

CPFF Summary Appraisal

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OAK RIDGE OPERATIONS  
CONTRACT ADMINISTRATOR APPRAISAL  
OF  
OAK RIDGE ASSOCIATED UNIVERSITIES  
CONTRACT NO. DE-AC05-76OR00033  
FOR THE PERIOD  
FY 1985

REPOSITORY Oak Ridge Operations  
Records & Bldg area  
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A-51-4 appraisals  
ORAU (R+ WMD) 85  
FOLDER CPFF Annual Summary

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*Richard K. ...*

## A. Introduction

This appraisal of the Oak Ridge Associated Universities (ORAU) was performed and compiled by the contract administrator and program staff of the Research and Waste Management Division of the Department of Energy (DOE) Oak Ridge Operations Office. The appraisal covers FY 1985 as the reporting period and represents an annual summary appraisal of ORAU performance under the DOE/ORAU Contract. Primary operating-type evaluations in this appraisal are based on frequent interactions with ORAU and DOE-HQ staff from the working level through top management during the fiscal year. This report also presents findings of ORO staff divisions on specific functional areas of performance.

## B. Management Summary and Conclusions

Overall performance of ORAU during FY 1984<sup>?</sup> was judged to be excellent, with some functional areas being superior and others being satisfactory. Cooperation from all levels of management with ORO was superior. Some areas needing further management attention and improvement are identified in the following summary appraisal discussion.

## C. Summary Appraisal Discussion

### 1. Program Planning

Planning continues to proceed smoothly. Fiscal program planning was excellent. Programmatic needs were anticipated, well-written proposals were submitted, and funding was obtained from various sources. However, although FY 1984 was the fifth year of institutional planning (IP), the IP still needs improvement, as discussed with ORAU. We anticipate improvement in the upcoming IP.

### 2. Program Management and Execution

Management and execution of programs continue to be excellent. As noted earlier, management cooperation by ORAU at all levels was superior. Overall program accomplishment was excellent. Milestones were met in good order (Attachment I). Significant program achievements are listed in Attachment II. A formal "customer satisfaction" survey of DOE-Headquarters program managers supporting work at DOE was conducted; results are shown in Attachment III. There has been an increase in customer satisfaction, with a relatively large number of "superior" ratings, over the past two years. The customer ratings for FY 1985 result in a mid-excellent category, which in general parallels the ORO evaluation. An appraisal by the ORO Research and Waste Management Division of program management and execution is summarized in the next section for each major area of work.

#### a. Medical and Health Sciences (MHSD)

Programs administered and executed by MHSD continue to be superior. Outstanding biomedical and radiation research attracts financial support from DOE and other organizations. During FY 1985, there was a heavy demand on the Center for Epidemiologic Research (CER) to supply

information, including oral presentations, to workers at various facilities. CER met those demands in a timely and exemplary manner. REAC/TS functioned admirably in its roles of a radiation emergency training center, a provider of information and assistance as needed in management of potential health problems associated with radiological emergencies, and as a consultant to legal counsel for forensic medical information. Cooperation within MHSB was excellent. The new Director continues to provide the high-quality leadership characteristic of the previous Director.

b. Institute of Energy Analysis (IEA)

The ORO overall rating for IEA has improved to excellent. Most customer satisfaction ratings also reflect this improvement, and those customers also indicated that IEA performance was "much better" or "slightly better" than other organizations doing comparable work for them. Coordination with ORO is now much better. Proposals and reports were generally well prepared and production of important reports was impressive. A residual problem remains with the CO<sub>2</sub> work. Overall performance was lower than that for last year, primarily because of inadequate realism in program planning and timeliness of reporting. Quality of technical results and reports remained high. Significant improvements in overall performance are expected due to increased responsiveness of the new management.

c. Manpower Research and Development (MERT)

Programs managed and executed by the Manpower, Education, Research and Training Division continue to be in the excellent category. The customer satisfaction ratings also were on the average in the excellent range. Programs in this category include radiological surveys for both DOE and NRC. Confidence in MERT is evidenced by a recent decision by the Division of Remedial Action Projects, DOE-HQ, to transfer the function for independent verification of FUSRAP sites from ORNL to ORAU-MERT. Other examples of excellent performance were the quick response and successful completion of the J. C. Haynes emergency decontamination work and the equally responsive action to perform environmental program reviews at NLO, RMI, Y-12, and ORNL. However, the environmental monitoring project for mercury decontamination in Oak Ridge has experienced some difficulties this year. The State has been highly critical of the QA/QC procedures being used in this project. As a result, this activity had to be placed on hold until resolution of the State's concerns. Other areas in the excellent category include technical assistance to the Office of Industrial Relations. As part of the work, the Training Resources and Data Exchange (TRADE) program has been recognized by various DOE offices as a very effective mechanism through which training resources and expertise are shared among DOE contractors. In view of the effectiveness of the program, ONS and OOS have joined OIS in supporting the program. Another program that has been growing rapidly is the technical assistance to ONS and OOS. During the year, the level of effort required in technical assistance was doubled from what was originally approved in the FTP/A. MERT

responsiveness to meet these needs was outstanding. Training programs for students and faculty from colleges and universities and manpower assessments for the Office of Energy Research were judged to be satisfactory.

d. University Programs

The University Programs Division performance is judged to be excellent. Customer satisfaction ratings also indicate that the programs administered by UPD were on the average in the high excellent range. Performance for the new Magnetic Fusion Energy Science Fellowship Program, as well as for the Minority Institution Research Travel (MIRT), was considered to be in the "superior" range. However, financial reporting for the latter of the two programs was one area requiring improvement. The MIRT Staff has provided guidance to UPD on improvements needed on this aspect. Other programs rated in the high excellent category were the Magnetic Fusion Energy Technology Fellowship Program and the NE Health Physics and Radioactive Waste Management Fellowship Program. The Fossil Energy Research Participation programs at PETC and METC have continued to grow, including expansion of these programs to the Pittsburgh Research Center under a DOE/DOI interagency agreement. The Professional Internship Program at METC and PETC experienced some problems due to internship appointments in nontechnical areas. UPD initial reaction was to defend this aspect of the program, which required ORO to direct modification of the program. Another area which required ORO intervention was in the Traveling Lecture Program, where specific direction was needed to limit the lecture topics to only those of scientific and technical nature. The DOE/University Laboratory Cooperative Program and the support to the University Instrumentation Programs was satisfactory. UPD performance in the Historically Black Colleges and Universities Programs is also another area where some improvements are needed. Some aspects of concern were lack of timely communication to ORO relative to problems in placing faculty and students with certain DOE laboratories; outreach efforts are needed to assure that HBCU potential participants become familiar with research areas before they submit proposals, and also follow-up is needed on those proposals that were not successful. However, we are aware that some difficulties experienced were beyond the control of ORAU and that steps are already being taken to prevent the recurrence of some of these problems. UPD is going through very definite expansion efforts which will broaden the technical areas in which appointments can be made. Various new programs being entered into through interagency agreements include development of Artificial Intelligence Applications to Navy training, support to the U.S. Army Research Institute, Science Teachers Program for NSF, and Research Participation Program for the National Center of Toxicological Research. ORAU should ensure that the rapid expansion of the University Programs Division does not detract from the excellent progress manifested in FY 1985.

e. Work for Others

The overall evaluation of Work for Others is excellent. Well-prepared,

timely proposals almost invariably were related to and complemented DOE programmatic missions. Submission of formal proposals to organizations other than DOE normally follows established procedures. Budgetary matters were handled very effectively. Publications generally were of a high caliber.

3. Facility, Equipment, Personnel and General Administration

a. Equipment and Facility Maintenance

The rating for equipment and facility maintenance has decreased to satisfactory. The Office of Technical Services complied well with DOE regulations on real property maintenance management, and upper-level management was apprised of deficiencies. But, maintenance management needs to become more effective by provision of real-time information.

b. Equipment Acquisition

Performance continues to be excellent. Early, careful planning, with due attention to priorities of programs and general-purpose activities resulted in orderly acquisition of equipment.

c. Facility Improvements and Acquisition

Overall performance was excellent. Accomplishment of work for the ORO Computer Facility was outstanding. Similarly, renovations of the Turnpike Building for ORO were timely and well done. Improvements in the main Scarboro Building were noted, and ORO should continue to upgrade buildings as funds are available. One relatively minor unsatisfactory occurrence was a delay of four months in provision of a completed form for demolition of a building.

d. Personnel Resource

Overall rating for personnel resources is satisfactory. The compensation and benefits program is generally well administered, but more attention is needed for establishment of a suitable salary survey process. The EEO program is generally satisfactory, but improvements are needed for employment and advancement of minorities. Staff resources of personnel are sufficient. Reports are usually timely and complete.

e. General Administration

The overall rating for fiscal, personnel, information, and management organizations is excellent. Research, education and related work were well-supported. Compliance with DOE regulations and policies was commendable. Delays in arrangements for safety responsibilities and equipment storage for ATDD (ATDL) were unsatisfactory.

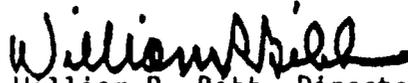
4. Costs

ORAU exhibited excellent fiscal management in controlling costs within their

financial plan. A summary of the FY 1985 financial plan and actual costs and projections for FY 1986 is given in Attachment IV.

5. Summary of ORO Staff Divisions

This appraisal of functional areas is provided in Attachment V.



William R. Bibb, Director  
Research and Waste Management Division

Attachments:

1. Milestones
2. Significant Program Achievements
3. ORO Customer Satisfaction Survey
4. Financial Plan: 1984-1986
5. Summary Appraisals by ORO Staff Division

ATTACHMENT I

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MILESTONE ACHIEVEMENT  
OAK RIDGE ASSOCIATED UNIVERSITIES  
FY 1985

A total of twenty-three milestones was selected by ORO for tracking during FY 1985. Of this number, nineteen met the originally established target dates. When the two "no fault of contractor" slippages are disregarded, ninety-one percent were met.

Customer feedback indicates a substantial increase in satisfaction with milestone completion. However, this category was one of the lowest in the ratings. Continuing attention by ORAU management to this important area is suggested.

Manpower Education, Research, and Training Division

Milestone

1. Conduct and staff a human resources development conference for DOE and contractor personnel.
2. Provide technical consultants to support ONS appraisals of Savannah River, Idaho, and Albuquerque Operations Office.
3. 1985 Energy Related manpower report/draft.
4. Provide training in energy-related areas for about 430 undergraduates, faculty, and DOE contractor personnel.
5. Complete sampling, analysis, and report for Weldon Springs and NFSS.

Status

Date Due

Completed on time.

October 1984

- Completed ALO appraisals in June 1985. SRO and IDO appraisals rescheduled by ONS to FY 1986.

November 1984  
March 1985  
June 1985

Completed August 1985.

September 1985

Completed on time -  
535 participants

September 1985

Completed on time.

September 1985

Medical and Health Sciences Division

<u>Milestone</u>	<u>Date Due</u>	<u>Status</u>
1. Complete cytogenetic evaluations of radiation-induced lesions in human blood exposed to fission neutrons from "Little Boy" assembly.	April 1985	Completed on time.
2. Complete cytogenetic evaluations for 150 cervical cancer patients and 150 persons who received multiple fluoroscopies 20-30 years ago.	June 1985	Completed on time.
3. Complete report on studies of gastrointestinal absorption of <sup>241</sup> Am in orally exposed swine.	June 1985	Completed on time - one paper in press and one submitted
4. Complete initial retrospective mortality analyses for five populations [Y-12/TEC, Y-12/UCC, X-10, ORFCOM II (Phase I)] of workers at DOE Oak Ridge Facility.	September 1985	Y-12/UCC and X-10 completed. Unexpected problems with other cohorts.
5. Screen four alkyl phospholipid analogs to search for potent cytotoxic compounds and selective tumor killing in four cell types.	September 1985	Completed on time.
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University Programs Division		
1. Prepare and distribute FY 1985 program announcements descriptions, and applications.	December 1984	Completed on time.
2. Receive, process, and administratively review applications from individuals and institutions. Convene applicable review panels.	March 1985	Completed on time.
3. Make appointments and assure that they are within established policies and guidelines. Make appropriate payments to participants.	August 1985	Completed on time.
4. Initiate program review and evaluation and preparation of annual progress reports.	September 1985	Completed on time.

Institute for Energy Analysis

<u>Milestone</u>	<u>Date Due</u>	<u>Status</u>
1. Report on Electrification Trends in the Pulp and Paper Industry.	November 1984	Completed on time.
2. Natural Gas Data "Redbook" Report (Vol. 1)	January 1985	Completed on time.
3. Report on Uncertainty in Modelling Future Carbon Dioxide Emissions.	February 1985	Completed on time.
4. Report on Electronic Information Management and Productivity.	March 1985	Completed on time.
5. Report on Financial Position of Natural Gas Industries.	May 1985	Completed on time.
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University Isotope Separator - Oak Ridge Facility		
1. Complete annual report.	December 1984	Completed on time.
2. Test on-line new ion source.	December 1984	Completed on time. Used in actual experiments.
3. Order nuclear orientation facility.	March 1985	Order cleared by DOE in mid-April.
4. Develop Resonance Ionization Spectroscopy.	June 1985	Test completed. An additional \$5K needed to improve experimental conditions.

ATTACHMENT II

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SIGNIFICANT PROGRAM ACHIEVEMENTS

MHSD: Establishment of an Occupational Medical Program and inclusion of the CIRRPC Program

MHSD: Designation of REAC/TS as the WHO Collaborating Center for Radiation Emergency Assistance

MERT Division: Preparation of a videotape and an inventory on technical training programs for the Training Resources and Data Exchange (TRADE) Program

MERT Division: Completion of the 1984 Energy-Related Manpower Report of interest to DOE

University Programs Division: One hundred and ten academic institutions approved either for participation in DOE fellowship or travel lecture programs

University Programs Division: Interagency agreements signed with the U.S. Navy and FDA, and the Pittsburgh Research Center, Department of the Interior, added as a cooperating government facility

UNISOR: First successful measurement of an atomic hyperfine structure with the use of the UNISOR laser facility

UNISOR: Order placed for a helium dilution refrigerator to be placed on-line to UNISOR, with cost being shared by several universities, UNISOR, ORNL, and DOE

Institute for Energy Analysis: Completed the Natural Gas "Redbook" and the Uncertainty in Modelling Future Carbon Dioxide Reports

ATTACHMENT III

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ORO CUSTOMER SATISFACTION SURVEY  
OAK RIDGE ASSOCIATED UNIVERSITIES

In this "customer satisfaction" survey, twenty-three DOE-Headquarters Program Managers (customers) provided ratings of ORAU in the following critical program execution areas:

	<u>Average Ratings</u>
Quality of Results	3.96
Quality of Staff Assigned	4.00
Quality of Program Planning	3.65
Quality of FTP/A's	3.54
Realism of Plans and Proposals	3.74
Responsiveness to Changes	4.09
Schedule/Milestone Performance	3.57
Reports/Papers Quality	3.82
Reports/Papers Timeliness	3.82
Cost and Budget Control	3.81
Program/Project Management	3.87
Support from ORAU Management	3.91
Creativity	3.96
Enthusiasm	4.15

With a rating system where superior is 4.5 - 5.5, excellent is 3.5 - 4.5, satisfactory is 2.5 - 3.5, etc., the combined results showed a composite average of 3.85, which is in the mid-excellent category. This is a commendable ranking and demonstrates improvement over the lower-excellent rating of the last customer satisfaction survey. In comparison with similar programs elsewhere, seven program managers evaluated ORAU programs as "much better," six as "slightly better," six as "about the same," and one "slightly poorer." Three program managers abstained from comparisons. A more detailed analysis of the survey is provided in Table I.

Table 1: Number of Responses\*

Rating

Program Execution  
Areas:

Quality of Results

Quality of Staff Assigned

Quality of Program Planning

Quality of FTP/A's

Realism of Plans and Proposals

Responsiveness to Changes

Schedule/Milestone Performance

Reports/Papers Quality

Reports/Papers Timeliness

Cost and Budget Control

Program/Project Management

Support from ORAU Management

Creativity

Enthusiasm

	Superior	Excellent	Satisfactory	Marginal	Unsatisfactory
Quality of Results	5	12	6	0	0
Quality of Staff Assigned	4	15	4	0	0
Quality of Program Planning	1	13	9	0	0
Quality of FTP/A's	0	13	8	1	0
Realism of Plans and Proposals	3	11	9	0	0
Responsiveness to Changes	7	11	5	0	0
Schedule/Milestone Performance	2	8	11	0	0
Reports/Papers Quality	3	12	7	0	0
Reports/Papers Timeliness	4	11	6	1	0
Cost and Budget Control	5	8	7	1	0
Program/Project Management	2	16	5	0	0
Support from ORAU Management	4	13	4	1	0
Creativity	7	8	6	1	0
Enthusiasm	7	9	4	0	0

\*A few Headquarters' Program Managers did not rate certain areas which did not pertain to their programs.

ATTACHMENT IV

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## ATTACHMENT IV

OAK RIDGE ASSOCIATED UNIVERSITIES  
FINANCIAL PLAN - ACTUAL COSTS  
OPERATIONS

	<u>FY 1984</u>		<u>FY 1985</u>		<u>FY 1986</u>
	<u>Financial</u>	<u>Actual</u>	<u>Financial</u>	<u>Actual</u>	<u>Estimated</u>
	<u>Plan</u>	<u>Costs</u>	<u>Plan</u>	<u>Costs</u>	<u>Estimated</u>
	(\$ in Thousands)				
<u>Programs</u>					
DOE	11,675	10,900	14,189	13,600	14,600
Other Federal Agencies	2,234	2,161	3,200	2,900	4,800
Work For Others	1,798	1,798	418	750	700
Transfers to	<u>3,199</u>	<u>3,193</u>	<u>4,422</u>	<u>4,300</u>	<u>4,300</u>
Subtotals	18,906	18,052	22,229*	21,550	24,400
<u>Deductions</u>					
Pass Through	-3,940**	-3,940	-4,600	-4,550	-5,300
Transfers from	<u>-2,111</u>	<u>-2,071</u>	<u>-1,402</u>	<u>-1,375</u>	<u>-1,400</u>
Subtotals	-6,051	-6,011	-6,002	-5,925	-6,700
Total - ORAU Programs	<u>12,855</u>	<u>12,041</u>	<u>16,227</u>	<u>15,625</u>	<u>17,700</u>

\* Includes carryover funds.

\*\* Not in financial plan, actual costs used.

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ATTACHMENT V

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Attachment V

Summary of Appraisals  
by  
ORO Staff Organizations  
for  
Oak Ridge Associated Universities  
for  
FY 1985

Staff Organization

Functional Area

Rating

Finance Division

Financial Management

Superior

ORAU's management continues to maintain a high level of efficiency in reporting Financial Information Sub-system data, Letter of Credit, Certificate of Deposits, and accounts receivable information. Accounting procedures are continuously reviewed and updated to comply with DOE policy. Special requests for data are submitted promptly with accurate and reliable information.

Planning and Budget  
Division

Budget Activities

Satisfactory

ORAU maintains an effective and efficient budget formulation and execution system. Consistent with DOE guidance, development of comprehensive budgets and long-range projections provide a satisfactory source for determining and obtaining financial resources for mission accomplishment.

Environment,  
Safety, and  
Health Division

Industrial and Construction Safety

Excellent

The program complies with intent of DOE Orders and established performance criteria (except in reduction of lost workday cases). All recommendations from previous appraisals were closed, but two new recommendations were made as a result of the safety appraisals.

Fire Protection

Excellent

ORAU experienced no reportable fire loss. Several needed accomplishments were accomplished regarding fire alarm upgrading, housekeeping, electrical upgrading, and internal audit system. Some minor upgrading for automatic sprinkler systems at the former CRBR building is needed and will require expenditures.

Industrial Hygiene

Satisfactory

The Industrial Hygiene Manual is well written and implementation will provide identification, evaluation, and control of potential health hazards in the work-place environment. Three recommendations remained open from a previous appraisal, with new recommendations made in the areas of communications between the ORNL Medical Department and OSH, fit testing for respirator wearers, routine monitoring, health and safety facility review, and recordkeeping.

Health Physics

Satisfactory

Progress has been achieved in program documentation, labelling, and storage of radioactive materials. Radiation exposures continue to be maintained well below DOE standards. Four previous recommendations remain open, two from 1981. New concerns from the FY 1985 appraisal are disposition of LDRF and VDRIF and inclusion of REAC/TS in the internal audit program.

Environmental Protection

Satisfactory

During FY 1985, ORAU responded to an inspection report from the Tennessee Department of Health and Environment. Two minor wastewater management problems were identified. ORAU staff was cooperative and helpful, but was not aggressive about developing practical solutions.

Engineering Division      Engineering and Construction

Experience was limited to a single GPP project, which is not sufficient experience to perform a detailed evaluation. However, on this project (the ORO Computer Facility), ORAU did an outstanding job in providing technical criteria and design review and in providing construction management and inspection services. It was largely due to ORAU's efforts that an optimistic schedule was met, thus, allowing a critical operational need to be satisfied.

Procurement and  
Contracts Division

Property Management

Excellent

Day-to-day contacts and review of reports indicate that the property management activity continues to be excellent and effectively supports plant operation.

Quality and  
Reliability  
Division

Maintenance Management

Satisfactory

The Office of Technical Services has done a good job in complying with DOE/ORO Order 4330.4, Real Property Maintenance Management. Facility deficiencies have been identified by OTS and addressed to upper management. However, the maintenance management system needs to provide real-time information to manage the program more effectively.

Quality Assurance

Satisfactory

A recent review of the QA Program identified need for QA committee meetings for training and sharing ideas and resources. ORO will keep ORAU advised of available QA resources and training material. The Quality Circle Program established in two areas at ORAU has been successful in improving communications and solving work area problems.

Information  
Resources  
Management  
Division

Telecommunications

Superior

ORAU thoroughly adhered to national and ORO procedures and conducted effective reviews to support requirements. Management completely endorses ORO objectives and appropriately responds to no-notice solicitations for specifications in a timely and professional manner. Telecommunications Long-Range Plan submissions are stringent and precisely demonstrate present and future applications.

ADP

Superior

ORAU consistently demonstrates the best in ADP management. ADP is extremely well-controlled without imposing excessive restraints on users or incurring excessive costs. There is a well defined assignment of responsibility and authority that staff members understand and exercise in a professional manner.

Transportation Operations and  
Traffic Management

Excellent

ORAU staff has provided excellent support to DOE through participation in the Contractor Traffic Management Association activities, participation in development of commercial carrier rate discount negotiation strategies and assistance in development and implementation of carrier evaluation/selection criteria for ORO and HQ.

Technical  
Information  
Officer

Technical Information (TI) Management

Excellent

An on-site appraisal found ORAU's TI staff knowledgeable of the latest DOE TI policies and utilizing existing DOE TI services. Progress has been made on the appraisal's recommendation for centralizing the management of TI and library systems. Further efforts are needed to improve communication of TI policies to staff members and to centralize the libraries' document catalog system. During FY 1985, ORAU issued three Technology Application Bulletins.

Organization and  
Personnel Division

Industrial Relations

Satisfactory

The compensation and benefits program is generally well administered; however, efforts to arrive at a more satisfactory salary survey mechanism needs to continue. Some progress was made on reaching consensus on basic survey issues. Results achieved in employment and advancement of women are outstanding. Improvements can be made in employment and advancement of minorities.

ORAU has agreed to shorten its long-term hiring goal for Officials' and Managers' Category C from five to three years and to more aggressively seek qualified minority candidates for professional Category A. ORAU's staff resources in personnel are sufficient. Required reports are generally complete and timely.