly resourced for the Board to protect public health and safety. Safe operations help prevent delays and interruptions to operations at defense nuclear facilities, which support the readiness and viability of the nation's strategic deterrent.

Second, the Board's foundation is built on the expertise of its Board Members and its staff in support of the Board's mission, and approximately two-thirds of the Board's annual budget is dedicated to salaries and benefits. The Board will be executing an aggressive staffing plan for FY 2022 and FY 2023 focused on hiring highly skilled engineers, scientists, and professionals to support the agency's mission. Filling these roles reduces carryover funds resultant from a significant decrease in staffing in prior years when Board staffing dropped precipitously by over 20 percent. Focused efforts to increase staffing from this nadir are progressing but the COVID-19 pandemic has made them more challenging. Moreover, the aggressive hiring efforts the Board is undertaking will likely consume remaining carryover funds in FY 2023. This can be seen in the Board's outlays, which are on track to outpace annual appropriations by about 12 percent in FY 2022.

Third, the Board's FY 2023 request includes capabilities and improvements to cybersecurity, physical security, secure communications, information technology modernization, technical efficiencies, organization effectiveness, and progress on diversity, equity, inclusion, and accessibility throughout the agency. This will help ensure the Board can comply with evolving requirements. For example, in recent years the COVID-19 pandemic caused a reliance on the information technology infrastructure to continue fulfilling the nuclear safety oversight mission as the staff worked in a maximum telework environment. Following the lead of the President, the Board will be supporting a flexible, hybrid work environment using its information technology systems.

Also, the Board established a focused Equal Employment Opportunity (EEO) program office in July 2020 and expanded outreach and special emphasis events in 2021. The EEO program helps to ensure that the Board promotes equal opportunity and is free from discrimination and harassment. The Board will also continue to focus on employee engagement and improved communications. These investments enable the staff to do mission-critical work more efficiently and effectively.

Highlights of the shifts between the FY 2022 and FY 2023 Budget Justifications include:

- **Salaries and Benefits:** Increase of \$2,773,100 represents significant hiring in the Office of the Technical Director (OTD) in addition to anticipated change of station costs related to three Resident Inspector positions. These positions are crucial for the Board being able to provide the highly technical safety oversight at defense nuclear facilities.
- **Other Services:** Increase of \$835,500 estimated to cover competitively bid administrative services and information technology contracts and services. This will enable the Board to provide support to its staff to execute the mission and provide the full scope of capabilities required by an independent agency.
- **Acquisition of Assets:** Increase of \$374,400 to purchase new IT equipment and software including new financial software to automate the financial system. These investments will support the Board's stewardship of its network and financial resources and resolve cybersecurity recommendations from the Office of the Inspector General.

## Operating Expense Summary

	FY 2021 Estimate	FY 2022 Plan	FY 2023 Request
<b>Budget Authority</b>	31,000	31,000	41,401
<b>Obligations</b>	35,590	37,391	41,401
<b>Outlays</b>	33,455	35,147	38,917

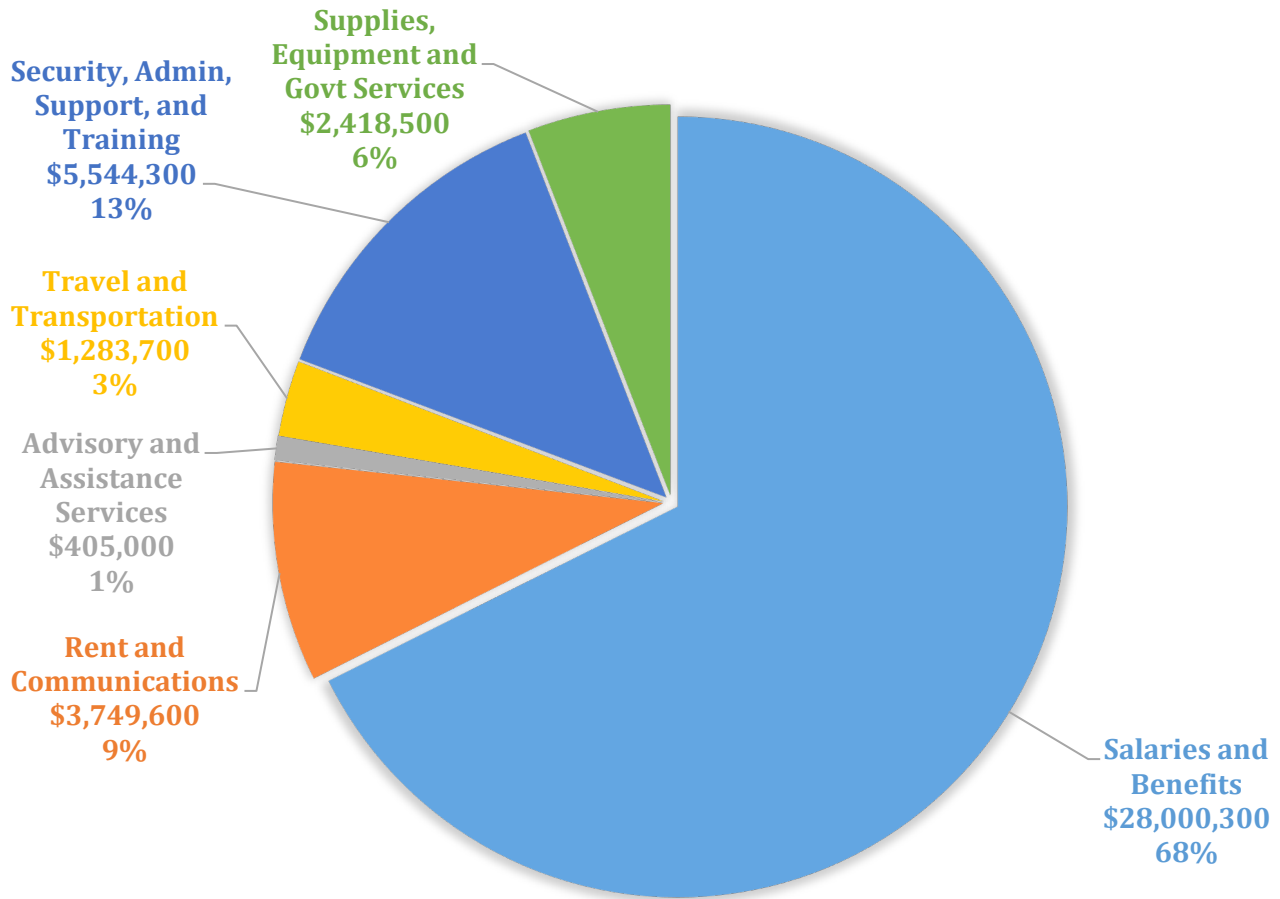
*Numbers in thousands*

## Personnel Summary

	FY 2021 EOY Estimate	FY 2022 Plan	FY 2023 Request
<b>Statutory Personnel (FTE) Ceiling</b>	130	130	130
<b>On-Board</b>	105	115	120
<b>FTE Usage</b>	100	115	120

## FY 2023 Projected Obligations by Major Category

**FY 2023 TOTAL PROJECTED OBLIGATIONS = \$41,401,400**



## THE MISSION

### Mission Statement

The mission of the Board shall be to provide independent analysis, advice, and recommendations to the Secretary of Energy to inform the Secretary, in the role of the Secretary as operator and regulator of the defense nuclear facilities of the Department of Energy, in providing adequate protection of public health and safety at such defense nuclear facilities, including with respect to the health and safety of employees and contractors at such facilities.

42 U.S.C. § 2286a(a)

### The Board's Legislative Mandate

The Board's specific functions are delineated in its enabling statute at 42 U.S.C. § 2286a(b):

- The Board shall review and evaluate the content and implementation of the standards relating to the design, construction, operation, and decommissioning of defense nuclear facilities of the Department of Energy (including all applicable Department of Energy orders, regulations, and requirements) at each Department of Energy defense nuclear facility. The Board shall recommend to the Secretary of Energy those specific measures that should be adopted to ensure that public health and safety are adequately protected. The Board shall include in its recommendations necessary changes in the content and implementation of such standards, as well as matters on which additional data or additional research are needed.
- The Board shall investigate any event or practice at a Department of Energy defense nuclear facility that the Board determines has adversely affected, or may adversely affect, public health and safety.
- The Board shall have access to and may systematically analyze design and operational data, including safety analysis reports, from any Department of Energy defense nuclear facility.
- The Board shall review the design of a new Department of Energy defense nuclear facility before construction of such facility begins and shall recommend to the Secretary, within a reasonable time, such modifications of the design as the Board considers necessary to ensure adequate protection of public health and safety. During the construction of any such facility, the Board shall periodically review and monitor the construction and shall submit to the Secretary, within a reasonable time, such recommendations relating to the construction of that facility as the Board considers necessary to ensure adequate protection of public health and safety. An action of the Board, or a failure to act, under this paragraph may not delay or prevent the Secretary of Energy from carrying out the construction of such a facility.
- The Board shall make such recommendations to the Secretary of Energy with respect to Department of Energy defense nuclear facilities, including operations of such facilities, standards, and research needs, as the Board determines are necessary to ensure adequate protection of public health and safety. In making its recommendations, the Board shall consider, and specifically assess, risk (whenever sufficient data exists), and the technical and economic feasibility of implementing the recommended measures.



## **FY 2018 – 2022 Strategic Plan**

The Board published an updated FY 2018–2022 agency Strategic Plan that established the strategic goals and objectives below in December 2019. It plans to update its Strategic Plan during 2022 to cover FY 2022-2026.

### **Strategic Goal 1**

Provide proactive and independent oversight of the defense nuclear complex.

Strategic Objective 1.1 – Complete timely, high-quality safety reviews that identify and analyze safety issues and best practices, and search for similar challenges complex-wide.

Strategic Objective 1.2 – Develop and issue advice and recommendations designed to ensure safety and employ best practices within the defense nuclear complex.

Strategic Objective 1.3 – Provide robust field oversight of facilities and projects across the defense nuclear complex.

### **Strategic Goal 2**

Enhance transparency of ongoing Agency initiatives and the state of safety within the defense nuclear complex.

Strategic Objective 2.1 – Proactively sustain sound working relationships with relevant government and non-governmental entities.

Strategic Objective 2.2 – Improve timely dissemination of information about the Board priorities and conclusions regarding the state of safety at Defense Nuclear Facilities.

### **Strategic Goal 3**

Develop and maintain an outstanding workforce to achieve the Agency’s mission.

Strategic Objective 3.1 – Cultivate an agile workforce with the skills necessary to meet the mission.

Strategic Objective 3.2 – Use professional development and training to efficiently and effectively accomplish the mission.

### **Strategic Goal 4**

Maximize the DNFSB’s performance by pursuing excellence in our Agency culture and operations.

Strategic Objective 4.1 – Pursue efficiency through continuous improvement of internal policies and procedures through testing and evaluation.

Strategic Objective 4.2 – Establish and maintain a culture that encourages teamwork and innovation across the Agency in accordance with core values.

Strategic Objective 4.3 – Strengthen operational performance by modernizing Agency processes and associated infrastructure.

## ORGANIZATIONAL STRUCTURE

The five-member Board<sup>1</sup> leads the agency in accomplishing its mission and determines actions regarding the safety aspects of the design, construction, operation, and decommissioning of the Department of Energy's (DOE) defense nuclear facilities.



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### CHAIR

Ms. Joyce L. Connery



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### VICE CHAIR

Mr. Thomas A. Summers



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### BOARD MEMBER

Ms. Jessie Hill Roberson

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### BOARD MEMBER

Vacant

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### BOARD MEMBER

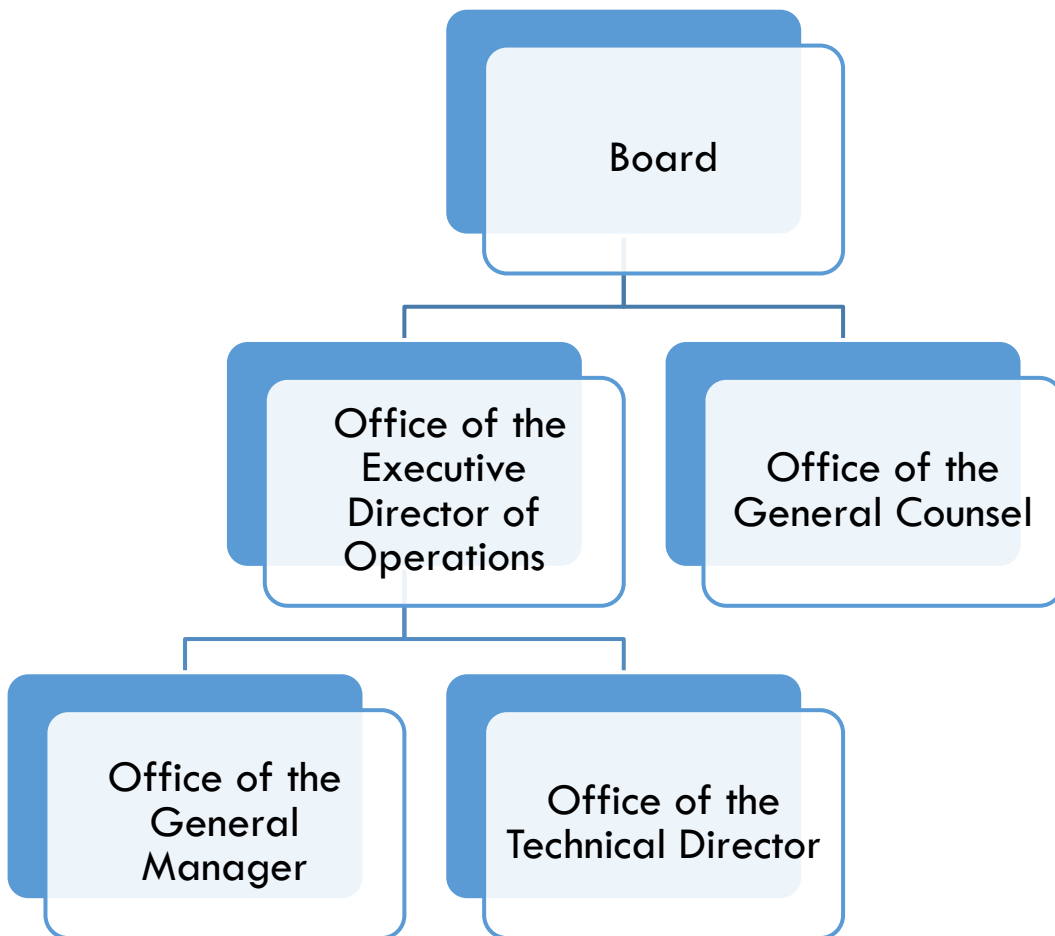
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<sup>1</sup> There are currently two vacancies on the Board.

## Organizational Chart

The Board is statutorily capped at 130 Federal FTEs and is currently arranged in four offices under the five-member board. The Office of the Executive Director of Operations (OEDO) was established in FY 2021 and oversees the agency’s administrative and technical operations, provides direct Board support, directs external affairs, and leads the agency’s EEO program, among other duties. Most agency FTEs are assigned to the Office of the Technical Director (OTD), which carries out the safety mission of the Board. The Office of the General Manager is responsible for the major administrative functions of the agency, such as human resources, information technology, and finance. The Office of General Counsel manages the agency’s compliance with all legal requirements and provides direct legal support to the Board, as well as to the agency’s other offices.



## FY 2023 BUDGET RESOURCE SUMMARY

### Obligations by Fiscal Year

Budget Account -- OC	FY 2021 Financial Plan	FY 2022 Financial Plan	FY 2023 Budget Request
PERSONNEL SALARIES -- (11)	17,653,800	18,723,200	20,992,000
PERSONNEL BENEFITS -- (12)	5,686,300	6,493,000	6,997,300
BENEFITS FOR FORMER PERSONNEL -- (13)	-	-	11,000
TRAVEL -- (21)	1,026,000	1,226,000	1,183,200
TRANSPORTATION OF THINGS -- (22)	54,300	54,300	100,500
RENTAL PAYMENTS TO GSA -- (23.1)	3,102,200	3,150,000	3,067,500
COMMUNICATIONS & UTILITIES (23.3)	347,000	347,000	682,100
PRINTING & REPRODUCTION -- (24)	29,100	29,100	69,000
ADVISORY & ASSISTANCE SERVICES -- (25.1)	495,000	495,000	405,000
OTHER SERVICES -- (25.2)	4,507,200	4,452,800	5,288,300
GOVERNMENT SERVICES -- (25.3)	1,453,700	1,521,100	1,407,000
OPERATION & MAINT. OF FACILITIES -- (25.4)	27,000	102,000	94,500
OPERATION & MAINT. OF EQUIPMENT -- (25.7)	107,400	107,400	92,500
SUPPLIES & MATERIALS -- (26)	323,800	323,800	271,500
ACQUISITION OF ASSETS -- (31)	366,000	366,000	740,000
<b>TOTAL OBLIGATIONS</b>	<b>35,178,800</b>	<b>37,390,700</b>	<b>41,401,400</b>
NEW BUDGET AUTHORITY	28,836,000	31,000,000	41,401,400
UNOBLIGATED BALANCE - PREV. FY	14,291,100	7,851,100	0
RECOVERY OF PRIOR YEAR OBLIGATIONS	300,000	400,000	300,000
<b>TOTAL BUDGETARY RESOURCES</b>	<b>43,427,100</b>	<b>39,251,100</b>	<b>41,701,400</b>
EST. UNOBLIGATED BAL. - CUR. FY	8,248,300	1,860,400	0
<b>OUTLAYS</b>	<b>32,435,200</b>	<b>35,147,300</b>	<b>38,917,316</b>
STAFF & BOARD MEMBERS (FTE)	114	115	120

## FY 2023 Budget Justification Overview

### Salaries and Benefits (OC 11 through OC 13)

The FY 2023 request includes funding of \$27,989,300 to support the projected salary and benefit costs for 120 FTEs. The funding for salaries and benefits represents two-thirds of the Board's FY 2023 estimated obligations. In calculating the projected salary and benefits needs of the Board, the following Federal pay adjustment and benefits factors for executive branch employees are used:

- Civilian pay increase of 4.6 percent in January 2023
- Employee benefits of 33 percent of salaries

*(Note: Personnel benefit (OC 12) costs also include other costs (e.g., change of station, public transit subsidies).*

In establishing the Board, Congress sought to bring the best talent available to focus on health and safety oversight associated with the design, construction, operation, and decommissioning of DOE's defense nuclear facilities. The recruitment and retention of scientific and technical staff with outstanding qualifications are the key components in the Board's human capital strategy. The Board has assembled a small and highly talented technical staff with extensive backgrounds in science and engineering disciplines, such as nuclear-chemical processing, conduct of operations, general nuclear safety analysis, conventional and nuclear explosive technology and safety, storage of nuclear materials, nuclear criticality safety, and radioactive waste management. Most of the technical staff have technical master's degrees, and many hold doctoral degrees. Many of the Board's technical staff members possess practical nuclear experience gained from duty in the U.S. Navy's nuclear propulsion program, the nuclear weapons field, or the civilian nuclear power industry. To accomplish the Board's highly technical mission, it is of paramount importance that the Board receives funds to meet the salary and benefit requirements of the staff.

The Board maintains a cadre of 13 Resident Inspectors that provides a cost-effective means for the Board to closely monitor DOE activities and to identify health and safety concerns promptly by conducting first-hand assessments of nuclear safety management at five priority sites. After analyzing the work at DOE sites, the Board will be filling three additional Resident Inspector positions. Resident Inspectors regularly interact with the public, union members, congressional staff members, and public officials from Federal, state, and local agencies. Staff may be temporarily assigned to sites for a period of weeks or months to augment Resident Inspectors and/or as a developmental opportunity.

The Board established an Office of the Executive Director of Operations (EDO) and realigned existing staff positions to support the EDO role as the agency continues to implement improvements recommended by the National Academy of Public Administration and the Office of the Inspector General. The technical staff were also realigned into two new groups to better match the nuclear safety oversight functions. Where DOE sites span many states and employ a much larger cadre of Federal staff and contractors (more than 50,000 total), the Board is focused on how it can best meet its mission goals as the agency approaches its statutory cap of 130 FTE. One new effort is to ensure continued high performance of the Board staff as the agency shifts to a greater focus in the field and supports a post-pandemic hybrid work environment. These organizational shifts require the agency to be able to effectively manage in a virtual environment.

Rebuilding the Board’s workforce will support the agency’s unique mission within the Federal government, providing safety oversight of defense nuclear facilities to protect public health and safety. Safe operations at those facilities are a key aspect of the continued viability of the nation’s strategic deterrent. Without safety, there is great risk of interruption to the operations that sustain the programs that are foundational to our nation and allies. Moreover, this directly supports President Biden’s Interim National Security Guidance issued in March 2021, where he highlighted the ongoing need of “ensuring our strategic deterrent remains safe, secure, and effective and that our extended deterrence commitments to our allies remain strong and credible.”

In recent years, the Department of Energy, in particular its National Nuclear Security Administration (NNSA), has seen significant budget increases to support the modernization of the strategic deterrent. This has translated into significant defense weapons programs that require sufficient and ongoing oversight to ensure safety. Simply put, the Board’s safety oversight requirements are increasing and need to be properly resourced to protect public health and safety. Some of these programs include plutonium pit production at Los Alamos National Laboratory and the Savannah River Site (SRS), tritium extraction at SRS, uranium production at the Y-12 National Security Complex, and weapons assembly and disassembly at Pantex. In addition to the strategic deterrent direct support, the Board provides safety oversight of defense nuclear facilities that handle radiological waste that dates back to the Manhattan Project and the Cold War, along with waste streams that are a result of sustainment and modernization efforts. This includes tank waste cleanup projects at Hanford and Savannah River Site and transuranic waste management at the Waste Isolation Pilot Plant.

In addition to the modernization programs planned or underway, there are significant safety risks associated with the old and failing infrastructure at defense nuclear facilities. According to NNSA in May 2021, about 60 of its facilities are greater than 40 years old and more than 50 percent are in poor condition. The safety oversight the Board provides helps DOE better understand the potential impact of these defense nuclear facilities on public health and safety so they can take action to reduce safety risks.

### **Travel (OC 21)**

The Board requests \$1,183,200 to support the official travel of Board members and staff. Extensive travel to the various DOE defense nuclear facilities located throughout the United States is necessary for Board members and staff to conduct first-hand safety assessments of operations and associated health and safety issues. To fulfill its mission, the Board assigns technical staff teams to near-continuous monitoring of major startup, testing, restart, or other activities at various DOE sites.

Travel funds are also used to pay for expenses associated with public hearings and meetings at or near DOE sites, where any interested persons or groups may present comments, technical information, or data concerning health and safety issues under the Board’s purview.

### **Transportation of Things (OC 22)**

The Board has included \$100,500 in its FY 2023 Budget Request for the shipment of household goods for employees relocating to/from the Washington, D.C. area and/or becoming Resident Inspectors at DOE facilities.

### **Rental Payments to GSA (OC 23.1)**

The Board requests funds totaling \$3,067,500 to reimburse the U.S. General Services Administration (GSA) for projected office rental costs based on the rent estimate received from GSA. This overhead expense represents approximately seven percent of the Board's FY 2023 estimated obligations. The Board entered a 10-year lease in March 2016 for its headquarters in Washington, D.C.

### **Communications and Utilities (OC 23.3)**

The Budget Request includes \$682,100 for projected communications support costs. Funds in this account will be used for voice over internet protocol telephone service, smartphone services, Internet access charges (both at the Board's headquarters and its alternate continuity of operations (COOP) location), postage and overnight delivery costs, and special messenger services. The physical COOP space is located at a DOE facility, and all costs necessary for maintaining the readiness of the alternate location are included under this OC. The COOP location includes the agency back-up servers providing cybersecurity redundancy in the case of a ransomware attack.

### **Printing and Reproduction (OC 24)**

The Budget Request includes \$69,000 for reimbursing the U.S. Government Publishing Office for publication of required legal notices in the Federal Register.

### **Advisory and Assistance Services (OC 25.1)**

The Budget Request includes \$405,000 for training of the Board's engineers and scientists, as well as technical service contracts.

### **Other Services (OC 25.2)**

The Budget Request includes \$5,288,300 to fund a wide range of recurring information technology and administrative support needs of the Board in FY 2023 in areas such as physical and cybersecurity, information technology (IT), administrative support, and support for human capital planning, recruiting, and training of the Board's professional and administrative staff, including members of the Senior Executive Service.

The additional funding is necessary to support network administration, system, and user monitoring, and to implement administration-directed enhancements including IPv6 and securing cloud-based assets and services. The Board has entered into a memorandum of understanding to partner with the Cybersecurity and Infrastructure Security Agency to enhance the prevention, detection, assessment, and remediation of cyber incidents. The budget request reflects a substantial investment to modernize and improve the



agency's approach to its IT systems consistent with Executive Order 14028 and the Federal Information Security Modernization Act.

As the agency rebuilds its highly skilled technical workforce, it will require additional resources to plan for competition in recruiting for the specialized nuclear engineer and related engineering disciplines, employee attrition, employee development and retention. The Board competes with industry for its technical workforce to conduct its nuclear safety oversight mission. The additional funding request will support a continued investment in the Board's robust human capital strategy to build back its workforce coming out of several years of suppressed hiring.

This amount also supports the agency's work to advance equity. It includes contract support for the agency's revitalized special emphasis, anti-discrimination, and EEO program. This contract support provides programming for awareness and participation in the agency mission by people who have been historically underserved, underrepresented, marginalized, or affected by inequality.

### **Government Services (OC 25.3)**

The Budget Request includes \$1,407,000 for reimbursable support agreements with other Federal agencies and increases in other government service provider costs. The Board uses cross-servicing arrangements for physical security, accounting and payroll processing services, health unit, employee background investigations for security clearances, and Employee Assistance Program services. Additionally, the Board requests funding for Official Reception and Representation functions; not to exceed \$1,000.

### **Operation and Maintenance of Facilities (OC 25.4)**

The Board requests \$94,500 for maintaining/updating the Board's facilities (e.g., carpet replacement, heating, ventilation, and air conditioning maintenance; building alterations; and plumbing repairs outside the scope of the building lease).

### **Operation and Maintenance of Equipment (OC 25.7)**

The Board requests \$92,500 for maintaining and repairing Board equipment (e.g., IT systems, copier maintenance agreements, repair of office equipment) and for storage of household goods associated with a permanent change of station.

### **Supplies and Materials (OC 26)**

The Board requests \$271,500 for continued access to numerous technical standards databases, legal research services, IT system components, and general office supplies and materials.

### **Acquisition of Assets (OC 31)**

The Board requests \$740,000 in acquisition of assets. The acquisition of these assets is necessary to ensure continued operations through modernization and enhanced cybersecurity as well as the shift from maximum telework due to the pandemic to the new flexibility of a hybrid work environment, which includes establishing a sustained flexible work environment as some staff continue to work from alternate



locations. As the Board moves to comply with the Administration’s direction to implement the IPv6 internet protocol standard, it must ensure that its IT equipment and software is compatible with the new standard and fully supports software implementation for dual compatibility until the transition is complete by the 2024 deadline.

## FY 2021 ANNUAL PERFORMANCE REPORT

### Overview

The Board published an updated FY 2018–2022 Agency Strategic Plan that established revised strategic goals and objectives in December 2019. The Board’s FY 2021 Annual Performance Plan (APP) was executed in alignment with these goals and objectives. As part of this initiative, the Agency migrated away from strategic goals, objectives, and measures that measure only quantitative outputs and instead focused on a mixture of qualitative and quantitative outputs. The FY 2021 Annual Performance Report (APR) presents Agency outcomes described in narrative fashion after each strategic objective. Data is included where relevant and appropriate. Of note, the COVID-19 pandemic continued to impact several goals and measures, as it did during FY 2020. That said, in many instances, the Board was able to develop and adapt new strategies to complete the mission.

### Mission Statement

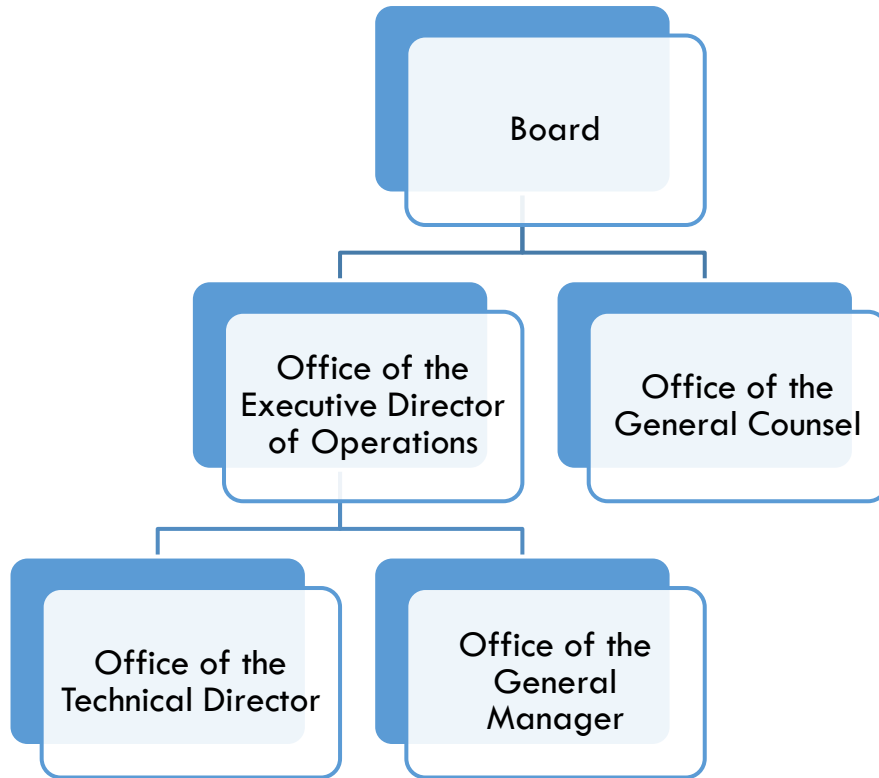
The mission of the Board shall be to provide independent analysis, advice, and recommendations to the Secretary of Energy to inform the Secretary, in the role of the Secretary as operator and regulator of the defense nuclear facilities of the Department of Energy, in providing adequate protection of public health and safety at such defense nuclear facilities, including with respect to the health and safety of employees and contractors at such facilities.

### Vision Statement

To secure a safe future for the American people through proven technical excellence and transparency that inspires public confidence as the defense nuclear enterprise evolves.

### Organizational Structure

The Defense Nuclear Facilities Safety Board is an independent organization within the executive branch of the United States Government, chartered with the responsibility of providing recommendations and advice to the President and the Secretary of Energy regarding public health and safety issues at Department of Energy (DOE) defense nuclear facilities. The Board is comprised of up to five Presidentially-appointed, Senate-confirmed Board Members. The Office of the Executive Director of Operations was established in FY 2021 and oversees the Agency’s administrative and technical operations, provides direct Board support, manages congressional, public, and intergovernmental affairs, and leads the Agency’s Equal Employment Opportunity program, among other duties. The Office of the Technical Director supports the Board by providing expertise in the fields relating to the design, construction, operation, and eventual decommissioning of defense nuclear facilities. The Office of the General Manager supports the Board by providing expertise in the fields of human resources, budget and finance, information technology, security (including cybersecurity), contracting, and records management. The Office of the General Counsel manages the Agency’s compliance with all legal requirements and provides direct legal support to the Board, as well as to the Agency’s other offices.



**Figure 1. DNFSB Organizational Structure**

### **Strategic Goals and Strategic Objectives (FY 2021 APR)**

The Board’s Strategic Plan for FY 2018–2022 sets forth a broad vision of how the Board will fulfill its statutory mission to “provide independent analysis, advice, and recommendations to the Secretary of Energy to inform the Secretary, in the role of the Secretary as operator and regulator of the defense nuclear facilities of the Department of Energy, in providing adequate protection of public health and safety at such defense nuclear facilities, including with respect to the health and safety of employees and contractors at such facilities.” The FY 2021 APR is aligned with the strategic goals and objectives defined in the Board’s original Strategic Plan for FY 2018–2022.

#### **GOAL 1**

Provide proactive and independent safety oversight of the defense nuclear complex.

Strategic Objective 1.1—Complete timely, high-quality safety reviews that identify and analyze safety issues and best practices, and search for similar challenges complex-wide.

Strategic Objective 1.2—Develop and issue advice and recommendations designed to ensure safety and employ best practices within the defense nuclear complex.

Strategic Objective 1.3—Provide robust field oversight of facilities and projects across the defense nuclear complex.

**GOAL 2**

Enhance transparency of ongoing Agency initiatives and the state of safety within the defense nuclear complex.

Strategic Objective 2.1—Proactively sustain sound working relationships with relevant government and non-government entities.

Strategic Objective 2.2—Improve timely dissemination of information about the Board priorities and conclusions regarding the state of safety at defense nuclear facilities.

**GOAL 3**

Develop and maintain an outstanding workforce to achieve the Agency’s mission.

Strategic Objective 3.1—Cultivate an agile workforce with the skills necessary to meet the mission.

Strategic Objective 3.2—Use professional development and training to efficiently and effectively accomplish the mission.

**GOAL 4**

Maximize the DNFSB’s performance by pursuing excellence in our Agency culture and operations.

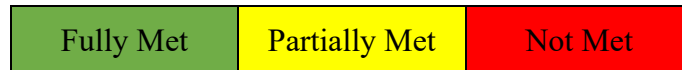
Strategic Objective 4.1—Pursue efficiency through continuous improvement of internal policies and procedures through testing and evaluation.

Strategic Objective 4.2—Establish and maintain a culture that encourages teamwork and innovation across the Agency in accordance with core values.

Strategic Objective 4.3—Strengthen operational performance by modernizing Agency processes and associated infrastructure.

## FY 2021 Performance Summary

<b>Goal 1</b> —Provide proactive and independent safety oversight of the defense nuclear complex.	
1.1—Safety Reviews	Fully Met
1.2—Advice and Recommendations	Fully Met
1.3—Field Oversight	Partially Met
<b>Goal 2</b> —Enhance transparency of ongoing Agency initiatives and the state of safety within the defense nuclear complex.	
2.1—Working Relationships	Fully Met
2.2—Timely Dissemination of Information	Fully Met
<b>Goal 3</b> —Develop and maintain an outstanding workforce to achieve the Agency’s mission.	
3.1—Agile Workforce	Fully Met
3.2—Development and Training	Partially Met
<b>Goal 4</b> —Maximize the DNFSB’s performance by pursuing excellence in our Agency culture and operations.	
4.1—Internal Policies and Procedures	Partially Met
4.2—Culture	Fully Met
4.3— Agency Processes and Infrastructure	Fully Met



**Figure 2. DNFSB Performance Summary**

While the Agency operated in a maximum telework status in response to the COVID-19 global pandemic, it continued to meet its safety mission goals overall, despite challenges associated with staff travel to defense nuclear facilities. Resident Inspectors continued to conduct on-site safety oversight within the DOE pandemic constraints at each site. The Board rescheduled or reprioritized its planned oversight work as appropriate in response to DOE operational changes driven by pandemic conditions.

## FY 2021 Performance Detail

### STRATEGIC GOAL 1

Provide proactive and independent safety oversight of the defense nuclear complex.

**Strategic Objective 1.1:** Complete timely, high-quality safety reviews that identify and analyze safety issues and best practices, and search for similar challenges complex-wide.

*Key Performance Goal 1.1.1:* Prioritize and execute reviews to maximize impact on safety.

*Key Performance Goal 1.1.2:* Conduct cross-cutting as well as site specific reviews, identifying safety concerns and best practices in work products.

Fiscal Year	Performance Measure 1.1.1	Target	Result
2021	Completion of high priority reviews while demonstrating flexibility to address emerging issues.	Complete 7 safety reviews focused on DOE-EM defense nuclear facilities; complete 7 safety reviews focused on NNSA defense nuclear facilities; complete 3 cross-cutting safety reviews that have broad applicability across the DOE defense nuclear complex, or at minimum affect more than one defense nuclear site; and complete 2 safety reviews focused on defense nuclear complex projects, including new facilities and major modifications. Communicate any safety concerns to DOE.	<b>Fully Met</b>

**Discussion**

Performance Measure 1.1.1 is fully met for FY 2021.

During FY 2021, DNFSB completed eight safety reviews focused on DOE Environmental Management (DOE-EM) defense nuclear facilities, ten safety reviews focused on National Nuclear Security Administration (NNSA) defense nuclear facilities, three cross-cutting safety reviews, and five safety reviews focused on defense nuclear projects. The full list of these safety reviews is provided in the tables below. As part of the safety review process by the Office of the Technical Director (OTD), safety concerns are communicated to DOE personnel during the interaction phase of the review, and significant safety issues are documented in staff reports with proposed Board external correspondence.

***Table 1. Safety Reviews Focused on DOE-EM Defense Nuclear Facilities:***

<b>Review Title</b>	<b>DOE Site</b>
H-Canyon Exhaust Tunnel Structural Analysis	Savannah River Site
H-Canyon Safety Basis	Savannah River Site
Emergency Preparedness and Response	Hanford
Safety Instrumented Alarm System Failure	Waste Isolation Pilot Plant
Central Waste Complex Hazard Controls	Hanford
Certification of Nitric Acid/Cheesecloth Waste	Waste Isolation Pilot Plant
Salt Waste Processing Facility – Emergency Management	Savannah River Site
Building 235-F Safety Basis	Savannah River Site

***Table 2. Safety Reviews Focused on NNSA Defense Nuclear Facilities:***

<b>Review Title</b>	<b>DOE Site</b>
Adequacy of Safety Systems, Structures, and Components	Los Alamos National Laboratory
Weapon Response Technical Basis	Sandia National Laboratory
Radioactive Waste Management Complex Safety Basis	Nevada Nuclear Security Site
Out-of-Service Equipment Holdup	Y-12

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Pantex Concerns	Pantex
PF-4 Safety Basis	Los Alamos National Laboratory
Alternate Co-Located Worker Location at U1a Complex	Nevada Nuclear Security Site
National Criticality Experiments Research Center Criticality Safety Program	Nevada Nuclear Security Site
High-Efficiency Neutron Counter Pad Ordinary Combustible Fire	Los Alamos National Laboratory
Pantex Pit Inventory	Pantex

***Table 3. Cross-Cutting Safety Reviews:***

<b>Review Title</b>	<b>DOE Site</b>
Seismic Hazard Assessments	Complex-wide
DOE COVID-19 Response	Complex-wide
Transuranic Waste Follow-up Activities	Complex-wide

***Table 4. Safety Reviews Focused on Defense Nuclear Projects:***

<b>Review Title</b>	<b>DOE Site</b>
Surplus Plutonium Disposition Project—Conceptual Design	Savannah River Site
Tritium Finishing Facility Project—Conceptual Design	Savannah River Site
Los Alamos Plutonium Pit Production Project— Conceptual Design	Los Alamos National Laboratory
PF-4 Seismic Performance Assessment	Los Alamos National Laboratory
Device Assembly Facility Soil-Structure Interaction Analysis	Nevada Nuclear Security Site



Fiscal Year	Performance Measure 1.1.2	Target	Result
2021	Work products provided to the Board within specified timeliness metric.	Complete recommendations, draft recommendations, and preparations for public hearings or meetings within timelines established in procedures or by Board vote as applicable.	<b>Fully Met</b>

**Discussion**

Performance Measure 1.1.2 is fully met for FY 2021.

On December 4, 2020, the Board held a virtual Public Meeting on Recommendation 2020-1, Nuclear Safety Requirements. The Board subsequently reaffirmed Recommendation 2020-1 to the Secretary of Energy on June 1, 2021. The Board also held a virtual Public Meeting and Hearing regarding the status of the Savannah River Site (SRS) on July 13, 2021. The goal of the virtual Public Meeting was to gather information on how DOE and NNSA are approaching work in a constrained environment for an extended period. The goal of the virtual Public Hearing was to gather information and discuss DOE and NNSA actions that could impact the safety posture of operations at SRS. All work products, briefings, and support activities for the Board Recommendation, Public Meetings, and Public Hearing were completed consistent with established timelines. Work products and Board interactions supported high quality Recommendation products, as well as Public Meetings and Hearings. To meet COVID requirements, DNFSB contracted for services to create a Zoom conference environment compatible with both DOE and DNFSB information technology platforms and that would be user-friendly for external stakeholders. Staff across the Agency coordinated the workflow, alerted appropriate congressional and stakeholder offices, and managed exhibits and questions for the record to maximize transparency.

**Strategic Objective 1.2:** Develop and issue advice and recommendations designed to ensure safety and employ best practices within the defense nuclear complex.

*Key Performance Goal 1.2.1:* Provide timely, technically accurate, compelling safety information to the Secretary of Energy.

*Key Performance Goal 1.2.2:* Ensure the Secretary of Energy has enhanced awareness of complex-wide safety issues.

Fiscal Year	Performance Measure 1.2.1	Target	Result
2021	Identification and inclusion of both site-specific and complex-wide safety concerns and best practices in products developed through routine oversight and reviews.	Provide at least 14 written staff reports to the Board for consideration for delivery to the Secretary of Energy within the timelines specified in internal procedures. At least 3 of the reports should contain complex-wide or cross-cutting safety issues.	Fully Met

**Discussion**

Performance Measure 1.2.1 is fully met for FY 2021.

Strategic Objective 1.1 applies to the execution of timely safety reviews that identify and analyze safety issues and best practices. Strategic Objective 1.2 targets the resultant development of staff reports, which detail any safety issues, and the process of articulating related advice on the safety of operations to the Secretary of Energy. During FY 2021, the Board communicated a total of 20 staff reports to the Secretary of Energy, each of which provided a detailed basis for identified safety issues along with advice to address such safety issues. Of the 20 total reports provided to the Secretary of Energy, 5 contained complex-wide or cross-cutting safety issues. These reports included a technical report on seismic hazard assessments, comments regarding three Department of Energy Standards, and a report covering complex-wide management of High Efficiency Particulate Air Filters. All reports were fully compliant with internal requirements for timeliness and content.

Fiscal Year	Performance Measure 1.2.2	Target	Result
2021	Encouragement provided to the Department of Energy to share best practices as well as safety concerns.	Provide to the Board three written staff reports that contain best practices or opportunities for improvement for consideration for delivery to the Secretary of Energy within the timelines specified in internal procedures.	<b>Fully Met</b>

**Discussion**

Performance Measure 1.2.2 is fully met for FY 2021.

Performance Measure 1.2.2 is effectively an extension of Performance Measure 1.2.1, ensuring that a subset of safety reviews result in communication regarding best practices or opportunities for improvement across the defense nuclear complex. In FY 2021, three staff reports met the criteria, including two reports that contained complex-wide or cross-cutting safety issues.

- 1) During FY 2021 the staff completed its review on the draft of DOE Standard 5506, *Preparation of Safety Basis Documents for Transuranic (TRU) Waste Facilities*. DOE ultimately issued a revised standard incorporating many of the staff’s suggested improvements. The Board communicated to DOE regarding implementation of the revised standard, highlighting key areas that will result in positive impacts to nuclear safety and advocating for application across defense nuclear facilities.
- 2) The Board issued a technical report on seismic hazard assessments with specific focus on the need to update DOE directives to improve existing guidance and standardization regarding seismic hazard assessments.
- 3) In reviewing the weapon response development process at Sandia National Laboratories, the staff identified opportunities for safety improvement, including those related to NNSA oversight, which could have applicability to other sites involved in the weapon response development processes.

**Strategic Objective 1.3:** Provide robust field oversight of facilities and projects across the defense nuclear complex.

*Key Performance Goal 1.3.1:* Identify site-specific safety challenges and analyze for commonalities across the complex.

*Key Performance Goal 1.3.2:* Provide timely safety information to the Board, acting quickly on emerging issues.

Fiscal Year	Performance Measure 1.3.1	Target	Result
2021	Oversight presence sustained at an appropriate level.	On average, Resident Inspector positions are covered 80% of the time including through permanent, detail, and temporary coverage.	<b>Partially Met</b>

**Discussion**

Performance Measure 1.3.1 is partially met for FY 2021.

Based on the Agency’s evaluation of Resident Inspector staffing, the Board continued to have a target of 13 Resident Inspectors for the defense nuclear complex. The Board began FY 2021 with nine Resident Inspectors. Deployment of new Resident Inspectors to Los Alamos National Laboratory (LANL), Hanford, and SRS was delayed due to a surge in COVID-19 cases in late 2020 and early 2021 as well as the need to relocate headquarters personnel to a DOE site and turn over their current responsibilities. Due to the departure of a Resident Inspector at Pantex in March 2021, the overall need for Resident Inspectors increased to four during the year. Furthermore, temporary vacancies were created at LANL and SRS as Resident Inspectors took on acting leadership roles within the organization.

To address those coverage needs, the Pantex Cognizant Engineers spent 10 weeks providing onsite coverage and an additional 20 weeks remotely providing oversight of Pantex activities. Additional staff members augmented oversight at the site throughout the spring and summer. A new Resident Inspector reported for duty at Pantex in early July 2021. These actions allowed the Agency to provide both onsite and remote coverage of Pantex during FY 2021.

A new Hanford Resident Inspector reported for duty in July 2021 and a new SRS Resident Inspector arrived in September 2021. Furthermore, the Board established a new Associate Technical Director of Field Operations to supervise the Resident Inspectors and train new Resident Inspectors. The Board is actively recruiting additional personnel to fill the remaining vacancies.

Considering only Resident Inspectors onsite, Resident Inspector positions were covered 67% of the time. Including Resident Inspectors who were acting for other positions and remote oversight at Pantex, this

coverage increased to 75%. Moreover, given that DNFSB could not send Board staff to DOE sites because of travel restrictions throughout most of FY 2021, the Resident Inspectors increased their briefings to headquarters, providing increased visibility. While the target percentage was not met, the Board feels that it was provided adequate information from its field presence to execute its mission.

Fiscal Year	Performance Measure 1.3.2	Target	Result
2021	Field experience is shared throughout the Agency.	Resident Inspectors and Cognizant Engineers develop and issue weekly and monthly reports respectively 90% of the time.	<b>Fully Met</b>

**Discussion**

Performance Measure 1.3.2 is fully met for FY 2021.

The Board’s staff continues to develop and issue Resident Inspector weekly and Cognizant Engineer monthly reports. At the five sites with Resident Inspectors (LANL, Y-12 National Security Complex/Oak Ridge National Laboratory, Pantex Plant, Hanford Site, and SRS), Resident Inspectors issued a report to the Board on time for 99% of the weeks in FY 2021. For the five sites without Resident Inspectors (Idaho National Laboratory, Lawrence Livermore National Laboratory, Nevada National Security Site, Sandia National Laboratories, and the Waste Isolation Pilot Plant), the Cognizant Engineers issued a report to the Board on time for each month in FY 2021. As a result, 99% of the total number of available Resident Inspector and Cognizant Engineer reports were developed and issued to the Board. To further augment the sharing of field experience throughout the Agency, the Resident Inspectors and Cognizant Engineers developed in-depth briefings about each of the sites that they oversee, most of which were presented to the Board Members and staff by the end of FY 2021. These briefings were recorded and are available for use in training new staff at DNFSB.

**STRATEGIC GOAL 2**

Enhance transparency of ongoing Agency initiatives and the state of safety within the defense nuclear complex.

**Strategic Objective 2.1:** Proactively sustain sound working relationships with relevant government and non-government entities.

*Key Performance Goal 2.1.1:* Maintain effective communications with the Department of Energy at all organizational levels.

*Key Performance Goal 2.1.2:* Maintain effective communications with Congress.

*Key Performance Goal 2.1.3:* Maintain effective communications with relevant state, local, and tribal governments.

*Key Performance Goal 2.1.4:* Maintain effective communication with the public, including relevant advocacy groups and organizations.

Fiscal Year	Performance Measure 2.1.1	Target	Result
2021	Periodic engagement at the Board and senior staff level with relevant senior DOE officials.	A) DNFSB staff will hold meetings with the Departmental Representative, Headquarters EM, and Headquarters NNSA staff at least 10 times a year to share information, and staff will provide summaries of information shared to the Board.  B) The Board will hold biannual meetings with the DOE Secretary and/or Deputy Secretary and three meetings with each of the NNSA Administrator and Assistant Secretary for Environmental Management on high priority nuclear safety topics.	Fully Met*

**Discussion**

Performance Measure 2.1.1 is fully met for FY 2021.

During FY 2021, DNFSB staff engaged at the senior staff level with the Department of Energy. This engagement took the form of recurring meetings focused on open and developing safety issues and targeted meetings focused on emergent issues that required timely engagement to ensure common understanding between organizations. Technical staff leadership provided to the Board summaries of the information from each engagement normally within a week.

Recurring engagements included:

- The Board’s Technical Director generally held weekly meetings with the DOE Departmental Representative to the DNFSB.
- The Board’s Associate Technical Director for Nuclear Weapons Programs generally held meetings every other week with senior personnel from the NNSA Office of Safety.
- The Board’s Associate Technical Director for Nuclear Materials Processing and Stabilization generally held meetings every other week with the DOE-EM Deputy Assistant Secretary for Safety, Security, and Quality Assurance
- The Board’s Associate Technical Director for Nuclear Programs and Analysis held quarterly meetings with senior personnel from the DOE Office of Enterprise Assessments and bimonthly meetings with senior personnel from the DOE Office of Nuclear Safety.

In FY 2021, the Board met with the Deputy Secretary four times, had one interaction with the NNSA Administrator (\*the Administrator departed from her position in November 2020 and was not officially replaced until June of 2022), and three interactions with the Acting Assistant Secretary for Environmental Management. The Board and staff also had additional targeted discussions with various field office managers and other senior DOE leaders.

Fiscal Year	Performance Measure 2.1.2	Target	Result
2021	Periodic briefings conducted to relevant congressional Members and committees.	The Board or staff reaches out on a quarterly basis to relevant congressional Members and committees to provide briefings.	<b>Fully Met</b>

**Discussion**

Performance Measure 2.1.2 is fully met for FY 2021.

During FY 2021, the Board and DNFSB reached out quarterly or more regularly to offer briefings to key

congressional stakeholders. Staff hosted seven briefings with congressional staff and committees. These briefings were to the staffs of the House and Senate Armed Services Committees, the House and Senate Appropriations Committees, and personal staff of Members of Congress.

In the 2021 National Defense Authorization Act (NDAA), Congress made an important change related to the Board’s obligations under the Government in the Sunshine Act, allowing it to conduct impromptu, nonpublic deliberations notwithstanding the Sunshine Act’s open meetings and advance notice requirements. This affords the Board critical flexibility, while still ensuring appropriate notice to the public of matters discussed. The legislative change greatly facilitated the Board’s successes and progress in FY 2021 on matters ranging from developing a Memorandum of Understanding (MOU) with DOE to the oversight and safety of particular DOE facilities and operations.

Fiscal Year	Performance Measure 2.1.3	Target	Result
2021	Periodic outreach conducted to relevant state, local and tribal governments at both Board and staff level.	The Board or staff reaches out on an annual basis to state, local, and tribal governments to offer/provide briefings.	<b>Fully Met</b>

**Discussion**

Performance Measure 2.1.3 is fully met for FY 2021.

During FY 2021, due to COVID restrictions and fewer in-person interactions, DNFSB conducted limited outreach to state, local, and Tribal governments. In October 2020, one of the Board’s Resident Inspectors assigned to Los Alamos National Laboratory participated in and presented at a workshop conducted by the Princeton Program on Science and Global Security and the Los Alamos Study Group. The workshop centered on issues regarding production of plutonium pits and was well attended by federal and state government officials. The Resident Inspector presented on the state of nuclear safety at Los Alamos National Laboratory. In November 2020, the Board’s Technical Director presented a briefing to the Northern New Mexico Citizens’ Advisory Board on the state of nuclear safety for legacy waste clean-up operations at Los Alamos National Laboratory, as well as the Board’s interface with DOE. Also, the Agency notified state and local officials in South Carolina about its July 2021 Public Meeting and Public Hearing and offered briefings



Fiscal Year	Performance Measure 2.1.4	Target	Result
2021	Periodic outreach conducted to the public, including relevant advocacy groups and organizations.	The Board or staff reaches out on an annual basis to the public, including relevant advocacy groups and organizations to offer/provide briefings.	<b>Fully Met</b>

**Discussion**

Performance Measure 2.1.4 is fully met for FY 2021.

DNFSB conducted at least 11 interactions with public groups. These included the Board’s meetings with National Defense University’s Center for the Study of Weapons of Mass Destruction, American Nuclear Society task forces, the Nuclear Radiation and Studies Board, the Canadian Nuclear Safety Commission, and the Atlantic Council, to name a few. Additionally, Resident Inspectors met with various advocacy groups and organizations throughout FY 2021 and the Agency responded to inquiries related to activities at various DOE sites.

**Strategic Objective 2.2:** Improve timely dissemination of information about the Board priorities and conclusions regarding the state of safety at defense nuclear facilities.

*Key Performance Goal 2.2.1:* Improve transparency through timely posting of Agency communication and public engagement.

*Key Performance Goal 2.2.2:* Ensure Board work products are made available to Congress through proactive outreach.

Fiscal Year	Performance Measure 2.2.1	Target	Result
2021	Timely publication of weekly/ monthly/ annual reports	Resident Inspector weekly reports and Cognizant Engineer monthly reports are published to the Board’s public website within four weeks of finalization 90% of the time.	<b>Fully Met</b>

**Discussion**

Performance Measure 2.2.1 is fully met for FY 2021.

DNFSB reports were posted to the public website immediately upon clearance by DOE classification review.

Fiscal Year	Performance Measure 2.2.2	Target	Result
2021	Routine conduct of business meetings, public hearings, or Board visits.	The Board holds public meetings, public hearings, or visits to one or more sites three times during the year.	<b>Fully Met</b>

**Discussion**

Performance Measure 2.2.2 is fully met for FY 2021.

The Board held a virtual Public Meeting in December 2020 to receive a staff briefing regarding the Board’s revision or reaffirmation of Recommendation 2020-1. In July 2021, the Board held a virtual Public Meeting and Public Hearing on the status of SRS. These Public Meetings and Public Hearing were held virtually due to the COVID-19 pandemic. The Agency ensured that it had the virtual capabilities in place to support the successful conduct of these events. The Board did not conduct visits to any defense nuclear facilities during FY 2021 due to COVID-19 pandemic conditions.

Fiscal Year	Performance Measure 2.2.3	Target	Result
2021	Timely notification to interested parties of public hearings, meetings, reports, and Recommendations.	Post notification of Board public hearings, public meetings, and correspondence to the Board’s public website within one week of final clearance.	<b>Fully Met</b>

**Discussion**

Performance Measure 2.2.3 is fully met for FY 2021.

DNFSB notified Congress and interest groups in a timely manner regarding the December 2020 virtual Public Meeting and the July 2021 virtual Public Meeting and Public Hearing. Also, notification of these

events was posted to the Board’s public website within one week of final clearance. Further, Congress was notified on all required reports.

**STRATEGIC GOAL 3**

Develop and maintain an outstanding workforce to achieve the Agency’s mission.

**Strategic Objective 3.1:** Cultivate an agile workforce with the skills necessary to meet the mission.

*Key Performance Goal 3.1.1:* Establish a multi-year, forward-looking Staffing Plan to inform budget requests.

*Key Performance Goal 3.1.2:* Hire well-qualified, motivated individuals to fill vacant positions and to enable effective succession planning.

*Key Performance Goal 3.1.3:* Ensure redundancy in key functions to reduce mission vulnerabilities due to projected staff attrition.

Fiscal Year	Performance Measure 3.1.1	Target	Result
2021	Human Capital Plan that includes succession planning, work force development, career pathing and values diverse talents.	Establish contract support for the DNFSB Human Capital Plan by September 30, 2021.	<b>Fully Met</b>

**Discussion**

Performance Measure 3.1.1 is fully met for FY 2021.

DNFSB’s Division of Human Resources (DHR) developed a detailed outline of the Agency’s Human Capital Plan, incorporating sections on succession planning, workforce development, career pathing and valuing diverse talents. The Agency has secured a vendor to support the completion of the plan in FY 2022. Completion is expected by the end of Quarter 3, FY 2022. DHR aspects of the plan were incorporated in a comprehensive statement of work to procure services to design and deliver an integrated training and development program for DNFSB Senior Executive Service, General Schedule, and Excepted Service employees. The program will include executive coaching, the development of leadership competencies, succession planning, mentoring, and a defined process for attaining the next level in a career path, as appropriate.

Fiscal Year	Performance Measure 3.1.2	Target	Result
2021	Key functions requiring redundancy are identified along with requirements and cross-training needs.	Develop Agency-wide staffing plans based on mission needs analysis by September 30, 2021.	<b>Fully Met</b>

**Discussion**

Performance Measure 3.1.2 is fully met for FY 2021.

DNFSB has established an FY 2022 staffing plan that identifies personnel capabilities to better enable the Agency to identify necessary skills and cross-training needs as the Agency continues to hire new staff and backfill positions vacated through attrition. The staffing plan aligns with the Agency work plan to ensure that staffing will meet Agency mission needs.

**Strategic Objective 3.2:** Use professional development and training to efficiently and effectively accomplish the mission.

*Key Performance Goal 3.2.1:* Establish career path options and encourage professional development tailored to employee goals.

*Key Performance Goal 3.2.2:* Provide new employees at all levels with resources needed to have an impact as soon as practicable upon entering the workforce.

Fiscal Year	Performance Measure 3.2.1	Target	Result
2021	Training and development for career pathing options identified and implemented.	Formal target deferred until FY 2022 pending the development of the DNFSB Human Capital Plan.	<b>Partially Met</b>

**Discussion**

Performance Measure 3.2.1 is partially met for FY 2021.

DNFSB’s efforts for training and development for career pathing are progressing. DHR recruited and retained talent by posting jobs as career ladder positions in the General Schedule and by redefining the classification standards for the Excepted Service positions. Additionally, it has updated career ladder progression for positions that were backfilled in FY 2021. DHR established developmental detail opportunities and processed applications for the Excellence in Government Fellows program. The comprehensive development plan for Agency staff is expected to be established in parallel with the DNFSB Human Capital Plan in FY 2022.

Fiscal Year	Performance Measure 3.2.2	Target	Result
2021	A comprehensive, Agency-wide onboarding plan is developed and executed.	Identify Agency specific training by occupational series for current and new employees, with specific target dates for completion of this training, by September 30, 2021.	<b>Fully Met</b>

**Discussion**

Performance Measure 3.2.2 is fully met for FY 2021.

DNFSB successfully executed Agency-wide onboarding for 17 employees in FY 2021, with close coordination between human resources, personnel security, and the receiving offices. All Agency components provided support for onboarding new employees, as well, through their presentations covering topics such as the Agency’s Equal Employment Opportunity program, safety mission areas, and ethics. All employees were onboarded using a two-day New Employee Orientation process to complete all required forms and training in a virtual environment.

Fiscal Year	Performance Measure 3.2.3	Target	Result
2021	Formal mentoring and coaching for staff.	Formal target deferred until FY 2022 pending development of the DNFSB Human Capital Plan.	<b>Partially Met</b>

**Discussion**

Performance Measure 3.2.3 is partially met for FY 2021.

DNFSB’s efforts for formal mentoring and coaching for staff are progressing. DHR established a contract mechanism to provide coaching for employees in management positions. Three employees have been identified for participation in the coaching program. DHR has also worked to identify mentors for new executives at DNFSB during FY 2021, and OTD has continued to execute its mentoring program for technical staff. An Agency-wide formal mentoring and coaching program is expected to be established in parallel with the Human Capital Plan in FY 2022.

**STRATEGIC GOAL 4**

Maximize the DNFSB’s performance by pursuing excellence in our Agency culture and operations.

**Strategic Objective 4.1:** Pursue efficiency through continuous improvement of internal policies and procedures through testing and evaluation.

*Key Performance Goal 4.1.1:* Establish Policy Statements that lead to mission outcomes consistent with Strategic Goals and Objectives.

*Key Performance Goal 4.1.2:* Ensure Board Procedures are consistent with Strategic Goals and Objectives.

*Key Performance Goal 4.1.3:* Ensure internal procedures and processes reflect Policy Statements.

Fiscal Year	Performance Measure 4.1.1	Target	Result
2021	Policy Statements revised to reflect Strategic Plan and Policy Statements for selected management practices developed.	To achieve mission outcomes and be consistent with Strategic Goals and Objectives, develop two additional new policy statements by September 30, 2021.	<b>Fully Met</b>

**Discussion**

Performance Measure 4.1.1 is fully met for FY 2021.

DNFSB issued two new Board Policy Statements in FY 2021. In December 2020, the Board issued a Board Policy Statement on Access to Information to establish the Board’s expectations of access to such facilities, personnel, and information as the Board considers necessary to carry out its mission. In April 2021, the Board issued a Policy Statement on Recommendations to establish the Board’s policy on the development of Recommendations to the Secretary of Energy (pursuant to 42 U.S.C. § 2286a(b)(5)).

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<b>Fiscal Year</b>	<b>Performance Measure 4.1.2</b>	<b>Target</b>	<b>Result</b>
2021	Board Procedures reflect Agency personnel and processes.	To ensure consistency with Strategic Goals and Objectives begin the review of Board Procedures by May 31, 2021, which will support a comprehensive update of Board Procedures by the end of FY 2022.	<b>Fully Met</b>

**Discussion**

Performance Measure 4.1.2 is fully met for FY 2021.

The Board Members have initiated their review of Board Procedures and have amended them as needed. This included an initial update of Board Procedures in March 2021. In FY 2022, the Agency will review the procedures of the newly established Office of the Executive Director (OEDO) and move relevant procedures to OEDO.



Fiscal Year	Performance Measure 4.1.3	Target	Result
2021	Streamlined internal procedures reflective of Board Policy Statements.	A) Complete a Memorandum of Understanding and staff supplementary document with the Department of Energy.  B) Update the Information Security Handbook by September 30, 2021.  C) Develop a classified meeting processing checklist by September 30, 2021.  D) Develop a classified mail processing checklist by September 30, 2021.	<b>Partially Met</b>

**Discussion**

Performance Measure 4.1.3 is partially met for FY 2021.

In FY 2021, DNFSB neared completion of its MOU with DOE to provide a foundation for mutual communication, transparency, and information sharing to promote operational and interface efficiencies. This MOU was completed during FY 2022, and will be followed by the completion of a staff supplementary document. DNFSB completed an MOU with DOE regarding information security and personnel security in FY 2021 and identified several items that require updating. The Agency will work to accept responsibility for some personnel security processes during FY 2022 to reduce reliance on DOE and improve processing times, which will require an MOU update. The Information Security Handbook has been updated and is progressing through DNFSB senior leadership review and approval. A classified meeting processing checklist is on hold until the Agency transitions from its maximum telework posture due to the pandemic. In FY 2021, the Agency reviewed the classified mail processing procedures and identified updates that are necessary to implement before a revised checklist can be completed.

Fiscal Year	Performance Measure 4.1.4	Target	Result
2021	Work planning that is informed by annual feedback and lessons learned.	Based on lessons learned from FY 2021 work planning efforts, revise and improve the work planning process for FY 2022 by September 30, 2021.	<b>Fully Met</b>

**Discussion**

Performance Measure 4.1.4 is fully met for FY 2021.

DNFSB has undertaken an integrated work plan development process for its FY 2022 Agency-wide Work Plan. The FY 2022 DNFSB Work Plan was approved by the Board on September 29, 2021. The plan places greater emphasis on identifying work plan items that will require collaborative efforts across all Agency offices.

Following the completion of the FY 2021 work planning effort, the technical staff work planning team and its management identified areas for improvement for use in subsequent work planning cycles. Notably for FY 2022, they decided to focus on planning a fewer number of safety reviews to help ensure that staff members can focus on seeing safety reviews through to completion and ensure that work products are timely. In addition, technical staff management distinguished between safety reviews that will be starting in the first quarter for FY 2022 and safety reviews that will be starting later in the year. This change will allow technical staff leadership to ensure staff resources are available as safety reviews are started.

**Strategic Objective 4.2:** Establish and maintain a culture that encourages teamwork and innovation across the Agency in accordance with core values.

*Key Performance Goal 4.2.1:* Institutionalize core values in all phases of employee experience.

*Key Performance Goal 4.2.2:* Foster open discussions across the Agency on important technical and non-technical topics.

*Key Performance Goal 4.2.3:* Maintain a culture respectful of diverse points of view

Fiscal Year	Performance Measure 4.2.1	Target	Result
2021	Core values are promoted in onboarding, training, and performance processes.	A) Onboarding procedures are updated by September 30, 2021.  B) Periodic staff training modules are updated to include a module on the Agency’s core values by September 30, 2021.	<b>Fully Met</b>

**Discussion**

Performance Measure 4.2.1 is fully met for FY 2021.

The new onboarding process was used throughout FY 2021 for all new employees. It integrates the Agency core values into a two-day new employee orientation. For current employees, the performance process integrates DNFSB’s Agency Workforce Fund Plan (AWFP), which aligns the strategic goals and core values (integrity, respect, excellence, and independence) with all employee performance plans. All employee and executive performance plans have a mandatory mission-critical element that links to one or more strategic goals. As a consequence, all Agency performance ratings, and ultimately the distribution of performance awards, reflect the employees’ contributions toward DNFSB’s overall performance and compliance with the Agency core values.

Fiscal Year	Performance Measure 4.2.2	Target	Result
2021	An awards program that emphasizes Agency values.	Formal target deferred until FY 2022 pending the development of the DNFSB Human Capital Plan.	<b>Fully Met</b>

**Discussion**

Performance Measure 4.2.2 is fully met for FY 2021.

In addition to ensuring the core values of excellence and integrity are incorporated into DNFSB awards’ policy and procedures, the Agency’s first Agency Workforce Fund Plan (AWFP) was developed. The AWFP provides management with a comprehensive strategy to develop and foster a culture of recognition through the effective use of monetary awards. The AWFP includes (1) data on current and projected award spending, (2) a plan for how to spend award funds each fiscal year; (3) a methodology on how the Agency

will determine the efficacy of its awards and recognition program; (4) the measures to be used to evaluate plan effectiveness; and (5) an assessment of how the AWPFP impacted organizational performance. It is expected that successful implementation of the AWPFP will result in improved organizational performance by enhancing DNFSB’s ability to attract, motivate, and retain an excellent, highly skilled workforce. Regular audits and periodic training, as required by Agency policy and procedures, ensures the integrity of DNFSB’s awards’ program is maintained.

Fiscal Year	Performance Measure 4.2.3	Target	Result
2021	Periodic open forums to discuss Agency and related issues that may impact mission or staff.	Hold at least four two-way all staff gatherings where at least three Board Members and one Office Director is present to solicit input from Agency staff on important Board matters.	<b>Fully Met</b>

**Discussion**

Performance Measure 4.2.3 is fully met for FY 2021.

The Agency hosted seven All Hands discussions led by Board Members, with Office Directors present, and, in spring 2021, the Executive Director of Operations instituted hosting quarterly All Hands staff discussions to provide updates to the Agency. Additionally, Office Directors host weekly or biweekly open forums with their respective components to discuss office operations and related issues that may impact mission or staff.

**Strategic Objective 4.3:** Strengthen operational performance by modernizing Agency processes and associated infrastructure.

*Key Performance Goal 4.3.1:* Improve efficiency through increased information accessibility and common platforms, where possible.

*Key Performance Goal 4.3.2:* Responsive to user needs and/or support requests across all Agency functions.

Fiscal Year	Performance Measure 4.3.1	Target	Result
2020	<p><b>Performance Goal 4.3.1</b></p> <p>Up-to-date platforms, systems, and software with interoperability, where possible.</p>	<p>A) Complete the initial migration of the DNFSB workforce to MS Office 365 (MS Teams, OneDrive) by June 18, 2021.</p> <p>B) Complete the Agency-wide rollout of new laptop computers by June 30, 2021.</p> <p>C) Develop the requirements for an Agency Enterprise Resource Planning system by September 30, 2021.</p> <p>D) Deactivate Skype on the Agency network by July 31, 2021 as part of the system modernization effort.</p> <p>E) Deploy updated mobile phones to the Agency by September 30, 2021.</p>	<p align="center"><b>Fully Met</b></p>

**Discussion**

Performance Measure 4.3.1 is fully met for FY 2021.

All performance targets for Performance Measure 4.3.1 have been met. During the performance period, the Agency made significant strides in rolling out new information technology equipment to each employee. Specifically, every DNFSB employee has received a new laptop with built-in capability for cybersecurity enhancements. Additionally, DNFSB successfully transitioned the Agency from Skype for Business, which had reached its end-of-life, to MS Teams. The Agency successfully migrated to MS OneDrive to provide a reliable cloud-based backup to Agency files and data. To harden the IT systems against cyber-attacks, the Agency deployed multi-factor authentication and initiated planning for substantial upgrades supporting zero-trust architecture. DNFSB’s Division of Budget and Finance has

established requirements for an Enterprise Resource Planning / Management system. The Agency also completed the planned transition to new mobile phones including for remote employees in early FY 2021.

<b>Fiscal Year</b>	<b>Performance Measure 4.3.2</b>	<b>Target</b>	<b>Result</b>
2021	Knowledge transfer programs and information management that support archiving and retrieving information essential to mission and mission support.	A) Develop the transition plan for intranet resources to an updated platform by September 30, 2021.  B) Initiate recording and digital archiving of employee onboarding sessions and training sessions to support knowledge transfer to employees by September 30, 2021.	<b>Fully Met</b>

**Discussion**

Performance Measure 4.3.2 is fully met for FY 2021.

DNFSB completed its transition plan for intranet resources by its migration to Windows 10, which allows for better data storage and transfer. The additional deployment of MS Teams and OneDrive allow the digital archiving of employee onboarding sessions and training courses. In FY 2021, several onboarding modules and several training sessions were archived allowing for easier review and completion, respectively, by Agency staff.

To further support knowledge transfer within the Agency, the Resident Inspectors and Cognizant Engineers developed in-depth briefings about each of the sites that they oversee, most of which were presented to the Board Members and staff by the end of FY 2021. These briefings were recorded and will be available for use in training new staff at DNFSB.

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<b>Fiscal Year</b>	<b>Performance Measure 4.3.3</b>	<b>Target</b>	<b>Result</b>
2021	Updated employee guidance on processes and infrastructure that enables them to access systems and people needed to accomplish the mission and mission support across all Agency functions.	Complete the initial deployment of MS Teams, accompanied by clear directions to employees on system use, by June 30, 2021.	<b>Fully Met</b>

**Discussion**

Performance Measure 4.3.3 is fully met for FY 2021.

The Agency successfully deployed MS Teams ahead of schedule, which provided sufficient transition time before the end-of-life of Skype. The rollout included instructions and training modules to support familiarization with and transition to the new system by DNFSB employees.

## Other Information

### Major Management Priorities and Challenges

As in FY 2021, the Board experienced challenges due to the COVID-19 pandemic and worked to turn the challenges into opportunities. Challenges remain, but the Board has continued to remain dedicated to adjusting work processes to accommodate and overcome, where possible, the restrictions posed by COVID-19. In FY 2022, the Board has prepared to return to the office and updated its telework directive. This new telework directive considers the lessons the Agency has learned during the pandemic and helps to ensure mission accomplishment while allowing for more employee flexibility than before the pandemic.

The Board is continuing to pursue several Agency-wide initiatives to address identified challenges and efficiently carry out its mission. These initiatives include pursuing the goals and objectives of the updated Agency FY 2018–2022 Strategic Plan in order to improve the Agency’s internal processes and procedures, strategically align resources, and effectively manage change, both internal and that which results from changes in the DOE nuclear complex. The Board is planning to complete an updated Agency strategic plan during FY 2022 to continue the momentum while looking to the future.

Further strengthening the Board’s efforts is the integration of the Executive Director of Operations (EDO) role and Office of the EDO into the Agency. This integration has enhanced functional alignments and created a focal point for improved teamwork and collaboration across Agency offices. The Board will look for ways to further institutionalize the new role and office over the coming year.

The Board is also expected to continue to fill vacant staff positions to mitigate the impact of a loss of institutional knowledge and skills due to retirements and personnel transfers in recent years. It made significant progress in hiring during FY 2021 despite challenges related to COVID-19, and is focused on continuing its strong hiring efforts in FY 2022.

The Board assessed its IT infrastructure in FY 2021 and contracted for additional support to deploy updates and modifications to its IT systems, components, and software environment to meet new government-wide cybersecurity mandates. With initial planning beginning in FY 2021, substantial work will be completed in FY 2022 on zero-trust architecture, IPv6, Continuous Diagnostics and Mitigation, and supply chain risk management.

Preserving the Board’s access to information, facilities, and personnel at DOE’s defense nuclear facilities was a focus during FY 2021, and there is optimism in FY 2022. Specifically, the Board, working with the Secretary and Deputy Secretary of Energy, has finalized a Memorandum of Understanding to provide a safety partnership foundation for mutual communication, transparency, and information sharing between the Agencies. To support implementation of the MOU, career staff from the two Agencies will work to finalize a supplementary document.