

FACILITY REPRESENTATIVE
PERSONNEL GUIDE

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SECTION 1

MODEL POSITION DESCRIPTIONS

FACILITY REPRESENTATIVE - MODEL POSITION DESCRIPTIONS

Basic

Model GS-12, GS-13, and GS-14 Facility Representative position descriptions. These position descriptions are generic and may be used as models in developing individual position descriptions. However, they may not describe any particular position precisely. The complexity and hazard levels vary significantly from facility to facility. Consequently, the duties and responsibilities, the level of difficulty and/or many other factors may vary from position to position.

FACILITY REPRESENTATIVE INTERDISCIPLINARY POSITION

General Engineer, GS-801-12

Physical Scientist, GS-1301-12

INTRODUCTION

This position is located at (organization and operations office) and serves as line management's on-site technical representative for assigned facility(s) or designated portions of one or more facilities. The Facility Representative is responsible for identifying and evaluating environmental, safety and health issues and concerns, diagnosing root causes, ensuring the adequacy of communications between the facility contractor and DOE management, and recommending compensatory measures to DOE site management. The Facility Representative must be technically knowledgeable in assigned areas of facility operations and design and, in addition, able to recognize problems and issues which require application of the capabilities or specialized expertise of other DOE support organizations. The incumbent may be required to exercise stop work authority.

MAJOR DUTIES

Assignments are essentially developmental in nature and intended to provide the incumbent the necessary experience to assume full and independent responsibility to function as certified DOE Facility Representative. The incumbent performs assignments under the guidance of a senior Facility Representative.

Conducts daily on-site performance based evaluations of assigned facilities and operations from the standpoint of public/personal health and safety, industrial safety, environmental protection, facility modification and maintenance, formality of operations, and general facility management. Reviews and evaluates adherence to safety, operating and maintenance practices through observation of work being performed. Holds discussions with the contractor's staff; inspects equipment; and reviews operations, maintenance, safety, and quality assurance records. Develops and maintains thorough knowledge of contractor activities of the assigned facility/facilities by examining operating documents and by personal contact with responsible contractor personnel. Performs inspections or "walk throughs" of assigned facility/facilities. Ensures that inspections, observations, and discussions are sufficiently frequent and timely to assure current knowledge of operations. Ensures that DOE management is currently and completely apprised of the status of operations at the assigned facility/facilities at all times. Assures compliance with DOE Orders and standards through inspections process. Areas of review include the broader management areas which have facility-wide implications such as the work control systems, engineering controls, and the quality assurance program. The incumbent fully identifies deficiencies or concerns, and recommends resolution to the assigned senior Facility Representative. Incumbent has the authority to order "stop work" of operations when "imminent danger" is judged to exist and continued operation may result in undue risk to health, safety, or the environment. As necessary, oversees establishment of procedures to assure continuity of operations between shifts.

Provides environmental/safety/health and quality assurance input into (organization and operations office) reports on the status of assigned facility(s). Advises senior DOE officials and represents the DOE Contracting Officer (CO)/Contracting Officer's Technical Representative (COTR) for assigned facility(s) of activities and actions that warrant prompt attention (e.g., corrective actions, special reviews, and investigations) and proposes solutions to critical problems and possible follow up actions. Safety, environment or health issues of immediate concern will be brought to the immediate attention of the assigned Senior Facility Representative or supervisor, and contractor management. As assigned, and at the discretion of the Program Manager, is relied on as the source of observations and assessments of contractor environmental, health and safety related performance recommendations for award fee determination (CPAF).

As Facility Duty Officer, is the initial single point of contact between the contractor and DOE for all event notification and is available to respond to the facility(s) around the clock. In this capacity, serves as a DOE technical expert regarding operational activities and problem identification, analysis resolution and tracking, and problem solving. Ensures all events are properly and accurately reported. Responsible for assisting programmatic line management in communications with appropriate levels of DOE management through the Operations Office Manager and the DOE-HQ Program Manager. Provides guidance to the operating contractor with respect to requirements for stabilization and resumption of operations. Serves as liaison between contractor and management regarding unplanned events.

Maintains awareness of all activities, ongoing and planned, at the facility(s). Participates in programmatic activity and facility operators' meetings involving short and long range planning, daily operations, problem identification and resolution. Attends meetings in the areas of safety and environmental evaluation, operations, waste management, safety, and construction management. Meets with DOE and contractor personnel on walk-through inspections and observations of activities.

Reviews and evaluates the adequacy of DOE contractor engineering designs and design changes, facility modification packages and facility(s) construction projects, technical reports, performance indicators and other technical and management documents to assure consistency with good facility operation practices, disciplined operations, maintainability of equipment and facilities, proper lock and tag controls, etc. Reviews and evaluates the adequacy of contractor changes to Technical Specifications and Standards and operating procedures for facility(s). Reviews the planning and progress of contractor personnel toward improving equipment utilization and reliability. Prepares written evaluations and resolves any inadequacies or weaknesses directly with the contractor and, as necessary, elevates concerns to responsible DOE management. Takes required action through meetings, written communications, or other appropriate means to ensure that sound plant engineering principles are applied. Makes recommendations for changes that contribute to improved safety operation and maintenance.

Provides formal and informal appraisals of the contractor organizations and of their performance in areas of responsibility in accordance with the CPAF requirements, and prepares reports of these appraisals. When requested, participates in appraisals and audits of other facilities and activities within the DOE system.

Participates in the investigation and review, either independently or as a member of a team, of events or conditions having facility operations or environmental, safety and health (ES&H) considerations. This may involve independent investigations of accidents, off-normal and Unusual Occurrence (UO) situations and employee concerns. Participates in determining adequacy of root cause analysis for UO's and provides input to ensure appropriate corrective actions are designated. May also participate on formal accident investigation team and with groups investigating Unusual Occurrence situations. Prepares reports and makes oral and written presentations of findings and recommendations to appropriate DOE management; and follows up as assigned to ensure that corrective actions have been carried out.

Participates on selected teams assessing the facility's operational, safety, quality, environmental, or security posture. Examples include Operational Readiness Review Boards, Facility Safety Appraisal Teams, Quality Assurance Audit Teams and other teams which may be used throughout the DOE system. This applies not only to the facility(s) for which the Facility Representative is responsible, but for any other

investigation board for which he/she may be requested to participate within the DOE system.

Recommends formulation of, or revision to, policies, procedures, rules, regulations, and standards in use at facilities for which responsibility is held.

Evaluates the adequacy of contractor workforce training by review of training requirements, examination of training records, participation in training classes and general discussions with personnel on a daily basis.

Attends initial and refresher formal training as necessary to achieve initial certifications and subsequent recertification in accordance with the established Facility Representative personnel qualification program plan.

FACTOR 1 - KNOWLEDGE REQUIRED BY THE POSITION

Professional knowledge of the principles, practices, theories and concepts of engineering (e.g., environmental, nuclear, chemical, construction, mechanical, electrical, electronic, industrial, safety, and fire protection) or related physical science fields (e.g., chemistry, physics, health physics, metallurgy) as well as knowledge of the principles and practices of quality assurance, physical security, and operational surety sufficient to participate in comprehensive and continuous technical evaluations of all aspects of nuclear and/or non-nuclear facility design, construction, maintenance and operation activities and facilities associated with either nuclear weapons research, development, and production, environmental restoration, or nuclear waste management technology.

Detailed knowledge of Safety Analysis Reports (SARs) and associated systems for assigned facility/facilities sufficient to describe the basis, function, and operational characteristics of applicable safety systems in the event that emergencies preclude immediate access to relevant plans and specifications. This level of knowledge is obtained from formal training and maintained through continuous site presence.

Comprehensive knowledge of DOE Orders, Conduct or Operations Directives, Occurrence Reporting Requirements, Accountability Rule, and other federal regulations relating to the operations sufficient to ascertain contractor compliance in all areas of personnel and nuclear/non-nuclear facility safety, environmental protection and cost effectiveness. Current knowledge of other codes, regulations and standards (e.g., OSHA, NEPA, RCRA, CERCLA, NESHAPS, PSD, ASME, IEE, ANSI, CAA, CWA, Emergency Preparedness, as well as federal, state and local air quality, water quality, and effluent monitoring requirements) to evaluate contractor performance in operational areas.

A thorough knowledge of the structures, facilities, utilities, equipment, chemical processes, and logistical requirements involved in assigned and proposed operations, program and project proposals, plans and concepts sufficient to detect and evaluate potential risks to life and property and to identify current or potential process and safety deficiencies, and to recommend corrective measures.

Knowledge of the principles, methods, and practices of program management review and appraisal techniques to review and evaluate contractor plans, policies, and proposed procedures necessary for implementation of operational policies and procedures.

Skill in oral presentations and written communication involving technical issues sufficient to present issues and recommendations for solution to all levels of DOE management.

FACTOR 2 - SUPERVISORY CONTROLS

The supervisor and/or designated Senior Facility Representative makes assignments in terms of broadly defined responsibilities and objectives and provides technical advice on new or controversial situations. The employee plans his/her own work in consultation with an assigned Senior Facility Representative, coordinates with other facility representatives, engineers, program officials, and contractor personnel to resolve problems and carry assignments through to completion. The individual projects or work to be done, priorities, and deadlines are established by the employee in consultation with the supervisor and/or the Senior Facility Representative. The incumbent is expected to independently resolve assigned program, technical and coordination problems. Work is generally accepted as

being technically accurate and is typically reviewed in terms of effectiveness, fulfillment of program objectives and improvement of contractor performance.

FACTOR 3 - GUIDELINES

Guidelines are national, agency and local directives for operating and maintaining the assigned facility(s) in a safe and cost effective manner. Guidelines include DOE and Operations Office Orders; federal, state, and local laws, regulations, policies, procedures, and standards; program guidelines and policies; standard operating procedures; engineering manuals and handbooks; environmental, safety and health requirements and guidelines; facility safety analysis reports and emergency plans.

Incumbent must frequently use experienced judgement, initiative, and resourcefulness in making decisions where unusual or controversial issues are involved. The incumbent must interpret guidelines and select the most appropriate method of accomplishing the work or develop new or modified approaches in resolving many technical or program issues or problems not specifically covered by guidelines. Some of the activities are accomplished without specific guidance from established procedures, manuals, etc., requiring the incumbent to base decisions on a working knowledge of total program requirements.

FACTOR 4 - COMPLEXITY

Assignments involve investigating and analyzing technical and management areas of a large number of complex nuclear and/or non-nuclear operations conducted by contractors for a DOE Operations Office. The employee is required to pursue several technical areas concurrently while interfacing with the contractor, DOE Operations Office and DOE-HQ program managers and specialists during external reviews and required DOE Order 5000.3A notifications. The work involves continuing efforts to maintain technical competency due to the increasingly complex operations and demands of ES&H directives and laws. Duties involve continuous review, monitoring, evaluation problem identification and implementation of appropriate corrective actions for a wide variety of facilities and activities including nuclear, radiological and industrial ES&H compliance, maintenance, utility operations, safeguards and security, and quality of performance programs and their implementation during operations and maintenance. Numerous integrated and complex systems, involving unique equipment and facility design and operation, are monitored for a variety of human factors involving radioactive, toxic and/or dangerous processes. Work requires constant and extensive probing and analysis to identify and resolve root causes, including more serious or difficult instances where it may be necessary to resolve conflicts. The incumbent provides technical and operational expertise to identify problem areas, evaluate hazards, develop optimum cost-benefit corrective actions, and assure full and timely implementation to minimize risks to personnel and facilities. The incumbent must be resourceful and innovative in solving novel and obscure problems involving complex or state-of-the-art operations. In emergency situations the incumbent must personally initiate appropriate actions without the time for studied reflection or assistance from others.

FACTOR 5 - SCOPE AND EFFECT

The purpose of this position is to provide operational, technical safety, and environmental technical advice that directly affects the safety of Federal and contractor employees, of unique facilities representing large capital investments, and the overall Operations Office interests. The incumbent's analysis, judgment, and recommendations may often impact the environment (both on and off the site), the safety of DOE and contractor employees and the general public, the protection of facilities and equipment as well as the overall degree of quality and cost effectiveness at the site.

FACTOR 6 - PERSONAL CONTACTS

Contacts are maintained with all levels of DOE and contractor management, staff and employees. Diplomacy and tact are required for satisfactory resolution of any controversial matters which may arise. Contacts may also include individuals from DOE-HQ, professional societies, private industry, and, occasionally with elected officials, members of Congress and/or their staffs. There may be contacts with congressional oversight committees and technical review boards.

FACTOR 7 - PURPOSE OF CONTACTS

Contacts are maintained to exchange information, coordinate work efforts, provide technical guidance on facility activities, discuss special problems and issues, recommend solutions, evaluate program activities, brief management on program status and problems, and coordinate and obtain agreement on operational plans, construction and maintenance projects, and operational procedures. Occasionally must persuade managers and other technical experts with different views and interests to adopt new or different approaches on controversial issues. The work requires the employee to participate in or lead a number of conferences, meetings and presentations involving efforts to assure coordinated responses to management requests and to prepare for environmental and safety reviews and appraisal conducted by outside organizations. The incumbent makes contacts also to coordinate and obtain agreement on operational plans, construction and maintenance projects and operational procedures necessary to perform the requested services within the established guidelines.

FACTOR 8 - PHYSICAL DEMANDS

Office work involves light physical effort but is mentally demanding with extended periods of intense concentration required. Moderate physical exertion is required such as sustained standing, walking over uneven surfaces, climbing, crouching, bending, and stooping. The use of emergency protective equipment may involve significant exertion over extended periods of time.

FACTOR 9 - WORK ENVIRONMENT

Office work is conducted in a typical office setting. Field work involves regular and recurring exposure to risks and/or discomforts which include, but are not limited to working around moving equipment and machinery, working in confined spaces, noise and high temperatures, high voltage and microwave sources, irritating and toxic substances and chemicals, explosive and/or radioactive materials, materials associated with reactor and/or non-reactor nuclear facilities, unpleasant weather conditions, and hazards associated with travel by vehicles or aircraft. Training in and use of safety precautions, safety or protective clothing or equipment (e.g., respirators, safety shoes, ear protection, safety glasses, dosimeters, and anti-contamination clothing) is required.

FACILITY REPRESENTATIVE INTERDISCIPLINARY POSITION

General Engineer, GS-801-13
Physical Scientist, GS-1301-13

INTRODUCTION

This position is assigned to the (organization and operations office) and serves as line management's on-site technical representative with responsibility for identifying and evaluating environmental, safety and health issues and concerns, diagnosing root causes, ensuring the adequacy of communications between the facility contractor and DOE management, and recommending both short term compensatory measures and ultimate solutions to DOE site management. As Facility Representative, incumbent must be technically knowledgeable in all areas of assigned facility(s) operations and technical design and, in addition, able to identify problems, issues, and deficiencies requiring application of the capabilities or highly specialized expertise of other DOE support organizations. As line management's technical presence, the position exercises authority to stop work.

MAJOR DUTIES

Performs the full range of Facility Representative duties and responsibilities at assigned facilities or sites.

Conducts daily on-site performance based evaluations of facilities and operations from the standpoint of public/personal health and safety, industrial and nuclear safety, environmental protection, facility modification and maintenance, formality of operations and management areas. Reviews and evaluates adherence to safety, operating and maintenance practices through observation of work being performed, discussions with the contractor's staff, inspection of equipment, and review of operations, maintenance, safety, and quality assurance records. Maintains thorough knowledge of contractor activities in regard to

safe and efficient operation of assigned facility(s) by examining operating documents and by personal contact with responsible contractor personnel. These observations are continuous, independent, and technically based, and are performed through unscheduled inspections or "walk throughs" of the facility. Ensures that inspections, observations, and discussions are sufficiently frequent and timely to assure current knowledge of operations at all times. In the conduct of such observations, the incumbent will have independent and direct access to contractor operations, facilities, documentation, and personnel as necessary to attain sufficient understanding of the operations involved. Ensures that DOE management is currently and completely apprised of the status of operations at the facility at all times.

Assures compliance with DOE Orders and standards through an inspection process. Areas of review include the broader management areas which have facility-wide implications such as the work control systems, engineering controls, and the quality assurance program. Deficiencies or concerns are resolved directly with the contractor with a timely and appropriate notification of the actions taken to DOE management through the chain of command. In cases other than imminent danger, the Facility Representative will first bring the matter to the attention of facility management. If resolution is not reached, the Site Representative will go through normal DOE line management in directing any change in operations. Incumbent has the authority to order stop work when imminent danger is apparent and continued operation may result in undue risk to health, safety, or the environment.

As necessary, oversees shift turnover to ensure that procedures are established to assure adequacy of communications between shifts on operational status and to guarantee consistency of operations.

Provides environmental/safety/health and quality assurance input for (organization and operations office) reports on the status of assigned facility(s). Advises senior DOE officials and represents the DOE Contracting Officer(CO)/Contracting Officer's Technical Representative (COTR) for assigned facility(s) of activities and actions that warrant prompt attention (e.g. corrective actions, special reviews, and investigations) and with recommendations as to solutions of critical problems and possible follow up action. Safety, environment, or health issues of immediate concern will be brought to the immediate attention of the supervisor and contractor management. As assigned and at the discretion of the Program Manager, is relied on as the source of observations and assessments of contractor environmental, health and safety related performance as recommendation for award fee determination (CPAF).

As a Facility Duty Officer, is the single point of contact between the contractor and DOE for all event notification and is available to respond to the facility(s) around the clock, which may involve on-call and overtime work. In this capacity, serves as a DOE technical expert regarding operational activities and problem identification, analysis resolution and tracking, and problem solving. Ensures all events are properly and accurately reported. Assists programmatic line management in communicating with appropriate levels of DOE management thru the Operations Office Manager and the DOE-HQ Program Manager. Provides guidance to the operating contractor with respect to requirements for stabilization and resumption of operations. Serves as liaison between contractor and management regarding unplanned events.

Maintains awareness of all activities, ongoing and planned, at the facility(s). This involves participating in programmatic activity and facility operators' meetings involving short and long range planning, daily operations, problem identification and resolution. Attends meetings in the areas of safety and environmental evaluation, operations, waste management, safety, and construction management. Meets with DOE and contractor personnel on walk-through inspections and observations of activities.

Reviews and evaluates the adequacy of DOE contractor engineering designs and design changes, facility modification packages and construction projects, technical reports, performance indicators and other technical and management documents to assure consistency with good facility operation practices, disciplined operations, maintainability of equipment and facilities, proper lock and tag controls, etc. Reviews and evaluates the adequacy of contractor changes to Technical Specifications and Standards and operating procedures for facility(s). Reviews the planning and progress of contractor personnel toward improving equipment utilization and reliability. Prepares written evaluations and resolves any inadequacies or weaknesses directly with the contractor and, as necessary, elevates concerns to responsible DOE

management. Takes required action through meetings, written communications, or other appropriate means to ensure that sound plant engineering principles are applied. Makes recommendations for changes that contribute to improved safety operation and maintenance.

Generates reports to communicate to local and DOE-HQ line management the current status of operations, maintenance, events, and trends at the facility(s). Frequent verbal and written communication is maintained with local and DOE-HQ line managers. Ensures that contractor actions related to 5000.3A reports in assigned areas are reported and stated correctly; that corrective actions meet DOE expectations; and appropriate DOE staff and management receive timely notification of the issue/concern.

Provides formal and informal appraisals of the contractor organizations and of their performance in areas of responsibility in accordance with the CPAF requirements, and prepares reports of these appraisals. When requested, participates in appraisals and audits of other facilities and activities within the DOE system.

Participates in the investigation and review, either independently or as a member of a team, of events or conditions having facility operations or environmental, safety and health (ES&H) considerations. This may involve independent investigations of accidents, off-normal and Unusual Occurrence (UO) situations and employee concerns. Determines adequacy of root cause analysis for UO's and provides input to ensure appropriate corrective actions are designated. May also participate on formal accident investigation teams and with groups investigating Unusual Occurrence situations. Prepares reports and makes oral and written presentations of findings and recommendations to management. Any concerns are resolved directly with the contractor Facility Manager, or if necessary, elevated through DOE line management through the Operations Office Manager and the DOE-HQ Program Manager. Conducts follow-up to ensure that corrective actions have been carried out.

Participates on selected teams assessing the facility's operational, safety, quality, environmental, or security posture. Examples include Operational Readiness Review Boards, Facility Safety Appraisal Teams, Quality Assurance Audit Teams and other teams which may be used throughout the DOE system. This applies not only to the facility(s) for which the Facility Representative is responsible, but for any other investigation board for which he/she may be requested within the DOE system.

Recommends formulation of, or revision to, policies, procedures, rules, regulations, and standards in use at facilities for which responsibility is held.

Evaluates the adequacy of contractor workforce training by review of training requirements, examination of training records, participation in training classes and general discussions with personnel on a daily basis.

Attends initial and refresher formal training as necessary to achieve initial certification and subsequent recertification in accordance with the established Facility Representative personnel qualification program plan.

Provides technical advice and assistance to employees assigned to developmental positions (e.g. trainees, interns).

FACTOR 1 - KNOWLEDGE REQUIRED BY THE POSITION

Mastery of the advanced concepts, theories, principles, and practices of engineering (e.g. environmental, nuclear, chemical, construction, mechanical, electrical, electronic, industrial, safety, and fire protection) or related physical science fields (e.g. chemistry, physics, health physics, metallurgy) as well as quality assurance and physical security and surety sufficient for independent technical evaluations of all aspects of nuclear and non-nuclear facility design, construction, maintenance and operation activities and facilities associated with environmental restoration and nuclear waste technology.

Detailed knowledge of the Safety Analysis Report (SAR) and associated systems for assigned facilities sufficient to describe the basis, function, and operational characteristics of safety systems in the event that emergencies preclude immediate access to relevant plans and specifications. This level of knowledge is obtained from formal training and

maintained through continuous site presence.

Detailed knowledge of DOE Orders, Conduct of Operations, Occurrence Reporting, Accountability Rule, and other federal regulations relating to the operations sufficient to ascertain contractor compliance in all areas of personnel and nuclear/non-nuclear facility safety, environmental protection and cost effectiveness. Current knowledge of other codes, regulations and standards (e.g. OSHA, NEPA, RCRA, CERCLA, NESHAPS, PSD, ASME, IEEE, ANSI, CAA, CWA, Emergency Preparedness, as well as federal, state and local air quality, water quality, and effluent monitoring requirements).

A thorough knowledge of the structures, facilities, utilities, equipment, chemical processes, and logistical requirements involved in the assigned and proposed operations, program and project proposals, plans and concepts sufficient to detect and evaluate potential risks to life and property and to identify current or potential process and safety deficiencies, and to recommend corrective measures.

Knowledge of the principles, methods, and practices of program management review and appraisal techniques to review and evaluate contractor plans, policies, and proposed procedures necessary for implementation of operational policies and procedures.

Skill in oral presentations and written communication involving technical issues sufficient to present issues and recommendations for solution to all levels of DOE management.

FACTOR 2 - SUPERVISORY CONTROLS

The supervisor makes assignments in terms of broadly defined missions and objectives and may provide technical advice on new or anomalous situations.

Incumbent independently plans his/her own work, coordinates with other facility representatives, engineers, program officials, and contractor personnel to resolve problems and carry assignments through to completion. Individual projects or work to be done, priorities, and deadlines are established by the employee in consultation with the supervisor. Incumbent is expected to independently resolve program, technical and coordination problems with the decisions, recommendations, and completed work being considered authoritative and normally accepted without change. Work is generally accepted as being technically accurate and is typically reviewed only in terms of effectiveness, fulfillment of program objectives and improvement of contractor performance. Management and technical guidance is provided only on major programmatic or policy matters.

FACTOR 3 - GUIDELINES

Guidelines are national, agency and local directives for operating and maintaining the assigned facility(s) in a safe and cost effective manner. Incumbent must frequently use experienced judgement, initiative, and resourcefulness in making decisions where unusual or controversial issues are involved. The incumbent must interpret guidelines and select the most appropriate method of accomplishing the work or develop new or modified approaches in resolving many technical or program issues or problems not specifically covered by guidelines. Some of the activities are accomplished without specific guidance from established procedures, manuals, etc., requiring the incumbent to base decisions solely on knowledge of the total program requirements. Guidelines include DOE and Operations Office Orders, federal, state, and local laws, regulations, policies, procedures, and standards, program guidelines and policies, standard operating procedures, engineering manuals and handbooks, environmental, safety and health requirements and guidelines, facility safety analysis reports, and emergency plans.

FACTOR 4 - COMPLEXITY

Assignments involve investigating and analyzing technical and administrative areas of a large number of complex nuclear and non-nuclear operations conducted by contractors for a DOE Operations Office. The employee is required to pursue several technical areas concurrently while interfacing with the contractor, DOE Operations Office and DOE-HQ program managers and specialists during external reviews and required DOE Order 5000.3A notifications. The work involves continuing efforts to maintain technical competency due to the increasingly complex operations and demands of ES&H directives and laws. Duties involve continuous review, monitoring, evaluation problem identification and implementation of appropriate corrective actions for a wide variety of

facilities and activities including nuclear, radiological and industrial ES&H compliance, maintenance, utility operations, safeguards and security, and quality of performance programs and their implementation during operations and maintenance. Numerous integrated and complex systems involving unique equipment, facility design and operation are monitored for a variety of human factors involving, radioactive, toxic and/or dangerous processes. Work requires constant and extensive probing and analysis to identify and resolve root causes, including more serious or difficult instances where it may be necessary to resolve conflicts. The incumbent provides technical and operational expertise to identify problem areas, evaluate hazards, develop optimum cost-benefit corrective actions, and assure full and timely implementation to minimize risks to personnel and facilities. The incumbent must be resourceful and innovative in solving novel and obscure problems involving complex or state-of-the-art operations. In emergency situations the incumbent must personally initiate appropriate actions without time for studied reflection or assistance from others.

FACTOR 5 - SCOPE AND EFFECT

The purpose of this position is to provide independent operational, technical safety, and environmental technical advice that directly affects the safety of Federal and contractor employees, of unique facilities that represent large capital investments, and the overall Operations Office interests. The incumbent's analysis, judgement, and recommendations may often impact the environment (both on and off the site), the safety of DOE and contractor employees and the general public, the protection of facilities and equipment as well as the overall degree of quality and cost effectiveness at the site. The successful compliance activities have a significant impact on the defense and energy posture of the nation in that accidents may cause unacceptable monetary losses, mission delays and interruptions, and injury, sickness, or death of operating personnel and the public.

FACTOR 6 - PERSONAL CONTACTS

Contacts are maintained with all levels of DOE and contractor management, staff and employees. Diplomacy and tact are required for satisfactory resolution of controversial matters which may arise. Contacts may also include individuals from DOE-HQ, professional societies, private industry, and, occasionally with elected officials, members of Congress and/or their staffs. There may be contacts with congressional oversight committees and technical review boards.

FACTOR 7 - PURPOSE OF CONTACTS

Contacts are maintained to exchange information, coordinate work efforts, provide technical guidance on facility activities, discuss special problems and issues and recommend adequate solutions, evaluate program activities, brief management on program status and problems, and coordinate and obtain agreement on operational plans, construction and maintenance projects, and operational procedures. Occasionally is required to influence or persuade managers and other technical experts with different views and interests to adopt new or different approaches on controversial issues. The work requires the employee to participate in or lead a number of conferences, meetings and presentations involving efforts to assure coordinated response to management requests and to prepare for environmental and safety reviews and appraisals conducted by outside organizations. The incumbent makes contacts also to coordinate and obtain agreement on operational plans, construction and maintenance projects and operational procedures necessary to perform the requested services within established guidelines.

FACTOR 8 - PHYSICAL DEMANDS

Office work involves light physical effort but is mentally demanding with extended periods of intense concentration required. Moderate physical exertion is required such as sustained standing, walking over uneven surfaces, climbing, crouching, bending, and stooping. The use of emergency protective equipment may involve significant exertion over extended periods of time.

FACTOR 9 - WORK ENVIRONMENT

Office work is conducted in a typical office setting. Field work involves moderate risks and/or discomforts which include, but are not limited to working around moving equipment and machinery, working in confined spaces, noise

and high temperatures, high voltage and microwave sources, irritating and toxic substances and chemicals, explosive and/or radioactive materials, materials associated with both reactor and non-reactor nuclear facilities, unpleasant weather conditions, and hazards associated with travel by vehicles or aircraft. Training in and use of safety precautions, safety or protective clothing or equipment (e.g. respirators, safety shoes, ear protection, safety glasses, dosimeters, and anti-contamination clothing) is required.

**FACILITY REPRESENTATIVE
INTERDISCIPLINARY POSITION
General Engineer, GS/GM-801-14
Physical Scientist, GS/GM-1301-14**

INTRODUCTION

This position is assigned to the (organization and operations office) and serves as line management's senior on-site technical representative with responsibility for identifying and evaluating environmental, safety and health issues and concerns, diagnosing root causes, assuring the adequacy of communications between the facility contractor and DOE management, and recommending both short term compensatory measures and ultimate solutions to DOE site management. As senior Facility Representative, the incumbent must not only possess extensive knowledge of and experience in all areas of assigned facility(s) operations and technical design but, in addition, must be able to identify and refer for action problems, issues, and/or deficiencies requiring the capabilities or highly specialized expertise of other DOE technical support personnel and/or organizations. As line management's senior technical presence, the incumbent is required to make critical, on-the-spot judgments regarding the safety of operations and may exercise stop work authority when and where such action is appropriate.

MAJOR DUTIES

Serves as senior technical authority on all facility operations at assigned facilities or sites. Provides leadership and technical advice and assistance to lower graded Facility Representatives in the area of environmental, safety, and health issues. Provides general guidance to, and as needed, reviews the activities, projects, and/or work products of lower graded Facility Representatives assigned to these facilities or sites.

Conducts daily on-site performance based evaluations of facilities and operations from the standpoint of public/personal health and safety, industrial and nuclear safety, environmental protection, facility modification and maintenance, and formality of operations and management areas. Reviews and evaluates adherence to safety, operating and maintenance practices, through observation of work being performed, discussions with the contractor's staff, inspection of equipment, and review of operations, maintenance, safety, and quality assurance records. Maintains thorough knowledge of contractor activities in regard to safe and efficient operation of the assigned facility(s) by examining operating documents and by personal contact with responsible contractor personnel. These observations are continuous, independent, and technically based, and are performed through unscheduled inspections or "walk throughs" of the facility. Appraises contractor operational plans and implementation methods. Coordinates with managers within contractor organizations on such appraisals. Assesses and evaluates critical systems and long range plans. Participates in building trend and root cause analyses of problems.

Assures compliance with DOE Orders and standards through an inspection process. Areas of review include the broader management areas which have facility-wide implications such as the work control systems, engineering controls, and the quality assurance program. Serves as the DOE representative on the scene of Unplanned Events (UE). Provides guidance to the operating contractor and lower graded facility representative on requirements for stabilization and resumption of operations. Serves as the primary liaison between DOE and contractor management on UE's and exercises "stop work" authority as appropriate.

Participates in the investigation, review, and resolution of Unusual Occurrence (UO) situations and prepares unusual occurrence reports (UOR). Investigates, evaluates, and recommends responses to employees' concerns and complaints regarding DOE and contractor safety programs and practices. Prepares daily reports on operational activities significant enough to warrant management attention. Reviews operating records and reports of events, and includes in daily reports an analysis of activities in these areas.

Maintains an awareness of all planned activities throughout the facilities. Conducts walk-through inspections of the facilities to identify hazards, incidents of non-compliance with standards and guidelines, and potential problems. Makes contractor management aware of issues and concerns, and participates in the problem resolution process through recommendation and reporting activities. Provides formal and informal appraisals of the contractor organizations and of their performance in areas of responsibility in accordance with the Cost Plus Award Fee (CPAF) requirements, and prepares reports of these appraisals. When requested, participates in appraisals and audits of other facilities and activities within the DOE system.

Participates in all activities, ongoing and planned at the facility(s). This involves participating in programmatic activity and facility operators' meetings involving short and long range planning, daily operations, problem identification and resolution. Attends meetings in the areas of safety and environmental evaluation, operations, waste management, safety, and construction management. Meets with DOE and contractor personnel on walk-through inspections and observations of activities.

Reviews and evaluates the adequacy of DOE contractor engineering designs and design changes, facility modification packages and facility(s) construction projects, technical reports, performance indicators and other technical and management documents to ensure consistency with good facility operation practices, disciplined operations, maintainability of equipment and facilities, proper lock and tag controls, etc.

Reviews and evaluates the adequacy of contractor changes to Technical Specifications and Standards and operating procedures for facility(s). Reviews the planning and progress of contractor personnel toward improving equipment utilization and reliability. Prepares written evaluations and resolves any inadequacies or weaknesses directly with the contractor and, as necessary, elevates concerns to DOE management. Makes recommendations for changes that contribute to improved safety operation and maintenance.

Generates reports to communicate to local and DOE-HQ line management the current status of operations, maintenance, events, and trends at the facility(s). Frequent verbal and written communication is maintained with local and DOE-HQ line managers. Ensures that contractor actions related to 5000.3A reports in assigned areas are reported and stated correctly; that corrective actions meet DOE expectations; and appropriate DOE staff and management receive timely notification of the issue/concern.

Analyzes objectives, policies, and general guidance received from DOE-HQ and management. Reviews and evaluates contractor's plans and procedures for compliance with DOE and other Federal, state, and local requirements.

FACTOR 1 - KNOWLEDGE REQUIRED BY THE POSITION

Mastery of advanced concepts, theories, principles, and practices of engineering (e.g. environmental, nuclear, chemical, construction, mechanical, electrical, electronic, industrial, safety, and fire protection) or related physical science fields (e.g. chemistry, physics, health physics, metallurgy) as well as quality assurance and physical security and surety sufficient for independent technical evaluations of all aspects of nuclear and non-nuclear facility design, construction, maintenance and operation activities and facilities associated with environmental restorations and nuclear waste technology.

Detailed knowledge of the Safety Analysis Report (SAR) and associated systems for assigned facilities sufficient to describe the basis, function, and operational characteristics of the safety system in the event that emergencies preclude immediate access to relevant plans and specification. Detailed knowledge of the current status of safety systems is required to be maintained through continuous site presence.

A thorough knowledge of the structures, facilities, utilities, equipment, chemical processes, and logistical requirements involved in the assigned and proposed operations, program and project proposals, plans and concepts sufficient to detect and evaluate potential risks to life and property and to identify current or potential process and safety deficiencies, and to recommend corrective measures. Skill in applying independent judgment is required.

Knowledge of DOE Orders, Federal, State and local requirements sufficient to ascertain contractor compliance in all areas of environmental, safety and health. Current knowledge of other codes, regulations, and standards, e.g., ASME, ACI, OSHA, EPA, IEEE, etc. to allow evaluation of similar compliance.

Skill in written communication sufficient to present DOE programs, plans, reports, and/or problems in suitable form for top-level policy decisions. Ability to develop, organize, and present ideas, technical information and data in written form.

Ability to make oral presentations and negotiate a variety of issues to all management levels in order to communicate requirements, recommendations, participate in problem resolution, and negotiate change and modifications of policy and practice.

Knowledge of ES&H risks involved in the operation of assigned programs and associated facilities based upon knowledge obtained from safety analysis reports, hazard classification, surveillance activities, etc.

FACTOR 2 - SUPERVISORY CONTROLS

Responsible to, and operates under the administrative direction of (supervisor). Incumbent functions under DOE and local management policies, DOE orders, and DOE approved plans and authorizations with results being reviewed in terms of program accomplishments. The supervisor provides minimal administrative direction in terms of broadly defined goals and objectives. The incumbent is independently responsible for setting goals and objectives for the organization for which responsible. The incumbent is expected to resolve program, technical and coordination problems. Decisions, recommendations, and completed work are considered authoritative and are normally accepted without change. Work is reviewed only in terms of effectiveness and adherence to broad program objectives.

FACTOR 3 - GUIDELINES

Guidelines are national, agency, and local directives for operating and maintaining the assigned facilities in a safe and cost-effective manner. Incumbent must frequently use experienced professional judgment in making decisions where unusual or controversial issues are involved. The incumbent must interpret guidelines and select the most appropriate method of accomplishing the work. Many of the activities are accomplished without specific guidance from established procedures, manuals, etc., and a knowledge of the total program requirements may be the basis for decisions. Guidelines include: DOE, state, local and national regulations, Memorandums of Understanding, standard operating procedures, engineering manuals and handbooks, health, safety, and environmental requirements and guidelines, facility safety analysis reports, and emergency plans.

FACTOR 4 - COMPLEXITY

The operations carried out are of critical importance to the defense of this country as well as technology development. Due to the multiple program activities conducted at the facility, the complexity of problems and issues are of high visibility and political sensitivity. Under the complex reconfiguration proposals and the activities of oversight groups, such as the Defense Nuclear Facility Safety Board, the Environmental Protection Agency, etc., the oversight and coordination activities are very complex. The facility conducts programmatic work for more than one DOE Principle Secretarial Office as well as other government agencies.

Duties involve constant review, monitoring, evaluation, problem identification, and implementation of appropriate corrective actions for a wide variety of facilities and activities, such as nuclear, radiological and industrial safety, environmental compliance, maintenance, utility operations, safeguards and security. Numerous integrated and complex systems are monitored, involving unique equipment and facility design and operations. A variety of human factors, and toxic and/or dangerous operations and processes are present. Work requires constant and extensive probing and analysis to identify and resolve problems, including more serious or difficult instances where it may be necessary to resolve conflicts.

Incumbent must not only know building maintenance, building management, but also program management in order to schedule and coordinate his/her schedule to meet program requirements. The facility is critical and/or state-of-

the-art and the activities established may or may not remain constant. There can be a continuum of change in regards to types of tests, experiments, or in the amount of actual activity involved with one "experiment" where the volume of work necessitates many tests, retests, etc., which might involve potentially hazardous/dangerous situations. Changes necessitate the knowledge requirement of space redesign and utilization; restructuring rooms, movement of equipment, redesigning/restructuring of pipes, vents, etc., to enable this position to perform comprehensive oversight requirements. Managing the scheduling of work, meeting priority and time requirements, etc., adds to the complexity.

FACTOR 5 - SCOPE AND EFFECT

The purpose of the position is to provide expert operational, technical, safety, and environmental engineering advice that directly affects the safety and well-being of Federal and contractor employees as well as the protection of unique facilities that represent large capital investment. The incumbent's analysis, judgement, and recommendations may often impact the environment (both on and off the site), the safety of DOE and contractor employees and the general public, the protection of facilities and equipment as well as the overall degree of quality and cost effectiveness at the site. The success of these activities have a significant impact on the defense and energy posture of the nation in that accidents may cause unacceptable monetary losses, mission delays and interruptions, and injury, sickness, or death of operating personnel and the public. Incumbent may exercise "stop work" authority based on analysis of a given situation. This includes immediate stoppage of operations without discussion with other management officials in cases of imminent danger to life or health to immediate discussions with all levels of management to recommend suspension of operations or activities. Such work requires substantial discretion and judgment in the development, analysis and interpretation of facts and inferences, with subsequent phases of the work dependent on conclusions formed at an earlier stage.

FACTOR 6 - PERSONAL CONTACTS

Personal contacts are with all levels of contractor staff and management, local and DOE HQ mid- and senior-level management, as well as management officials and scientific personnel of other Federal and state agencies with related compliance responsibilities. Diplomacy and tact are required for satisfactory resolution of any controversial matters which may arise. Contacts include individuals from professional societies, private industry, and occasionally members of Congress and/or their staff.

FACTOR 7 - PURPOSE OF CONTACTS

Purpose of contacts is to exchange information, coordinate work efforts and provide technical guidance on facility activities, discuss special problems and issues and recommend solutions, evaluate program activities, brief senior management on program status and problems, and coordinate and obtain agreement on operational plans, construction and maintenance projects, and operational procedures. Is occasionally required to influence or persuade managers and other technical experts with different views and interests to adopt new or different approaches on controversial issues.

FACTOR 8 - PHYSICAL DEMANDS

Moderate exertion, such as walking over uneven surfaces, climbing over equipment, machinery, ladders, and scaffolding; crouching, bending, stooping, stretching; and moving in confined spaces.

FACTOR 9 - WORK ENVIRONMENT

Regular and recurring exposure to moderate risks and discomforts from use of protective clothing in elevated temperatures, close proximity to moving machinery, heavy equipment, hoisting and rigging activities; potential exposure to hazardous and radioactive materials, and exposure to normal industrial or electrical hazards. Safety and protective clothing/equipment such as respirators, safety shoes and glasses, dosimeters, or other equipment is usually required.

SECTION 2

RECRUITMENT AND MERIT STAFFING

FACILITY REPRESENTATIVE - RECRUITMENT AND MERIT STAFFING

GENERAL

Qualifications for general schedule positions in the competitive service are determined based on Office of Personnel Management (OPM) regulations in the Qualification Standards Handbook, X-118. This includes the basic guidelines for the evaluation of education, experience, and training. Consideration is also given to awards and supervisory appraisals.

OPM recognizes that generic standards may not always be specific enough to meet agency needs. In such cases, there is flexibility for agencies to use tools which address their requirements. For example, generic standards may be adapted through the development of selective factors. A selective factor is a knowledge, skill, or ability which is required in order to perform satisfactorily in the position in question, and which cannot be learned in a reasonable period of time (generally 90 days). In some cases, it may be appropriate to use selective factors for Facility Representative positions provided they can be supported by the position description. The selective factor becomes part of the minimum standard for the position, and applicants who do not meet them would be ineligible for consideration.

Flexibility is also provided through the use of quality ranking factors. These are knowledges, skills, and abilities (KSAs) that could be expected to significantly enhance performance in a position. This involves reviewing the position description and identifying the major functions to be performed on the job. Knowledges, skills, and abilities are then listed (usually 5 to 7) which would be necessary for a candidate to perform these functions. These factors are applied in addition to the OPM generic criteria and are used to rank the candidates who meet the minimum qualifications requirements established by OPM. KSAs are included in the vacancy announcement so that candidates are aware of the specific requirements of the position and given the opportunity to include pertinent related experience in their applications.

The crediting plan is another tool which allows managers and supervisors to provide significant input in connection with the identification of the highly qualified candidates for their positions. The crediting plan establishes benchmarks, with points assigned, for use in ranking applicants. Although crediting plans may vary, they contain the KSAs and examples of work experience which would be an indicator that a candidate has the knowledges, skills, and abilities to perform the required functions covered by each quality ranking factor. Again, managers and supervisors have the opportunity to work very closely with personnel specialists in identifying the background of candidates who are referred for Facility Representative positions. These are general benchmarks, and ratings on the elements would be determined by all available evidence. This process is extremely important in ensuring that highly qualified candidates are certified to for selection.

A sample crediting plan and ranking factors are attached. They can be customized based on the specific requirements of the Facility Representative position.

RANKING FACTORS

1. Knowledge of engineering or physical science theories, principles, and practices related to radioactive and/or chemical waste management, chemical processing, or nuclear power.
2. Knowledge of laws and regulations, and their implementation, relating to occupational safety and health, environmental compliance, nuclear safety, and industry standards applicable to conduct of operations/maintenance in a research and development environment.

3. Knowledge of the principles and practices of quality assurance, technical auditing, field inspection, and work planning and tracking.
4. Ability to review and assimilate large quantities of new information, data, and training material and apply the information in valiative situations.
5. Ability to identify performance indicators and examine records and activities to determine weaknesses in work processes.
6. Skill in preparing analytical, persuasive, and concise technical written reports and documents.
7. Skill in oral presentations to present technical briefings, deal persuasively with other engineers or physical scientists and administrators, and negotiate with contractors and appropriate regulatory agencies on plans, criteria, and implementing strategies.

CREDITING PLAN

General Engineer/Physical Scientist, GS-0801/1301-13

1. Knowledge of engineering or physical science theories, principles, and practices related to radioactive and/or chemical waste management, chemical processing, or nuclear power.

SUPERIOR: 4 points: Substantial directly related experience as an engineer or physical scientist in inspecting nuclear reactor, waste storage or large scale chemical processing facilities to assess engineering concerns/impacts.

ACCEPTABLE: 2 points: Directly related experience as an engineer or physical scientist performing program or project oversight associated with nuclear, waste storage or large scale chemical processing activities.

2. Knowledge of laws and regulations, and their implementation, relating to occupational safety and health, environmental compliance, nuclear safety, and industry standards applicable to conduct of operations/maintenance in a research and development environment.

SUPERIOR: 4 points: Substantial directly related experience in interpreting and applying nuclear, occupational safety and health, environmental laws and regulations, and industry standards to nuclear, waste storage or chemical processing operations and maintenance programs in a research and development environment.

ACCEPTABLE: 2 points: Directly related experience in interpreting and applying laws and regulations pertaining to either occupational safety and health, environmental, or nuclear safety, or industry standards to large programs or operations.

3. Knowledge of the principles and practices of quality assurance, technical auditing, field inspection, and work planning and tracking.

SUPERIOR: 4 Points: Substantial directly related experience in relation to large complex nuclear, waste storage or chemical processing facilities as a certified lead auditor planning and managing audits or as a lead quality control inspector in planning and developing inspection checklists and evaluating results of inspections.

ACCEPTABLE: 2 points: Directly related experience in developing audit checklists, performing audits, evaluating corrective action plan responses, and verifying corrective actions or performing inspections, documenting results of inspections, and/or trending results of inspections.

4. Ability to review and assimilate large quantities of new information, data, and training material and apply the information in valiative situations.

SUPERIOR: 4 points: Substantial directly related technical experience which involved interpreting state-of-the-art technology or novel program impacts and assessing these impacts as they relate to the operation of a large industrial facility.

ACCEPTABLE: 2 POINTS: Directly related technical experience interpreting state-of-the-art technology or novel program impacts and assessing these impacts as they relate to large programs or projects.

5. Ability to identify performance indicators and examine records and activities to determine weaknesses in work processes.

SUPERIOR: 4 points: Substantial directly related experience in identifying performance indicators that accurately measure process performance, identifying actions needed to improve process

performance, and examining process control charts or records and taking effective action to improve performance.

ACCEPTABLE: 2 points: Directly related experience in recording and evaluating performance data and in implementing actions that will improve performance.

6. Skill in preparing analytical, persuasive, and concise technical written reports and documents.

SUPERIOR: 4 points: Substantial directly related experience in gathering and evaluating complex technical information and preparing written reports and documents with recommendations to management for solving issues/problems.

ACCEPTABLE: 2 points: Directly related experience in evaluating technical information and preparing written reports and documents.

7. Skill in oral presentations to present technical briefings, deal persuasively with other engineers or physical scientists and administrators, and negotiate with contractors and appropriate regulatory agencies on plans, criteria, and implementing strategies.

SUPERIOR: 4 points: Demonstrated experience in preparing and presenting technical papers or briefings to a variety of audiences, negotiating controversial points of view with outside groups, and recommending and implementing effective strategies to solve complex issues/problems.

ACCEPTABLE: 2 points: Demonstrated experience in preparing and presenting technical papers or briefings, negotiating with outside groups or recommending and implementing effective strategies to solve issues/problems.

SECTION 3

<p>RECRUITMENT AND RETENTION INCENTIVES</p>

FACILITY REPRESENTATIVE - RECRUITMENT AND RETENTION INCENTIVES

Basic

A number of recruitment and retention incentives are available. Attached are examples of:

- Appointments at Advanced In-Hire Rates
- Recruitment Bonuses
- Relocation Bonuses
- Retention Allowances
- Dual Compensation Waivers
- Travel and Transportation Expenses

Appointments at Advanced In-Hire Rates Based on Superior Qualifications

When an individual is newly appointed to a General Schedule (GS) position, his or her pay is usually set at the minimum rate for the grade, or at some higher previously earned rate if the individual has prior Government service. Under the superior qualifications appointment (alternately referred to as advanced in-hire) authority, pay can be set at a rate in advance of that which could otherwise be offered. The rate may not exceed the maximum for the GS grade level of the position.

Use of the authority can be deemed appropriate when it has been determined that the candidate has unusually high qualifications for the position or unique qualifications for filling a special need of the agency. Superior qualifications appointment determinations must also be made in consideration of the candidate's existing rate of pay.

Unless the proposed advanced rate of pay would exceed the candidate's existing pay rate by more than 20%, a superior qualifications appointment may be approved locally. That authority has been delegated to servicing personnel offices. A higher rate, including cases where there has been a history of high pay but not within the past year, must be reviewed by the Director of Personnel, DOE. Before a superior qualification appointment is made, a recruitment bonus (described later) should be considered, to be used either in place of, or in combination with, the advanced rate.

The determination that a superior qualifications appointment is appropriate should be based on a written justification and other supporting documentation that explain:

- the specifics of the position, the organization, and the candidate's unusually high qualifications;
- any special need for the candidate's services, including how his or her qualifications are unique;
- the recruitment efforts that were taken;
- the comparative levels of total compensation between the position being recognized as the basis for the candidate's "existing pay," and that of the position being filled at the pay level proposed; and
- the candidate's unwillingness to accept the position at other than the advanced rate.

An example of a justification for a superior qualifications appointment follows.

JUSTIFICATION

Mr. _____ is currently employed as a Senior Engineer by Baltimore Gas and Electric Company with an annual income of _____ which is expected to rise to approximately \$60,000 within the next month. It is proposed to appoint _____ at the GS-14, Step 07 salary of \$65,527 per annum based upon his superior qualifications to perform the duties of the position.

Mr. _____ has extensive hands-on experience on the types of technical assessments and cost benefit analyses for facilities that are comparable to Office of _____ facilities -- predominantly nuclear facilities -- which the other candidates do not. That experience can be directly applied to nuclear activities in the environmental restoration and waste management program. His work history also demonstrates that he has the capability to manage and conduct the types of audits and appraisals required by the General Engineer, GS-801-14, position, and to manage the oversight responsibilities assigned to him. The qualifications of the other candidates do not exhibit the same level of experience and capability. Two candidates (i.e., _____ and _____) are chemical engineers with experience primarily in the hazardous materials area; they do not have the facility engineering, project management and audit experience in the types of nuclear facilities required. The nuclear engineer (i.e., _____) has worked for DOE/OCRWM but his experience is in shipping casks and transportation, which are not the types of facilities he would deal with in _____. The fourth candidate (i.e., _____) is a structural engineer who has good structural analysis capabilities but does not have the broad, general in-plant, hands-on experience, or the audit/appraisal skills we need. We conclude that Mr. _____ has the best background and broad facility engineering experience, independent leadership qualities, and management skills including an

M.B.A. that qualify him in a superior manner for the GS-801-14, Step 07.

Mr. _____ possesses a senior level engineering expertise and has a proven record of independent accomplishment and experience with technical developments and cost evaluations. He has been responsible for senior level policy development, interpretation, and guidance on technically complex engineering issues while also assuring that programs are cost-effective and implement established quality assurance and quality control requirements. In his position in the Office of _____, Mr. _____ will be responsible for interfacing with senior technical staff from other DOE field organizations, DOE Headquarters, as well as external regulatory agencies such as U.S. Environmental Protection Agency and Nuclear Regulatory Commission. He can successfully execute the job responsibilities of _____ based on his thorough knowledge of the latest general industry and regulatory practices and his routine involvement in technical assessments and project reviews. He has strong communication and judgmental skills as well as in-depth knowledge of engineering and related physical science disciplines. He has worked on resolving difficult engineering problems and implemented the most cost-effective solutions to meet his company's needs. These skills will be invaluable to the oversight functions of . Mr. _____ superior qualifications are evidenced by:

- an undergraduate degree in Mechanical Engineering with a concentration in Nuclear Engineering;
- a Master's of Business Administration;
- 13 year's experience and progressive responsibilities in the application of engineering principles and practices. He has demonstrated experience in areas as nuclear safety analysis and technical specification, design reviews, regulatory authority liaison and knowledge of requirements, nuclear utility operations, radiation safety, and operational safety;
- responsibility for budgeting and administrative requirements of projects;
- registered Professional Engineer in Maryland and Virginia; and
- active member in a variety of professional organizations.

Mr. _____ is currently earning \$56,580 per year. He anticipates an annual pay increase within one month to approximately \$60,000 per year. In addition to his base salary, he earned overtime pay of \$9,000 in 1991 and anticipates 10-15% overtime in 1992. His annual income may be realistically projected to approach \$66,000 in 1992. Therefore, in order to attract Mr. _____ to Federal service, we propose to appoint him at the GS-14, Step 07 salary of \$65,527. Mr. _____ offers comprehensive technical and project managerial experience. This combination of qualities is not evident from other potential candidates.

Based on the information above, we believe the requirements of FPM Chapter 338, as amended, are met and approval of the proposed salary is requested.

Recruitment Bonuses

A recruitment bonus is a one-time payment made to an appointee who is being appointed either to his or her first Federal Government position, or after a break in service of at least one year. The bonus is made in one lump-sum. It may be in an amount up to 25% of the annual rate of basic pay. Although the size of the bonus is calculated as a percentage of basic pay, the bonus is not to be considered a part of basic pay for any purpose.

A bonus may be paid when it has been determined that otherwise, difficulty would be encountered in filling the position with a high quality candidate. Before a recruitment bonus is recommended, an advanced-in-hire rate based on superior qualifications (described earlier) should be considered for use instead of, or in combination with, a recruitment bonus. In this Department, each recruitment bonus must first be approved by the Secretary of Energy.

The Office of Personnel Management (OPM) has prescribed a set of requirements for recruitment bonuses in Title 5

Code of Federal Regulations (CFR), Part 575 A. In furtherance of the letter and intent of those regulations, the determination that a recruitment bonus is appropriate should be based on a written justification and other supporting documentation that explain:

- the specifics of the position and the organization;
- the difficulty in filling the position with a high-quality candidate;
- the recruitment efforts that were taken;
- why the nominee is considered a high quality candidate; and
- the candidate's unwillingness to accept the position without the bonus.

An example of a justification for a recruitment bonus follows.

WRITTEN DETERMINATION FOR DECISION TO UTILIZE _____ A RECRUITMENT BONUS FOR FILLING THE POSITION OF _____

Based on the following factors, it has been determined that we would be unable to obtain a highly qualified candidate to fill the position of _____ without the use of _____ a recruitment bonus. This determination was made based on facts specific to this case.

The National Energy Strategy has identified nuclear power as a critical supply technology to provide new electrical generating capacity to support economic growth in an environmentally acceptable manner. The _____ is responsible for the Department's nuclear energy research and development programs and facilities. The technological advances achieved through the research and development programs under the direction of the _____ will be incorporated into electrical power generating technologies well into the next century.

To carry out these responsibilities, the _____ position requires an individual with a strong scientific and technical background and extensive managerial experience of an engineering and technology development program; experience in the design, engineering, and construction of civilian nuclear powerplants; experience in initiating, planning, and managing complex nuclear powerplant projects; technical knowledge and skills of a variety of nuclear reactor technologies, i.e., light water reactors and reactors of advanced design; and practical experience with the licensing and regulatory processes for civilian nuclear powerplants.

The position of _____ was vacated in 1986; since that time, the Office of _____ has actively searched for a candidate who possessed the right mix of knowledge, skill, ability, and experience to plan and execute this national program. Although several candidates were identified during the past 5 years, the Department was unable to offer them a salary comparable to positions they held in the private sector. It is noted that comparable private sector salaries are in the range of \$125,000 to \$150,000 or higher.

This position was most recently advertised by an employment opportunity announcement that was distributed nationwide, open to all recruiting sources, and generated a list of nine applicants. Mr. _____, who is widely recognized for his expertise in nuclear energy technical program management, was deemed to be the only superior candidate for the position.

Mr. _____ is widely recognized in the nuclear industry for his superior management ability and the breadth and depth of his technical expertise in nuclear energy, especially in the area of light water and advanced reactors. For 3 years, Mr. _____ was the _____ at _____, responsible for design and operations of nuclear facilities worth hundreds of millions of dollars. Mr. _____ headed the Office of Special Projects at _____, and prior to being assigned to the Office of _____, was responsible for obtaining _____ state financial contributions for the construction of a new \$1.5 billion dollar developmental burning plasma experiment. Mr. _____ experience involving nuclear reactors and powerplants is extensive including servicing as a consultant for various nuclear and non-nuclear companies; managing and directing the design of both commercial light water reactor powerplants and the Clinch River Breeder Reactor Plant project architectural and engineering work as well as the design and construction of three large coal fired powerplants. He has also been responsible for management of contractor support for Breeder Reactor Program, work in support of the United Kingdom and Japanese breeder programs, and directing

modifications and retrofit projects for numerous light water reactor powerplants. From August 1963 to October 1974, Mr. _____ held several nuclear engineering and management positions, each of increased responsibility in the Naval Nuclear Propulsion Program with the Atomic Energy Commission. This experience included projects involving the unique light water breeder reactor and the smallest nuclear powered submarine propulsion plant.

The level of responsibility, expertise, and managerial skills that Mr. _____ possesses is indicative of those characteristic managerial responsibilities and activities of Chief Executive Officers, Division Heads, or Presidents of major functional or geographical components of large industrial corporations, universities, private institutions, or similar organizations. Such individuals generally receive compensation at salary rates in excess of \$150,000 per year.

Mr. _____ has stated that he will not accept the position unless _____ and a 25 percent recruitment bonus. It is my judgment that Mr. _____ is the best qualified candidate for this position and a recruitment bonus incentive is fully warranted. As Head of the _____ at the _____ Physics Laboratory, Mr. _____ salary for 1991 was \$136,300, which included a \$7,000 bonus. Other financial incentives, in the absence of _____ percent recruitment bonus, would not provide the financial incentive required to obtain an individual with Mr. _____ significant background and accomplishments.

Relocation Bonuses

A relocation bonus is a one-time payment made to a Federal employee who must relocate to a different commuting area to accept a new position in the same or different agency. The bonus is made in one lump-sum. It may be in an amount up to 25% of the annual rate of basic pay. Although the size of the bonus is calculated as a percentage of basic pay, the bonus is not to be considered a part of basic pay for any purpose.

A bonus may be paid when it has been determined that otherwise, difficulty would be encountered in filling the position with a high-quality candidate. In this Department, each relocation bonus must first be approved by the Secretary of Energy.

The Office of Personnel Management has prescribed a set of requirements for relocation bonuses in Title 5 Code of Federal Regulations, Part 575 B. In furtherance of the letter and intent of those regulations, the determination that a recruitment bonus is appropriate should be based on a written justification and other supporting documentation that explain:

- the specifics of the position and the organization;
- the difficulty in filling the position with a high-quality candidate;
- the recruitment efforts that were taken;
- why the nominee is considered a high quality candidate; and
- the candidate's unwillingness to accept the position without the bonus.

An example of a justification for a relocation bonus follows.

Subject: Proposed Relocation Bonus under 5 U.S.C. 5753

Issue:

The Office of _____ is requesting approval of a relocation bonus in the amount of _____, equal to percent of base salary (GS-801-14, \$60,067 per annum), for Mr. _____, who has been offered the position of General Engineer in the Office of _____.

Background:

The Federal Employees Pay Comparability Act of 1990 provides for the use of relocation bonuses to attract highly qualified employees for hard-to-fill positions. The Office of Personnel Management (OPM), in turn, has issued interim regulations which authorize the head of an agency to pay a relocation bonus of up to 25 percent of basic pay to an employee, provided there is a determination that, in the absence of such a bonus, difficulty would be encountered in filling the position with a high-quality candidate. The Department has followed with its own interim implementing procedures.

Position:

The Division of _____ is an integral part of the program that oversees Department of Energy (DOE) occupational safety and health (OSH) programs for the protection of workers in the operation of the DOE facilities. The Division is required to oversee the _____ management and oversight of the DOE contractors' OSH programs. The OSH programs are being implemented as a result of the Secretary's initiative and the evaluation of the DOE contractors' OSH programs by the Occupational Safety and Health Administration (OSHA) during 1990. The Secretary has tasked EH to conduct oversight of the implementation of these programs. The incumbent will be essential for the oversight process which requires an extensive background in compliance with the OSHA regulations, effective interaction with senior management officials, and an ability to manage and lead oversight teams. A high-quality candidate meeting these requirements is difficult to find.

The job is unique and very demanding, requiring the right mix of skills. Specifically, the incumbent must be intimately familiar with OSHA regulatory requirements, standards, policies, criteria, and guidelines to be able to identify effective OSH programs. The incumbent must also be knowledgeable in the management of large organizations and be able to effectively interact with management officials. Finally, the incumbent must also have experience and be able to supervise oversight teams to effectively conduct program reviews and assessments. In filling this position, ___ has experienced two major difficulties. One difficulty is in finding highly-qualified candidates, and the second is the financial loss encountered when moving into the Washington, D.C. area. The difficulty in finding highly-qualified candidates is demonstrated by the nearly year-long search for highly-qualified applicants. Initially, three positions were advertised under the Merit Promotion Program nationwide in May 1991, at the GS-15 level. Seventeen individuals were found to be minimally qualified. After the vacancy was paneled, three names were referred to the selecting official for consideration. All three candidates were interviewed, and Dr. _____ was selected. In the interviews with the selecting official, the other two Office Directors, and the Deputy Assistant Secretary, all unanimously agreed that the other two candidates did not exhibit the degree of knowledge and skills believed essential for the Team Leader function. Additionally, we publicized by word-of-mouth to potential candidate individuals within the Department of Labor's Occupational Safety and Health Administration (OSHA), and applications were solicited at the July 1991 Job Fair. Although many applications were received, few were actually qualified, and only one was found to be highly qualified, selected, and hired. Subsequently, the remaining two positions were advertised nationwide in October 1991, at the GS-14/15 level, to enlarge the recruiting population and also to include lower graded individuals from OSHA.

This second announcement closed with insufficient applicants and was extended for 2 weeks. This announcement brought in a total of 32 applications of which 24 were forwarded to the selecting official. After a thorough and exhaustive review, six individuals were identified as potential candidates. Those eliminated from consideration did not receive favorable assessments in inquiries made of references or had just been hired elsewhere. Of the six potential candidates, their applications were further reviewed by the other two Office Directors within _____. Based on the assessment of skills of the individuals, four candidates were eliminated from consideration. The remaining two--Mr. _____ from Atlanta, Georgia, and Mr. _____ from Washington, D.C. were interviewed. Mr. _____ was offered the position but declined to accept a higher salary elsewhere. Mr. _____ (SF-171 attached) was then offered the position and accepted. However, Mr. _____ later stated that after researching the move from Atlanta, Georgia to Washington, D.C., he had to decline because of the financial loss he would incur by relocating to this area.

Because of the recent ___ limitation on FTE's, one of the two positions was canceled. For the one remaining position, it is critical that ___ hire Mr. _____. Mr. _____ move from Atlanta, Georgia, to the Washington, D.C. area would cost approximately twice what he paid for his present residence in Atlanta. In addition, the current market value of his present residence is _____ approximately \$ ___ less than what he paid for it. Enclosed is an

analysis prepared by realtor on June 22, 1992. Mr. _____ paid \$ _____ for his current home in _____, Georgia. The analysis shows that the average asking price for comparable housing is \$84,999; the average selling price is \$ _____. Mr. _____ loss for moving to this area could be as high as \$17,653. Therefore, ___ % of the base salary or \$ _____ has been requested to offset his losses. Under these circumstances, Mr. _____ cannot accept the DOE offer for the position since the maximum salary which DOE can offer does not begin to cover his financial loss.

Qualifications: Mr. _____ superior qualifications are evidenced by:

- An undergraduate degree in civil engineering.
- Substantial graduate course work in business, management, and industrial engineering.
- Fifteen years of high-quality work experience with the Occupational Safety and Health Administration.
- High-level experience in fire and explosions, building and structural collapses, other engineering design and analysis problems, and OSHA compliance.
- Management and team supervisory experience on an acting basis at higher level positions.

The scope and breadth of Mr. _____ experience in occupational safety and health, organizational management and operations, and supervising teams significantly exceeds that of the other candidates.

Summary:

Based on ___ difficulty in filling these positions, it is appropriate to take advantage of the relocation bonus to attract high-quality candidates for the DOE ___ program. The candidate will have a significant job to do in the Office of Environment, Safety and Health. He will be a key player in the program for conducting oversight of the DOE OSHA program for the protection of contractor workers while at DOE sites and facilities. This program has been implemented by ___ at the direction of the Secretary, and it is critical that the position be staffed with a high-quality candidate. Mr. _____ is such a candidate.

Recommendation:

Approval is recommended for a relocation bonus of ___ percent (\$ _____) for Mr. _____. This recommendation is based on difficulty that has been encountered in filling this position with a high-quality candidate and the significant financial hardship that would be suffered by Mr. _____ if he were to accept this position. The ___ percent relocation bonus would offset these factors.

Retention Allowances

A retention allowance is a continuing payment made to a current employee who would otherwise leave in the absence of the allowance. It may be in an amount up to 25% of basic pay. Although the allowance is calculated as a percentage of basic pay and paid at the same time, it is not to be considered a part of basic pay for any purpose.

An allowance may be granted when it has been determined that, in its absence, the employee would be likely to leave for employment outside of the Federal Government. It may be used if the unusually high or unique qualifications of the employee or a special need of the agency for the employee's services makes it essential to retain the employee. In this Department, each retention allowance must first be approved by the Secretary of Energy.

The Office of Personnel Management has prescribed a set of requirements for retention allowances in title 5 Code of Federal Regulations, Part 575 C. In furtherance of the letter and intent of those regulations, the determination that a retention allowance is appropriate should be based on a written justification and other supporting documentation that explain:

- the specifics of the position and the organization;

- the unusually high or unique qualifications of the employee or special need of the agency for the employee's services;
- the determination that the employee would be likely to leave, absent the allowance, for employment outside the Federal Government;

An example of a justification for a retention allowance follows.

REQUEST FOR APPROVAL OF RETENTION ALLOWANCE

In accordance with 5 CFR 575 procedures, _____ requests approval of a retention allowance for

Background:

Mr. _____ serves as Patent Adviser in the Office of Chief Counsel (OCC), Patent Law Division which is composed of Patent Attorneys and Patent Advisers. The Patent Law Division is responsible for providing legal advice on intellectual law (patents, copyrights, trademarks, proprietary data and trade secrets); preparing legal documents and legal interpretations; administering intellectual property rights provisions in contracts and subcontracts; protecting the Government's interests in intellectual property, including preparing and prosecuting patent applications; and conducting or participating in litigations on behalf of _____.

Unusually High or Unique Qualifications:

Mr. _____ unusually high qualifications makes it essential to retain his services at _____. Mr. _____ is the senior patent professional in the Prosecution Branch and is responsible for monitoring contracts and subcontracts, evaluating inventions and determining which inventions can be patented, evaluating requests for invention waivers, preparing and prosecuting patent applications and evaluating contractor patent policies and procedures.

During his nearly 34 years of patent prosecution experience, including 23 years with DOE (formerly AEC/ERDA), Mr. _____ is the only agency-wide patent professional with an in-depth knowledge of early ____ (contractor) patent/infringement issues for DOE, ____ Inertial Confinement Fusion (ICF) Program at Lawrence Livermore National Laboratory (LLNL), for which these infringement issues have been pending in excess of 10 years.

Mr. _____ also possesses in-depth knowledge of patent and contract administration issues involving all ____ and Field Office ____ M&O contractors and of the technical and patent accomplishments of most ____ and industrial contractors. He maintains a major segment of ____ corporate knowledge and memory in the patent arena. He has demonstrated the ability to expeditiously carry out the drafting and filing of patent applications on a wide variety of technologies. He performs these very detailed legal/technical undertakings in a timeframe exceeding other patent professionals in the history of _____. (This "quick study" capability is needed in critical technologies of DOE programs and mission where timeliness is essential to prevent the loss of patent rights.) Mr. _____ possesses a most extensive and comprehensive background in multiple technologies and is a unique resource on which ____ and Headquarters program offices rely on for technical/legal input.

Mr. _____ acts as the primary point of contact within OCC for review and evaluation of work products (patent applications and prosecution documentation) prepared for DOE by outside law firms under contract to DOE. He also has been tasked with the training and development of new attorneys/advisers in the Prosecution Branch. Over the past 2-3 years, Mr. _____ has handled over 90 percent of the work in the Prosecution Branch in the following areas: invention processing for technologies other than laser isotope enrichment; invention waivers; invention election determinations for technology transfer of DP-funded work; Small Business Innovative Research (SBIR) & Small Business Administration contractor oversight and enforcement duties.

Special Need of the Agency for Employee's Services:

Mr. _____ departure would have a profoundly adverse impact on SF's ability to carry out the patent prosecution work. He is the most knowledgeable patent professional with a comprehensive understanding of patent prosecution

activities, invention activities by small business contractors; patent waiver processes and procedures; invention election/determinable requests and adherence to contractual obligations.

Over the past 18 months, ___ has been unsuccessful in attracting qualified patent attorney candidates for vacancy announcements. Because of this, OPC's staffing is already below the "critical mass" necessary to meet mission requirements, and has been forced to contract-out patent application and prosecution work in excess of \$600,000 during FYs 91 and 92. In the event

Mr. _____ leaves, it is expected that this cost would increase by about \$200,000 a year, assuming comparable skills could be found in one of the law firms under contract. This increase is based on projecting the cost of one full-time patent professional at the rate of \$100 per hour.

At present, the OPC office at LLNL has only two non-supervisory patent professionals (Mr. _____ and _____). The Branch supervisor is frequently absent from the LLNL office and Mr. _____ frequently acts as Branch supervisor in his absence because of his comprehensive knowledge of OPC and DOE policies and procedures for intellectual property. The continual oversight of the patent and invention activities at LLNL and Lawrence Berkeley Laboratory (LBL) is primarily carried out by Mr. _____ because of _____ in the office and the fact that the Branch supervisor must spend considerable time in _____.

Mr. _____ is the primary patent professional relied upon by _____ for training of new patent professional on the OPC contract administration and patent prosecution tasks and responsibilities. OPC's ability to protect inventions that are important to DOE's Technology Transfer mission will be jeopardized if Mr. _____ leaves. It would be virtually impossible to replace Mr. _____ with a new hire because of the extensive training and development required to understand the highly sophisticated, state-of-the-art technology produced by our M&O contractors.

A majority of professional functions (e.g., contract administration, patent application, patent prosecution, invention evaluation) performed in the office will either not be performed, or if performed with current staff, then critical functions in the _____ Office will not be performed. The net result is that very important work in the technology transfer mission would be adversely affected.

Likelihood Employee Would Leave the Federal service:

Timing is a critical factor in Mr. _____ retention. His departure would affect _____ ability to carry out functions vital to DOE's mission. Mr. _____ has already been approached with an initial job offer of \$61,500 (we understand a revised offer of \$75,000 will be forthcoming). He is also eligible to retire with an annuity of \$____ per year. This coupled with the job offer would give him an annual income of at least \$____ (and very likely as high as \$____). His current base salary as GS-14, step 10 is \$70,987. A __ percent retention allowance would amount to a yearly increase of \$____ thereby bringing Mr. _____ annual salary, including _____ to \$____. While this salary is considerably lower than the potential income (combining the job offer and an annuity), we believe it to be sufficient to retain Mr. _____ and to be in accordance with DOE policy to use the least costly incentive to retain or attract candidates.

Dual Compensation Waivers

When a retired military officer or civilian annuitant is reemployed with the Federal Government in a civilian position, either the employee's pay or his or her civilian annuity must be reduced so that the combination of retired and active pay does not exceed the pay of the position. This requirement can be waived by the Office of Personnel Management (OPM). The statutory basis for waivers are:

- for temporary employment that is necessary in emergencies involving a direct threat to life or property or other unusual circumstances; or
 - for employment in positions for which there is exceptional difficulty in recruiting or retaining a qualified employee.
- Request for waivers of dual compensation restrictions must be submitted to OPM by the Secretary.

OPM has issued detailed requirements for each case submission in Federal Personnel Manual Letter 553-3, dated May 20, 1991. The determination that a dual compensation waiver is appropriate should be based on a written justification and other supporting documentation that address:

- annuity or retirement data;
- the specifics of the appointment, the position and the organization;
- the candidate's unwillingness to accept the position without the bonus.

Requests based on emergency situations must address:

- a description of how the emergency poses an immediate and direct threat to life or property;
 - how the emergency is beyond the scope of the agency's normal responsibilities; and
 - what the proposed appointee will do in immediate response to the emergency.
- for requests based on exceptional recruiting needs:
- recruiting efforts and difficulties, including number of declinations and;
 - consideration of other staffing alternatives, such as job engineering, contracting, use of a recruitment bonus, and training.

An example of a justification for a waiver of dual compensation restrictions follows.

PART II. JUSTIFICATION

Background

The Department of Energy's (DOE) Nuclear Weapons Complex as it exists today comprises more than 13 Government-owned, contractor-operated major facilities, distributed over 12 states. Many of these facilities were constructed more than 3 decades ago and were designed and built to standards and regulations very different and less stringent than those of today, or those that will be required in the future. These facilities are administered by DOE's Rocky Flats Office and the Albuquerque, Idaho, Oak Ridge, Richland, San Francisco, Savannah River, and Nevada Operations Offices. Prime contractors and sub-contractors who provide support for the Complex are located throughout the nation.

A Weapons Complex modernization initiative is currently underway as the result of the findings and recommendations of a congressionally mandated study to examine and prepare a plan that addresses the overall size, production capacity, technology base, and investment strategy necessary to support long-term security objectives, as modified by a later Secretarial decision to reexamine the modernization issue.

Much of the impetus for modernization of the Nuclear Weapons Complex comes from the fact that the current facilities are deteriorating, obsolescent, and pose a potentially serious risk to the environment. The deterioration of the physical condition of the Complex results, in part, from insufficient maintenance and inadequate capital investment practices. It is widely recognized that the current complex is absorbing a disproportionate amount of DOE's resources for remedial and compliance actions and, unless immediate and significant improvements in the management of DOE's capital production assets are made, the long-term success of DOE's modernization initiative will be jeopardized. Immediate improvement will ensure that the existing Complex remain viable until long-term revitalization becomes a reality.

It is critically important that the Department immediately establish a formal system of capital asset management to ensure that nuclear facilities are operated in an efficient, safe, and environmentally sound manner. Such a system will allow the Department to analyze each site and each piece of equipment at each site so that projections can be

made regarding required modifications, maintenance, repairs, backfitting, or replacement. Without this system, the Department will continue to experience otherwise avoidable systems failures that could have a serious, adverse effects on the environment, life, property, or national security. The systemic process just described is commonly referred to as life cycle management. Life cycle management begins with detailed inspections of each site and each piece of equipment at each site. Inspections will be performed initially to establish a baseline for each facility and piece of equipment. The baseline will identify the condition of all facilities and equipment, estimated times before failure, and estimated costs and times required to correct identified deficiencies.

This important work will be accomplished through the Office of Engineering Operations Support, Deputy Assistant Secretary for Nuclear Materials, which was established in early 1990. Its purpose is to provide DOE with the needed cadre of experts in the nuclear field to serve as a dedicated Headquarters spearhead and resource for engineering and technical review, consultation, and support. Over the past year, a number of positions have been filled in such disciplines as seismology, natural phenomenon hazards mitigation, fire protection, probabilistic risk assessment, and other disciplines. One of the most critical concerns at this point is the recruitment of a person highly skilled in life cycle management. This individual will fill the critical need to address these concerns.

Position

The incumbent of this position, a GM-840-15, Nuclear Engineer, serves as a recognized authority in the field of life cycle management requirements for both nuclear reactor and nonreactor operations. The individual must provide leadership, direction, and consultation to Complex-wide programs and facilities on life cycle management, assessment, and surveys. This requires an ability to coordinate and utilize Headquarters and field office personnel, laboratory staff, and private sector experts. As the recognized authority, the individual must provide the technical basis for high-level policy development with respect to life cycle management requirements for DOE's nuclear weapons facilities. The incumbent also must represent DOE to other agencies and organizations with respect to these critical life cycle management issues.

The incumbent must possess a thorough understanding of the most advanced principles of nuclear production life cycle management and related engineering theories and concepts as applied to the safety and efficiency of nuclear weapons facilities. The incumbent must be able to perform highly technical, indepth engineering analyses and provide experienced judgment in evaluating a range of difficult and unique engineering problems.

The incumbent must have the knowledge, stature, and skills to serve as a recognized consultant and expert on the life cycle management aspects of nuclear facilities, and to lead teams of experts in conducting technical assessments throughout the nuclear defense complex. This work requires extensive probing and analysis. Because much of the work is performed under intense public scrutiny and involves many novel engineering and operational aspects, a high degree of originality and technical judgment is required. Overall this work is pivotal because it will be the link that sustains the program during the difficult transitional years leading up to long-term modernization.

Recruitment

Because this role has not existed before, recruitment efforts were focused on identifying an individual with technical expertise and top-level management skills in life cycle management, nuclear engineering, and representational skills before technical peers, high-level management officials, congressional staff, and various public fora.

Because of previous recruitment experience with Nuclear Engineers, the Department recognizes the difficulties associated in identifying candidates with the unique qualifications of this position. As the Office of Personnel Management itself has recognized through its delegation of direct hire authorities, it is extremely difficult to recruit GS-15 level Nuclear Engineers. However, through extensive recruitment efforts within the professional arena--DOE field and Headquarters operations, contractor organizations, Department of Defense, job fairs, the private sector, and professional organizations--the Department was able to identify a candidate who met the demanding and diverse qualifications of this position. Because of his technical background and experience, _____ was selected for this position using the Department's delegated direct hire authority. However, his employment is contingent on waiver of the retirement annuity penalty.

Mr. _____ has extensive experience in life cycle management, financial management, major systems acquisitions,

and nuclear engineering. Most recently, from 1987 to 1991, he served as Deputy Commander for Amphibious, Auxiliary, Mine and Sealift Ships. He was Program Director for the acquisition of ships, life cycle management of 200 ships, and all associated craft and boats. He assured that all the necessary maintenance and modernization for existing systems took place. He also was responsible for financial management for the Fleet Modernization Program. This combination of skills and experience is unique and directly matches the Department's needs.

His earlier experience has included a number of progressively responsible assignments. For example, Mr. _____ coordinated the efforts of more than 400 employees and five programs involved in life cycle management and the acquisition of combat ships. He initiated a program to resolve operational problems and to revitalize more than 10 obsolescent surface ships and equipment. For 3 years, 1981-1984, Mr. _____ was the Commanding Officer onboard ship responsible for the planning and execution of an extensive overhaul and modernization. For 6 years he trained and readied six nuclear propulsion teams. He provided feedback to his superiors on the adequacy of technical procedures and proposed improvements. Overall _____ has the unique combination of education, experience, and skills required to do this job. He has commanded large numbers of people and programs directly related to life cycle management in the nuclear arena.

Mr. _____ has recently retired from the Navy and has been offered a position with Boston Edison associated with the Pilgrim Facility in Plymouth, Massachusetts. The salary is comparable to a GS-15/10 level and does not require any reduction in his full military retirement. The offer is firm and will be communicated in writing once he has agreed to accept it. His decision to accept this offer is directly contingent on the outcome of this request for dual compensation waiver.

Mr. _____ has stated that he will only consider employment with the Federal Government if the dual compensation restriction is waived. Even if a recruitment bonus were offered, it would not be adequate to offset the loss he would sustain through the reduction in his military retirement pay. Moreover, a recruitment bonus would be a one-time payment while the reduction in his annuity would ongoing and would increase annually.

Summary

This waiver is critical to the Department's ability to hire _____. He has made it unequivocally clear that he will not accept the Department's offer unless the waiver is granted. He is superbly qualified for this position. Extreme recruitment difficulties for this series, grade level, and position have been documented. The Department is certain that _____ will bring the key skills and experience to this unique position, which is very much in the Department's and the public's best interests.

PART III. DURATION OF THE WAIVER

We anticipate that this position will be continuing based on DOE's stated mission and the Secretary of Energy's commitment to the accomplishment of that mission.

Travel and Transportation Expenses

Local DOE authorization exists to reimburse preemployment interview travel expenses and travel and transportation expenses of a new appointee to his or her first post of duty.

Preemployment Interviews

When the criteria in the local plan for payment of preemployment interview travel expenses are met, the expenses associated with a preemployment interview may be paid if the interview would be helpful in distinguishing among candidates or it is necessary to interest a qualified candidate in a shortage position.

The preemployment interview travel expenses covered may be the same as those afforded Federal employees on official business travel--usual subsistence and transportation expenses--but not including communications expenses not directly related to travel arrangements for the interview, or the hire of a room for conferences and such.

New Appointments

A decision may be made to pay travel expenses to a new appointee if the eligibility criteria stipulated in the local DOE plan covering that authority are present.

The payments that could be authorized are considered limited relocation allowances; i.e., the travel expenses of the appointee and the transportation expenses of the immediate family and household goods.

The determination that payment of reemployment interview or new appointment travel expenses are appropriate should be based on a written justification that explains how the required conditions are present.

Examples of justifications for payment of interview and new appointee travel expenses follow.

Sample Justification for Payment of Interview Travel Expenses

It is proposed to pay the expenses associated with the travel of [] for a preemployment interview. She will be interviewed in consideration of employment in the position of

Funds are available for this purpose.

The appointment being considered is not limited to one year or less; the payment is to reimburse [] for interview expenses and not to defray any costs of travel to a first post of duty; and the interview is being arranged and will be conducted in a manner consistent with the merit promotion plan and rules governing Office of Personnel Management certificates.

Recruitment efforts for the vacant position above resulted in 12 qualified candidates. It has been determined that interviews will enhance the selection process. The candidate is one of the three individuals who were found to be highly qualified, and who will be interviewed. It is expected that interview results will help distinguish the best qualified candidate.

Sample Justification for Payment of New Appointment Travel Expenses

It is proposed to pay the expenses associated with the travel of [] to her first post of duty. Subject to our agreement to pay these expenses, she has accepted appointment to the position of []

Funds are available for these expenses.

The nature of the appointment exceeds one year as required, and the selectee has agreed in writing to remain in Government service for at least 12 months.

The expense and cost effectiveness of paying for these expenses have been considered. It would be extremely burdensome for the candidate to pay all of these expenses and would make our employment offer substantially less attractive. From the Department's perspective, these payments do not constitute a large expense when compared to the benefits of securing her employment.

The position that the candidate would be occupying has been difficult to fill, since it is important that we have someone with superior qualifications. After advertising the vacancy through internal merit promotion procedures and professional channels, only two other well qualified candidates were identified, and neither matched this candidate's qualifications as measured against the quality ranking factors that were used.

This employment incentive is a single element of a collection that were considered. It was determined that the needs of the candidate could be met by providing this additional compensation up front, mostly because it was her relocation expenses with which she was most concerned. A recruitment bonus was determined to be less convenient and no more attractive; a superior qualifications appointment would be much more costly.

Without payment of travel and transportation expenses, the candidate would find our employment far less inviting, and we would likely be unable to fill the position with another candidate of her qualifications should she decline.

SECTION 4

PERFORMANCE STANDARDS

FACILITIES REPRESENTATIVE PERFORMANCE STANDARDS

General

The following are model performance elements and standards for Facilities Representative (FR) positions. These elements and standards are keyed to the primary duties and responsibilities of FR positions, as described by the model position descriptions. The elements and standards are written at the fully successful performance level for GS-13 grade level positions. Generic standards are provided for marginal and outstanding performance levels. Illustrative examples of marginal performance for each performance element are also provided. Offices which wish to use these model elements and standards for positions at the GS-12 and GS-14 grade levels should modify the model as appropriate to reflect the position descriptions for positions at these grade levels.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Element

Conducts daily on-site environmental, health, and safety (ES&H) related inspections of the facility and its operations.

Performance Standard

Inspections are thorough, accurately reflect the ES&H conditions of the facility, and identify real time and potential long term problems, as pertinent. Inspection findings demonstrate an expert knowledge of engineering or related fields, the facility and its operations; and an ability to apply subject matter laws and regulations to make decisions and take actions to ensure the safe operation and management of the facility.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze or describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

Inspections must be accompanied by the FR's supervisor or others;

Proper prescribed procedures are not followed initially or correctly;

DOE management is not currently or completely apprised of the status of the facility's operations.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Element

Conducts facility-wide systems inspections, e.g., work control systems, engineering controls, and quality

assurance program.

Performance Standard

Inspections are thorough and timely, and correctly identify real time and potential long term problems, as pertinent. Inspection findings demonstrate an expert knowledge of engineering or related fields, the facility and its operations; and an ability to apply subject matter laws and regulations to ensure the safe operations and management of the facility. Prescribed procedures are followed in a timely manner in order to resolve deficiencies or concerns. Sound judgement is exercised to identify those instances/situations requiring immediate attention and take "stop work" action when warranted.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze or describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

"Stop work" actions are not initiated consistently on a timely basis and result in potentially hazardous ES&H conditions occurring in the facility.

Investigative findings typically fail to correctly analyze a situation or recommend an appropriate responsive action, either of which require others to repeat the investigation or provide additional analytical assessments of the described situation.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Element

Independently, or as a team member, investigates and reviews environmental, safety and health (ES&H) events or conditions affecting facility operations.

Performance Standard

Investigative findings are factually correct; input to, or sole preparation of, reports or presentations of findings are clearly and convincingly stated and articulated. Findings demonstrate an ability to correctly analyze a situation and identify/assess the appropriateness of the identified root cause of the problem. Recommendations demonstrate a knowledge of the appropriate technical field.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze or describe adequately ES&H conditions or problems. Examples of how marginal performance is demonstrated are described below.

Investigative findings typically fail to correctly analyze a solution or recommend an appropriate responsive action, either of which require others to repeat the investigation or provide additional analytical assessments of the described situation.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Element

Provides environmental/safety/health (ES&H) and quality assurance input into reports on the status of assigned facility.

Performance Standard

Input to reports is factually correct and clearly identifies and states problems and recommendations. Corrective action recommendations are based on sound analytical assessments of the status of ES&H conditions. Demonstrates sound judgement in correctly identifying those situations requiring immediate or prompt management/contractor attention.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze and describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

Input to reports fails to provide information which clearly defines problem areas and/or recommends appropriate responsive action.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Element

Generates reports on the facility's operational status, events, and trends to DOE local and HQ management officials. Prepares reports on contractor organization and performance.

Performance Standard

Reports are factually correct, clearly identify and state problem areas, trends, etc; and propose recommendations and follow-up actions based on a sound analysis and description of the situation being addressed.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

Input to reports fails to provide information which clearly defines problem areas and/or recommends appropriate responsive action.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Element

Reviews and evaluates contractor's engineering designs, design changes, and other documentation to ensure consistency with good facility operation practices.

Performance Standard

Reviews are thorough and timely and assure that sound plant engineering principles are applied. Reviews and assessments demonstrate an expert knowledge of engineering, the facility, and the contractor's operations. Problems are correctly identified; contractors and DOE management are notified in a timely and factual manner of noted deficiencies; written evaluations factually describe contractor inadequacies/deficiencies; recommendations are timely and contribute to improved safety operations and maintenance.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze and describe ES&H conditions or problems adequately. An example of marginal performance for this performance element is described below.

Reviews of contractor's engineering designs and other documentation typically lack sufficient analysis, as demonstrated by the need to consistently rectify and amend reported findings.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Element

Serves as the initial point of contact between DOE and the contractor for all event notification.

Performance Standard

Provides the contractor and DOE management timely and accurate identification, analysis resolution, and tracking of operational problems. Reports all events in a timely, factual, clear, and complete manner. Provides timely and material guidance to the operating contractor with respect to requirements for stabilization and resumption of operations. Uses communication skills to facilitate communications between DOE local and HQ staffs.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are

performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

Reports of events lack sufficient specificity as to the cause of the cited problem and/or its appropriate resolution. The guidance which is provided to the operating contractor regarding stabilization and resumption of operations must be reviewed/revised due to insufficiency of basic programmatic information and analysis.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. Examples of how marginal performance is demonstrated are described below.

The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to describe adequately ES&H conditions or problems. As a result,

FR inspections must be accompanied by the FR's supervisor or others;

Proper procedures are not followed initially;

"Stop work" actions are not initiated consistently on a timely basis and result in potentially hazardous ES&H conditions occurring in the facility;

Investigative findings typically fail to correctly analyze a situation or recommend an appropriate responsive action, either of which require others to repeat the investigation or provide additional analytical assessments of the described situation.

Reviews of contractor's engineering designs and other documentation lack sufficient analysis, as demonstrated by the need to consistently rectify and amend reported findings.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to demonstrate a mastery of engineering or a related field, and the facility and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

SECTION 5

MONETARY AWARDS

FACILITY REPRESENTATIVE - MONETARY AWARDS AND OTHER COMPENSATION

General

There are a number of monetary awards available to recognize performance and achievements in Facility Representative positions. Attached are examples of:

- o On-the-Spot Monetary Recognition Award
- o Performance Management System Performance Awards
- o Special Act or Service Award
- o Time Off Award

USE OF THE ON-THE-SPOT MONETARY RECOGNITION AWARD FOR A FACILITY REPRESENTATIVE

1. BASIS. This award is a form of Special Act or Service Award, which is monetary, and intended to provide immediate recognition to an employee or group of employees who perform particular (unusually short-term) tasks or assignments or other job responsibilities in an exemplary manner. An example of an On-the-Spot Monetary Recognition Award given to a Facility Representative is when "imminent danger" is detected and the work of an operation is stopped when an undue risk to health, safety, or the environment is involved.
2. PROCEDURES.
 - o Because repeated issuance of this award to the same employee may reflect adversely on its credibility and imply that another form of recognition was actually warranted, no more than 4 On-the-Spot Monetary Recognition Awards may be granted to the same individual within any consecutive 52-week period.
 - o Submit a nomination preferably within 3 days, but no later than 30 days after the event takes place.
 - o Submit a one paragraph or less justification with the nomination.
 - o If the nomination is not initiated by the employee's immediate supervisor, the recommendation must be forwarded to the employee's immediate supervisor for concurrence or his/her telephone concurrence may be obtained.
 - o The award may be approved or disapproved by a supervisor or management official at least one level higher than the supervisor who recommended the award.
 - o Submit the nomination to your servicing personnel office for preparation of the SF-50, "Notification of Personnel Action."
3. AWARD AMOUNTS. Currently, the award amount range for an individual is \$25 to \$250, and the award amount range for a group is \$25 to \$2,500.

S A M P L E

ON-THE-SPOT MONETARY RECOGNITION AWARD JUSTIFICATION

The awardee has been performing as an intern on rotation to the Environmental Restoration Division with

responsibilities for ad hoc technical support to remediation projects, completion of the Track 2 Summary report for the Acid Pit at _____, and coordinating corrective actions for various Division activities. The awardee willingly stepped in to take over the numerous responsibilities of the awardee who was on sick leave due to recuperation from a back surgery after an injury in November. During this timeframe, the awardee doubled his workload. The awardee ensured that the remedial actions on the Unexploded Ordnance and _____ Evaporation Pond proceeded according to the compliance schedule, as did investigation work on the _____ Pond. In the course of performing this work, the awardee professionally coordinated many new interfaces from several contractors, Environmental Protection Agency, _____, and with the Department of Energy. All milestones were met with minimal management involvement in a responsible fashion.

USE OF THE PERFORMANCE MANAGEMENT SYSTEM PERFORMANCE AWARDS FOR A FACILITY REPRESENTATIVE

1. BASIS. This award recognizes and rewards high level performance based on an employee's current appraisal period rating of record for 1 full year. It may be appropriate to reduce awards granted for a lesser period. An example of a Performance Management System Performance Award given to a Facility Representative is when an employee has consistently performing his/her duties in an highly successful manner during the rating period.

2. PROCEDURES.
 - o Submit nominations no later than 60 days after the official date of the rating of record on which the award is based.
 - o Employees may not be granted monetary performance awards for the same contribution which was recognized by another type of award or by a quality step increase.
 - o Employees may be granted a performance award while on detail so long as the detail is included in the rating of record.
 - o Employees are not eligible for a performance award upon retirement or separated prior to the performance rating of record period.
 - o An employee who is reassigned within the Department of Energy or who transfers to another agency within 60 days after the date of the current rating of record is eligible for a performance award.
 - o Performance awards are initiated at the discretion of the rating official. A copy of the rating of record is the minimum required justification. Additional justification is required to explain the basis for recommendations for awards above 10 percent, or when prorating or using variable scales.
 - o If the rating official is not available, the award may be initiated, reviewed and approved by an official who is at a higher management level than the initiating official.
 - o All performance award determinations shall be made in conjunction with the official responsible for making the performance appraisal decision and the official responsible for managing the performance award budget for the organization.
 - o Submit the nomination to your servicing personnel office for preparation of the SF-50, "Notification of Personnel Action."

3. AWARD AMOUNTS. Each Departmental Element must establish an award scale/method to be used in determining the amount of all Performance Management System Employee performance awards granted for the same performance cycle. Scales/methods may be uniform or variable, and they may be expressed as a percentage of annual salary or as dollar amounts.

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PERFORMANCE MANAGEMENT SYSTEM PERFORMANCE AWARDS JUSTIFICATION

	SUMMARY	
<u>NAME OF EMPLOYEE:</u>	<u>SUMMARY RATING</u>	<u>RATING SCORE</u>
	<u>HS</u>	<u>3.5</u>

The awardee has managed the aviation activities at Aircraft Services in a highly successful manner during the past rating period. As the Aircraft Services Manager, the awardee handled many difficult, demanding, and challenging projects which have unique requirements. He is extremely detail oriented making him well suited for his position in

the highly visible, politically controversial world of government owned and operated aircraft.

The awardee reviews all aviation activities to ensure that ____ remains compliance with the Department of Energy policies and procedures. This is critical due to the constant scrutiny of various government entities such as ____, , and the Department of Energy. One of the reports demonstrating compliance is the Annual A-126 Review which was completed for FY91, and showed the use of in-house aircraft to be appropriate and cost effective.

The awardee has been instrumental in the initial relocation proposals and approval of site selection and construction plans for new ____ owned aircraft facilities in Seattle, Spokane, and Redmond. ____ will benefit from the relocation of these facilities because there will be improved safety at Redmond and Covington; both fixed-wing and rotary wing aircraft will have access to the same facilities; and ____ will no longer pay rent for the Spokane facility.

Safety continues to be a top priority at Aircraft Services, with the awardee emphasizing its importance to all personnel in all aspects of their work.

Based on the facts outlined above and expected continued performance. I highly recommend the awardee be granted a Sustained Superior Performance Award in conjunction with his highly successful rating.

USE OF THE SPECIAL ACT OR SERVICE AWARD
FOR A FACILITY REPRESENTATIVE

1. BASIS. This is a monetary award granted to an individual, group of employees, a former employee, or the estate of a deceased employee, provided the special act or service took place while the person was a Government employee, for a contribution or accomplishment in the public interest that is a non-recurring contribution either within or outside of established job responsibilities; a scientific achievement; or an act of heroism. An example of a Special Act or Service Award given to a Facility Representative is when an employee was exemplary beyond normal expectations in identifying an instance/situation requiring immediate attention and taking "stop work" action. Another example is when a suggestion was adopted and management determines that the suggestion falls within the employee's normal job requirements. Rather than process a suggestion award, the Special Act or Service Award may be more appropriate.

2. PROCEDURES.
 - o Submit a nomination within 60 days after completion of the event.
 - o Superior accomplishment awards are initiated, approved and paid by the organization which benefitted, or will benefit the most.
 - o The justification must include a written recommendation for the award stating the circumstances and the employee(s) contribution(s) which the award would recognize. Describe the value of the benefit and the extent of application or include data which clearly substantiates the tangible benefit cited. For group awards, the justification must speak to the varying contributions or the respective roles of each group member.
 - o The employee's supervisor of record and other officials deemed appropriate should indicate their concurrence by signing the nomination form.
 - o The award must be approved by a management official who is at a higher organizational level than the recommending and initiating organization.
 - o Submit the nomination to your servicing personnel office for preparation of the SF-50, "Notification of Personnel Action."

3. AWARD AMOUNTS. The amount of an award from \$50 to \$7,500 for an individual is approved by the Head of the Departmental Element. The amount of an award from \$7,501 to \$10,000 for an individual is approved by the Under Secretary. The amount of an award from \$10,001 to \$25,000 for an individual is approved by the Office of Personnel Management. The amount of an award above \$25,000 is approved by the President. There is no limitation on the amount range for a group award providing that no individual within that group receives no more than \$7,500. If an individual within a group receives above \$7,500, please refer to the information described above.

S A M P L E

SPECIAL ACT OR SERVICE AWARD JUSTIFICATION

The awardee has performed above and beyond the expectations of his assigned duties by accepting, coordinating and completing the _____ Pilot Program for the _____ at the _____. The awardee's completed this task using his own judgment and expertise in the successful organization, planning, and execution of the ___ Pilot Program. The awardee completed this assignment on schedule and within ___ funding constraints. This Pilot Program has broad application and well used as the model by other __ programs around the Department of Energy Complex to assess the Department of Energy Order Compliance. The awardee worked with other sites and kept _____ and the Department of Energy management well informed of his efforts and progress. The awardee management and leadership of this important project makes _____ a model that the rest of the Department of Energy should strive to follow.

The awardee's special act falls into the following categories:

Value of Benefit: High Value - The awardee efforts have a highly significant value to the ____ and the Department of Energy, in that he has provided a baseline for the status of the Department of Energy Order Compliance. In ____ efforts, the awardee has assured that action statements in safety significant Department of Energy Orders will be accounted for.

Extent of Application: Broad - Besides his highly valued efforts that affect the ____, the awardee initiated a one-time pilot program that will be the forerunner for the Department of Energy Order Compliance efforts at other ____ sites within the Department of Energy complex.

USE OF THE TIME OFF AWARD FOR A FACILITY REPRESENTATIVE

1. **BASIS.** This award may be granted, without loss of pay or charge to leave, in recognition of superior accomplishment or other personal effort (individual or group) that contributes to the quality, efficiency, or economy of Government operations. **A Time Off Award shall not convert to a cash payment under any circumstances, nor will it be used as a basis for restoring annual leave.** An example of a Time Off Award given to a Facility Representative is maintaining the workload and successfully completing a project assignment during a difficult period.
2. **PROCEDURES.**
 - o A Time Off Award cannot be granted for contributions already recognized.
 - o Unused time off awarded will be forfeited upon the employee's separation from the Department, or if unused after 1 year from the date of the award.
 - o The Time Off Award must be granted in whole hour increments, except in organizations serviced by a payroll office which allows leave to be used in smaller increments.
 - o Supervisors may grant Time Off Awards without further review or approval for periods not to exceed 1 workday. Supervisors are encouraged to allow employees to schedule the Time Off Award in a single absence.
 - o Time Off Awards for more than 1 workday must be approved by an official who is in the initiator's management chain at least one level of line management higher than the initiator.
 - o If the nomination is not initiated by the employee's immediate supervisor, the recommendation must be forwarded to the employee's immediate supervisor for concurrence.
 - o Time off must be scheduled and used within 1 year after the award is granted.
 - o Submit the nomination to your servicing personnel office for preparation of the SF-50, "Notification of Personnel Action."
3. **AWARD AMOUNT.** Full-time employees may be granted a maximum of 40 hours of time off from duty as an incentive award for any single contribution. The amount of time off should be determined based on consideration of the cash award that otherwise might be authorized for such employee contributions, e.g., award based on tangible or intangible benefits.

S A M P L E

TIME OFF AWARD JUSTIFICATION

Basis for Award

This recommendation for award is based on _____ exemplary performance in the administration of the Jacobs Engineering Group contract. _____ has implemented an effective contract administration process in order to ensure that the Department of Energy receives the services that are needed in an efficient and effective manner. Since contract award _____ has closely monitored contractor performance reports, implemented a task order tracking system, reviewed numerous subcontract consent packages and communicated on a regular basis with the Contractor and the Contracting Officer's representative to ensure that issues are identified, coordinated and adequately resolved. Her contribution is of sufficient value to merit formal recognition.

Wording for the Award Certificate

In recognition of exemplary performance in the administration of the _____ contract.

SECTION 6

PREMIUM PAY

FACILITY REPRESENTATIVE - PREMIUM PAY

Administratively Uncontrollable Overtime Work

When an employee who occupies a position in which the hours of duty cannot be controlled administratively and which requires substantial amounts of irregular or occasional overtime work, with the employee generally being responsible for recognizing, without supervision, circumstances which require the employee to remain on duty, the Director of Personnel may authorize premium pay on an annual basis instead of other premium pay (except premium pay for regular overtime work, and work at night, on Sundays, and on holidays.) This is normally referred to as administratively uncontrollable overtime (AUO) work. This premium pay, depending on the circumstances, is established at not less than 10 percent nor more than 25 percent of the employee's rate of basic pay.

An employee receiving premium pay for AUO work may not receive premium pay for irregular or occasional overtime work under any other authority. However, they are paid for regular overtime work, and work at night, on Sundays, and on holidays.

Normally, for an employee whose basic pay exceeds the minimum rate of basic pay for GS-10 (including locality-based comparability payment and any applicable special salary rate) the overtime hourly rate of pay is calculated to equal one and one-half times the hourly rate of the minimum rate of pay for GS-10. However, Public Law 101-173 removed that restriction for computing annual premium pay for AUO work. As a result, Office of Personnel Management issued regulations implementing that change. The GS-10, step 1 limit as the maximum base for computing annual premium pay for AUO work was removed and they also eliminated the requirement that annual premium pay for this type of work be limited to the amount of premium pay (exclusive of pay for regular overtime work) that would otherwise be payable.

However, the limitation on premium pay contained in title 5, U.S.C. 5547 is in effect. That provision permits payment of certain premium pay (including AUO work) only to the extent that the payment does not cause the aggregate rate of pay for any pay period to exceed the maximum rate for GS-15 (including locality based comparability payment and any applicable special salary rate.)

SECTION 7

CAREER PROGRESSION

FACILITY REPRESENTATIVE - CAREER PROGRESSION

General

Facility Representatives undergo an arduous process of competition and selection, extensive class room and on-site training, mentoring, and exposure to a variety of developmental and rotational assignments as they progress from entry levels (usually GS-12) through GS-13 full-performance to senior level, GS-14 positions, at highly complex, high-hazard nuclear and non-nuclear facilities. The technical requirements of these positions vary according to the nature and status of the research and technology programs carried out by the various DOE program offices from facility to facility and from site to site and are, therefore, to a great extent both technology and site specific. As a result, there is no one clear path, set of positions, or occupational series through which Facility Representatives will progress, even though the functional responsibilities of Facility Representatives conform, on the whole, to a standard pattern.

Summary of Functional Responsibilities by Grade Level:

GS-12 - Assignments are performed under the guidance of a senior Facility Representative and are essentially developmental in nature and with the purpose of providing the incumbent the necessary training and experience to assume full and independent responsibility as a certified DOE Facility Representative.

GS-13 - Performs the full range of Facility Representative duties, serving as line management's on-site technical representative with responsibility for identifying and evaluating environmental, safety and health issues and concerns, diagnosing root cases, and recommending both short- and long-term solutions to DOE site management.

GS-14 - Serves as senior technical authority on environmental, health, and safety aspects of facility operations at assigned facilities and sites. As line management's senior technical presence, makes critical, on-the-spot judgments regarding the safety of operations. Provides leadership and technical advice and assistance to lower-graded Facility Representatives with responsibility for directing and reviewing their activities, projects, and work products.

Advanced Career Opportunities:

The technical training, developmental assignments, and career experience of Facility Representatives provide knowledges, skills, and abilities which make them excellent candidates for higher-graded supervisory and managerial positions both at Headquarters and in the field. There are numerous technical program management positions in the professional and technical fields for which they qualify both at Headquarters and in the field. In addition, many GS-14 Facility Representatives function as team leaders or limited supervisors and will, therefore, have acquired requisite qualifying experience for supervisory and managerial positions. Also, senior Facility Representatives are excellent candidates for the Department's Executive Development Program.