



**DEFENSE NUCLEAR FACILITIES
SAFETY BOARD**

Washington, DC 20004-2901

NOTICE FROM THE CHAIRMAN

The enclosed Defense Nuclear Facilities Safety Board FY 2020 Congressional Budget Request and FY 2018 Annual Performance Report is hereby provided as required by the Office of Management and Budget Circular A-11 and the GPRM Modernization Act of 2010.

42 U.S.C. § 2286.(c)(2) directs that, "...the Chairman shall be the chief executive officer of the Board and, subject to such policies as the Board may establish, shall exercise the functions of the Board...." On March 18, 2019, a motion before the Board to approve the enclosed document failed due to lack of quorum. Given that failure of the Board to establish a policy, I am providing it exclusively under my statutory authority as Chief Executive Officer.

A handwritten signature in cursive script that reads "Bruce Hamilton".

Bruce Hamilton
Chairman

FY 2020
Congressional Budget
Request

FY 2018
Annual Performance
Report



Defense Nuclear
Facilities Safety Board

March 18, 2019

GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA) MODERNIZATION ACT

GPRA Strategic Planning Reporting Requirements

The GPRA Modernization Act of 2010 requires each agency to make available on its website a strategic plan establishing general strategic goals and objectives for a period of not less than four years. The Defense Nuclear Facilities Safety Board's (Board) Strategic Plan for Fiscal Years (FYs) 2018-2022 is available on the Internet at www.dnfsb.gov. In addition, agencies are required to develop an Annual Performance Report (APR) that provides information on the agency's progress achieving the goals and objectives described in the Strategic Plan and Annual Performance Plan (APP). The Board's FY 2018 APR, and the FY 2020 APP are included in this Budget Request in accordance with the requirements of the Office of Management and Budget Circular A-11.

Defense Nuclear Facilities Safety Board

FY 2020 Congressional Budget Request • FY 2018 Annual Performance Report

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PROPOSED APPROPRIATIONS LANGUAGE

Salaries and Expenses

For expenses necessary for the Defense Nuclear Facilities Safety Board in carrying out activities authorized by the Atomic Energy Act of 1954, as amended by Public Law 100-456, section 1441, \$29,450,000, to remain available until September 30, 2021.

FY 2020 REQUEST EXECUTIVE SUMMARY

The Board requests \$29,450,000 and 100 full-time equivalents (FTEs) to carry out its mission in FY 2020. This is a five percent decrease from the agency's FY 2019 appropriation level of \$31,000,000.

The Board's foundation is built on the expertise of its Board members and its staff in support of the Board's mission, and approximately two-thirds of the Board's annual budget is dedicated to salaries and benefits. The Board will be executing a staffing plan focusing on selected attrition and strategic hires.

The Board's FY 2020 request also includes maintaining recently-enhanced cybersecurity and physical security, investing in secure communications, and continuing to focus on Senior Executive training and employee engagement. These investments enable the staff to do mission-critical work more efficiently and effectively, while protecting sensitive information and providing appropriate transparency.

Operating Expense Summary

	FY 2018 Actual	FY 2019 Plan	FY 2020 Request
Budget Authority	31,000	31,000	29,450
Obligations	29,805	32,260	32,302
Outlays	29,048	30,324	30,364

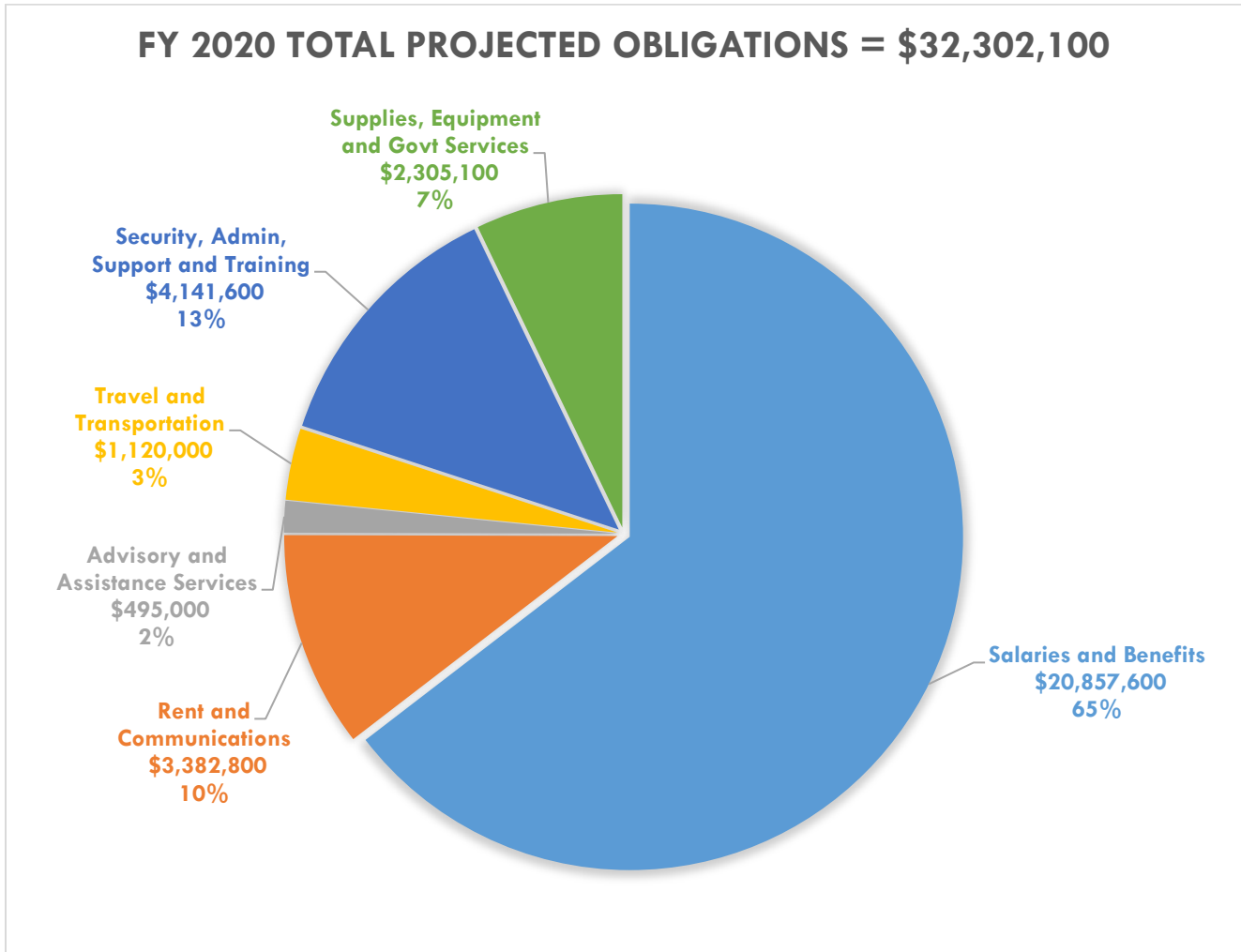
Numbers in thousands

Personnel Summary

	FY 2018 Actual	FY 2019 Plan	FY 2020 Request
Statutory Personnel (FTE) Ceiling	130	130	130
FTE Usage	102	102 ¹	100

¹ The DNFSB voted on August 14, 2018 to authorize the implementation of organizational and functional reform actions. However, Congress prohibited the use of FY 2019 (or prior years) appropriated funds to implement any reform and reorganization plan of the DNFSB (Energy and Water Development and Related Agencies Appropriations Act of 2019, H.R. 5895) unless specifically authorized by Congress.

FY 2020 Projected Obligations by Major Category



THE MISSION

Mission Statement

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

42 U.S.C. § 2286a(a)

The Board's Legislative Mandate

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

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

- The Board shall make such recommendations to the Secretary of Energy with respect to Department of Energy defense nuclear facilities, including operations of such facilities, standards, and research needs, as the Board determines are necessary to ensure adequate protection of public health and safety. In making its recommendations, the Board shall consider, and specifically assess, risk (whenever sufficient data exists), and the technical and economic feasibility of implementing the recommended measures.

FY 2018 – 2022 Strategic Plan²

Principles

- Efficiently and effectively accomplish independent investigative and oversight functions as described in the enabling statute;
- Conduct operations in a manner that is accountable, fostering an organizational culture that relies on high standards of integrity, fiscal responsibility, and operational proficiency;
- Develop and sustain the respect and confidence of the public through expertise and execution of the mission.

Goal 1

Independent review of content and implementation of standards relating to the design, construction, operation, and decommissioning of defense nuclear facilities.

Goal 2

Investigation of any event or practice at defense nuclear facilities, which the Board determines adversely affects or may adversely affect public health and safety.

Goal 3

Systematic analysis of design and operational data.

Goal 4

Timely review of design of new defense nuclear facilities before construction and periodically, thereafter.

Goal 5

Proposal of Recommendations to the Secretary of Energy when determined necessary to ensure adequate protection of health and safety.

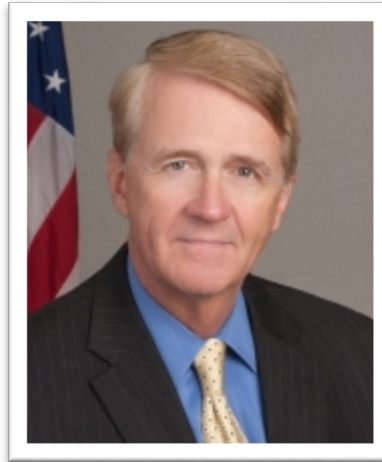
Goal 6

Achievement of mission in a manner that is accountable and transparent to the public and achieves the mission efficiently and effectively.

² The Board is revising the FY 2018 – 2022 Strategic Plan, which may impact the goals, performance plans, and associated metrics.

ORGANIZATIONAL STRUCTURE

The five-member Board³ leads the agency in accomplishing its mission and determines actions regarding the safety aspects of the design, construction, operation, and decommissioning of DOE's defense nuclear facilities.



CHAIRMAN

Mr. Bruce Hamilton



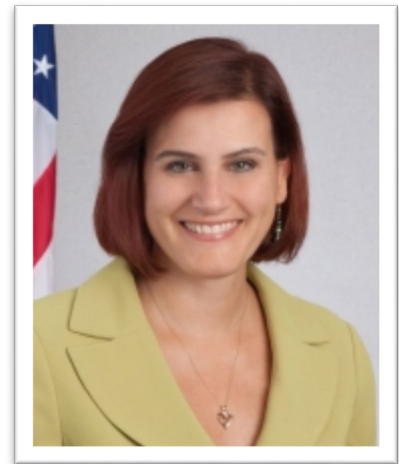
Board Member

Ms. Jessie Hill Roberson



Board Member

Mr. Daniel J. Santos



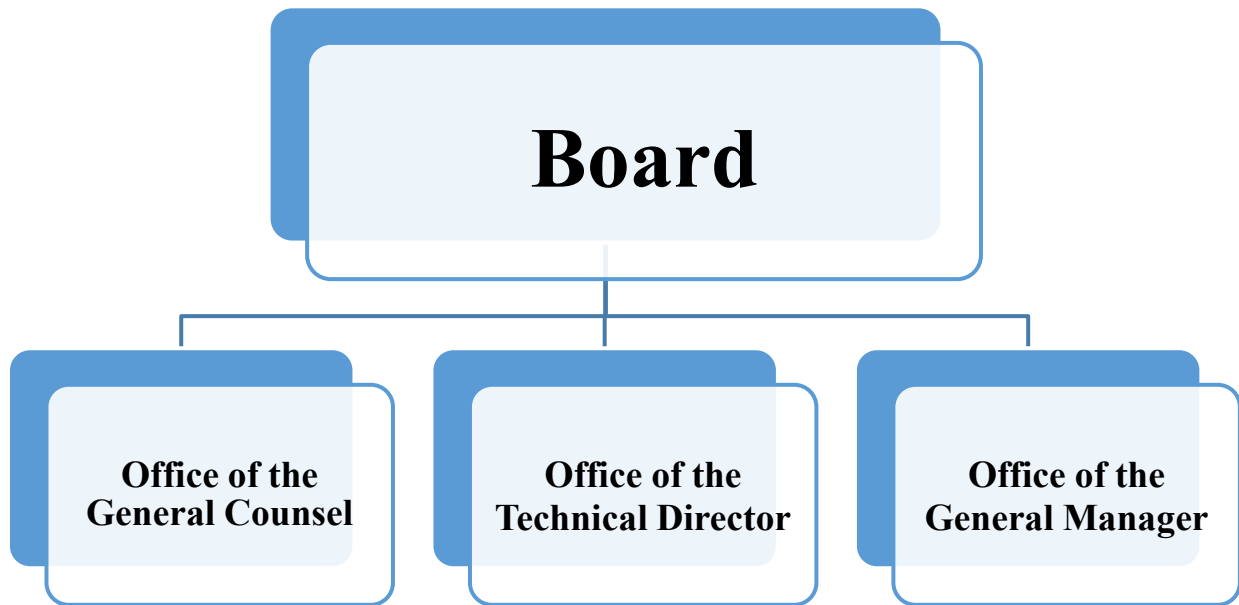
Board Member

Ms. Joyce L. Connery

³ There is currently one vacancy on the Board.

Organizational Chart

The Board is currently composed of approximately 100 federal FTEs arranged in three offices under the five-member board. The majority of FTEs are assigned to the Office of the Technical Director (OTD), where they directly carry out the mission of the Board, supported by the Office of the General Manager (OGM) and the Office of the General Counsel (OGC).



FY 2020 BUDGET RESOURCE REQUEST SUMMARY

Obligations by Fiscal Year

Budget Account -- OC	FY 2018 Actual	FY 2019 Financial Plan	FY 2020 Budget Request
PERSONNEL SALARIES -- (11)	14,550,500	15,070,400	15,210,800
PERSONNEL BENEFITS -- (12)	4,903,700	5,088,600	5,646,800
BENEFITS FOR FORMER PERSONNEL -- (13)	-	-	-
TRAVEL -- (21)	914,800	1,143,700	1,067,600
TRANSPORTATION OF THINGS -- (22)	52,000	22,100	52,400
RENTAL PAYMENTS TO GSA -- (23.1)	2,986,200	3,052,500	3,066,100
COMMUNICATIONS & UTILITIES (23.3)	373,900	307,100	316,700
PRINTING & REPRODUCTION -- (24)	15,100	15,100	15,100
ADVISORY & ASSISTANCE SERVICES -- (25.1)	350,900	495,000	495,000
OTHER SERVICES -- (25.2)	4,335,600	4,474,600	3,949,600
GOVERNMENT SERVICES -- (25.3)	1,028,000	1,293,300	1,324,300
OPERATION & MAINT.OF FACILITIES -- (25.4)	22,000	67,000	69,500
OPERATION & MAINT.OF EQUIPMENT -- (25.7)	102,000	102,000	107,400
SUPPLIES & MATERIALS -- (26)	287,500	312,500	323,800
ACQUISITION OF ASSETS -- (31)	484,100	816,000	657,000
TOTAL OBLIGATIONS	30,405,800	32,259,900	32,302,100
NEW BUDGET AUTHORITY	31,000,000	31,000,000	29,450,000
UNOBLIGATED BALANCE - PREV. FY	3,575,700	4,628,500	3,868,600
RECOVERY OF PRIOR YEAR OBLIGATIONS	458,600	500,000	500,000
TOTAL BUDGETARY RESOURCES	35,034,300	36,128,500	33,818,600
EST. UNOBLIGATED BAL. - CUR. FY	4,628,500	3,868,600	1,516,500
OUTLAYS	28,581,500	30,324,400	30,364,000
STAFF & BOARD MEMBERS (FTE)	102	102	100

FY 2020 Budget Request Justification Highlights

Salaries and Benefits (OC 10)

The FY 2020 request includes funding of \$20,857,600 to support the projected salary and benefit costs for 100 FTEs. The funding for salaries and benefits represents 65 percent of the Board's FY 2020 estimated obligations. In calculating the projected salary and benefits needs of the Board, the following federal pay adjustment and benefits factors for executive branch employees are used:

- Civilian pay freeze in January 2020
- Employee benefits of 37 percent of salaries, or approximately \$56,468 per FTE in FY 2020

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

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

The Board also has 10 resident inspectors on staff that provide a cost-effective means for the Board to closely monitor DOE activities, and to identify health and safety concerns promptly by conducting first-hand assessments of nuclear safety management at the priority sites. Resident inspectors regularly interact with the public, union members, congressional staff members, and public officials from federal, state, and local agencies.

Travel (OC 21)

The Board requests \$1,067,600 to support the official travel of Board members and staff. Extensive travel to the various DOE defense nuclear facilities located throughout the United States is necessary for Board members and staff to conduct first-hand assessments of operations and associated health and safety issues. In order to fulfill its mission, the Board assigns technical staff teams to near-continuous monitoring of major startup, testing, restart, or other activities at various DOE sites.

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

Transportation of Things (OC 22)

The Board has included \$52,400 in its FY 2020 Budget Request for the shipment of household goods for employees relocating to the Washington, D.C. area and/or becoming Resident Inspectors at DOE facilities.

Rental Payments to GSA (OC 23.1)

The Board requests funds totaling \$3,066,100 to reimburse the Government Services Administration (GSA) for projected office rental costs based on the rent estimate received from GSA, and projected rent estimate for new Resident Inspector offices at current DOE facilities. This overhead expense represents approximately 9 percent of the Board's FY 2020 estimated obligations. The Board entered into a 10-year lease in March 2016 for its headquarters in Washington, D.C.

Communications and Utilities (OC 23.3)

The Budget Request includes \$316,700 for projected communications support costs. Funds in this account will be used for voice over internet protocol telephone service, smartphone services, Internet access charges (both at the Board's headquarters and its alternate continuity of operations (COOP) location), postage and overnight delivery costs, and special messenger services. The physical COOP space is located at a DOE facility, and all costs necessary for maintaining the readiness of the alternate location are included under this OC.

Printing and Reproduction (OC 24)

The Budget Request includes \$15,100 for reimbursing the U.S. Government Printing Office for publication of required legal notices in the Federal Register. Routine printing and copying charges for Budget Requests, the Board's Annual Report to Congress, and technical reports, are also included in this account.

Advisory and Assistance Services (OC 25.1)

FY 2020 Budget Request includes \$495,000 for training of the Board's engineers and scientists, as well as technical service contracts.

Other Services (OC 25.2)

The Budget Request includes \$3,949,600 to fund a wide range of recurring information technology and administrative support needs of the Board in FY 2020 in such areas as physical and cyber security, information technology, recruiting, court reporting, drug-free workplace testing, and training of the Board's professional and administrative staff, including members of the Senior Executive Service.

Government Services (OC 25.3)

The Budget Request includes \$1,324,300 for reimbursable support agreements with other Federal agencies, and increases in other government service provider costs. The Board uses cross-servicing arrangements for physical security, accounting and payroll processing services, health unit, employee background investigations for security clearances, and Employee Assistance Program services.

Operation and Maintenance of Facilities (OC 25.4)

The Board requests \$69,500 for maintaining the Board's facilities (e.g., heating, ventilation, and air conditioning maintenance; building alterations; and plumbing repairs outside the scope of the building lease).

Operation and Maintenance of Equipment (OC 25.7)

The Board requests \$107,400 for maintaining and repairing Board equipment (e.g., IT systems, copier maintenance agreements, repair of office equipment), and for storage of household goods associated with a permanent change of station.

Supplies and Materials (OC 26)

The Board requests \$323,800 for continued access to numerous technical standards databases, legal research services, IT system components, and general office supplies and materials.

Acquisition of Assets (OC 31)

The Board requests \$657,000 in acquisition of assets, primarily for IT equipment and software supporting the Board's operations, such as investment to enhance secure communications, minor enhancements to existing software systems, and replacement of end-of-life office equipment.

FY 2018 ANNUAL PERFORMANCE REPORT / FY 2020 ANNUAL PERFORMANCE PLAN

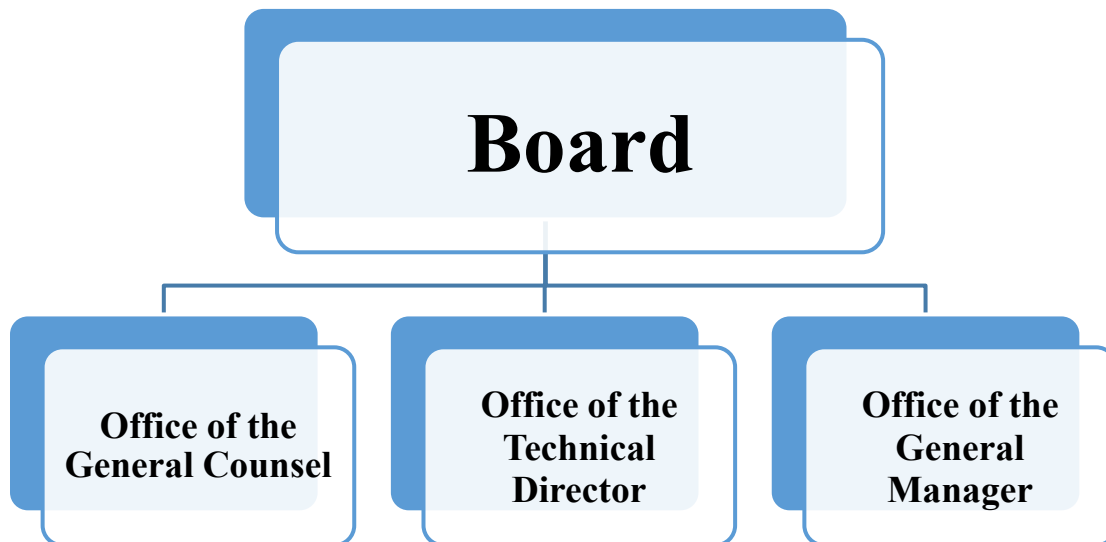
Overview

The Board's FY 2018 APR and FY 2020 APP are aligned with the Strategic Plan for FYs 2018-2022 and are included as an integral part of the FY 2020 Budget Request.

Mission Statement

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

Organizational Structure



Strategic Goals and Strategic Objectives

The Board's Strategic Plan for FYs 2018-2022 sets forth a broad vision of how the Board will fulfill its statutory mission to "provide independent analysis, advice, and recommendations to the Secretary of Energy to inform the Secretary, in the role of the Secretary as operator and regulator of the defense nuclear facilities of the Department of Energy, in providing adequate protection of public health and safety at such defense nuclear facilities."

GOAL 1

Independent Review of content and implementation of Standards relating to the design, construction, operations, and decommissioning of defense nuclear facilities.

Strategic Objective 1.1—Perform independent oversight of the development of nuclear safety standards by the Secretary of Energy in providing adequate protection of public health and safety at defense nuclear facilities.

Strategic Objective 1.2—Perform independent review of the implementation of DOE regulations, requirements, and guidance for providing adequate protection of public health and safety at defense nuclear facilities through observing, monitoring, and assessing implementation of standards in all phases from design and construction, to operations, to decommissioning of defense nuclear facilities.

Strategic Objective 1.3—Perform cross-cutting analysis of the effectiveness of DOE standards, regulations and guidance across the complex to ensure the adequate protection of public health and safety.

GOAL 2

Investigation of any event or practice at defense nuclear facilities which adversely affects or may adversely affect public health and safety. The purpose of the Board investigation shall be to:

Strategic Objective 2.1—Ensure adequacy of standards implementation.

Strategic Objective 2.2—Ascertain information concerning circumstances of an event or practice and implications for public health and safety.

Strategic Objective 2.3—Ascertain the extent of events and practices at defense nuclear facilities that could impact health and safety.

GOAL 3

Systematic analysis of design and operational data.

Strategic Objective 3.1—Independently conduct systematic analysis on design and operational data, including safety analysis reports, from defense nuclear facilities to identify practices and patterns that may indicate designs or operations that, as implemented, may adversely affect public health and safety.

Strategic Objective 3.2—Independently obtain and analyze data related to the safe operations.

GOAL 4

Timely Review of design of new defense nuclear facilities before construction and periodically, thereafter.

Strategic Objective 4.1—Independently review the design of a new defense nuclear facility before construction begins and recommend, within a reasonable time, such modifications as the Board considers necessary to ensure adequate protection of public health and safety.

Strategic Objective 4.2—Periodically review and monitor the construction of defense nuclear facilities and submit information to the Department of Energy the Board considers necessary for the Department to ensure adequate protection of public health and safety.

GOAL 5

Proposal of Recommendations to the Secretary of Energy when determined necessary to ensure adequate protection of health and safety.

Strategic Objective 5.1—When determined as necessary to ensure adequate protection, high-quality Recommendations will be prepared that are technically sound with sufficient risk analysis and technical and economic feasibility of implementation provided.

GOAL 6

Achievement of mission in a manner that is accountable and transparent to the public and achieves the mission efficiently and effectively.

Strategic Objective 6.1—Apply management controls to achieve the Board's mission efficiently and effectively. Apply them in a manner consistent with the Board's enabling statute with respect to the duties of the Board as a whole, the Chairman, and individual Board Members. Such duties include maintaining adequate human resources, physical infrastructure, information technology systems, financial management, acquisition procedures, and legal support to advance program mission goals while providing sufficient and effective security for personnel, facilities and information.

Strategic Objective 6.2—Align human capital strategies with agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of human capital programs.

Strategic Objective 6.3—Communicate effectively and transparently with the Board's stakeholders on Board safety issues in DOE's defense nuclear complex, on the Board's operations, and all Board Member views.

FY 2018 Performance Summary

Goal 1—Nuclear Safety Standards	FY 2018 Target	FY 2018 Results
Independent reviews of nuclear safety standards.	1	4
Independent reviews of the implementation of nuclear safety standards.	3	8
Cross-cutting analyses.	1	1
Goal 2—Investigations		
Capability to conduct investigations.	1	1
Board and technical staff site visits.	80%	81%
Goal 3—Systematic Analysis		
Resident inspectors’ weekly reports and cognizant engineers’ monthly reports.	90%	100%
Independent analyses based on modeling.	1	7
Goal 4—New Facility Design and Construction		
Timely response to Department of Energy on Board safety items in accordance with Policy Statement-6.	Max 120 days	No Items
Goal 5—Recommendations		
Timely, high-quality recommendation products provided to the Board.	90%	100%
Timely, high-quality evaluation of implementation plan deliverables.	90%	100%
Goal 6—Achieve Mission (accountable, transparent, efficient, effective)		
Evaluation to simplify and refocus internal procedures.	1	1
Executive Committee on Internal Controls meetings.	4	3
Board budget updates.	4	6
Board approved agency staff plan.	1	1
Board interactions with external stakeholders.	10	29
Board meetings or hearings.	4	5

FY 2018 Performance Detail

GOAL 1

Independent review of content and implementation of standards relating to the design, construction, operations, and decommissioning of defense nuclear facilities.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 1.1</p> <p>Conduct reviews based on independent evaluation of the content of nuclear safety standards.</p> <p>Indicator</p> <p>Number of reviews and associated reports completed for nuclear safety standards. Reviews will evaluate whether the standards identify the appropriate nuclear safety requirements.</p>	FY 2018 Target: 1	<p>Achieved</p> <p>FY 2018 Result: 4</p>

Discussion

The Board completed the following reviews to meet the above objective of independently evaluating the content of nuclear safety standards. The Board accomplished its FY 2018 goal of completing at least one review of nuclear safety standards. The FY 2018 target was exceeded by 300 percent.

1. DOE Standard 5506-2007, Preparation of Safety Basis Documents for Transuranic (TRU) Waste Facilities, March 2018. On March 15, 2018, the Board transmitted a letter to the Secretary of Energy outlining independent analysis and advice related to specific deficiencies in this standard.
2. DOE Standard 1195-2011, Design of Safety Significant Safety Instrumented Systems Used at DOE Nonreactor Nuclear Facilities, May 2018.
3. DOE Standard 3014, Accident Analysis for Aircraft Crash into Hazardous Facilities, July 2018.
4. DOE Order 140.1, Interface with the Defense Nuclear Facilities Safety Board, September 2018. On August 28, 2018, the Board conducted a public hearing to gather information on this order. On September 17, 2018, the Board transmitted a letter to the Secretary of Energy outlining the Board's concerns.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 1.2</p> <p>Conduct independent reviews that focus on implementation of nuclear safety standards at defense nuclear facilities.</p> <p>Indicator</p> <p>Number of reports provided to the Board that include evaluation of standards implementation and lines of inquiry focused on cross-cutting areas.</p>	FY 2018 Target: 3	<p>Achieved</p> <p>FY 2018 Result: 8</p>

Discussion

The Board completed the following reviews to meet the above objective of evaluating implementation of nuclear safety standards at defense nuclear facilities. These reviews included lines of inquiry focused on one of the following cross-cutting areas: criticality safety, operational readiness, maintenance of safety equipment, implementation of safety requirements, and emergency preparedness and response. The Board accomplished its FY 2018 goal of completing at least three reviews with cross-cutting lines of inquiry. The FY 2018 target was exceeded by 167 percent.

1. Idaho National Laboratory Advanced Mixed Waste Treatment Project Safety Basis Implementation, October 2017. Scope: Review the safety basis implementation process, the independent verification process, and the implementation of controls defined in the Technical Safety Requirements document.
2. Los Alamos National Laboratory Plutonium Facility Electrorefining Federal Readiness Assessment, February 2018. Scope: Review key planning documents and observe the federal readiness assessment to confirm readiness for safe start-up of electrorefining operations.
3. Pantex Plant Cognizant System Engineering and Nuclear Maintenance Program Review, April 2018. Scope: Review Pantex maintenance program to determine whether Pantex is managing and maintaining safety-related structures, systems, and components in such a way that they will operate as designed.
4. Pantex Plant Emergency Preparedness and Response Review, April 2018. Scope: Review implementation plan deliverables and emergency exercises at the Pantex Plant as part of the implementation of the Board’s Recommendation 2015-1, *Emergency Preparedness and Response at the Pantex Plant*.

5. Los Alamos National Laboratory Criticality Safety Program, June 2018. Scope: Evaluate improvement initiatives for the Nuclear Criticality Safety Program at Los Alamos National Laboratory. The Board did not transmit communication on this review in FY 2018; however, on November 28, 2018 (FY 2019), the Board transmitted the results of this review to the Department of Energy.
6. Hanford Engineered Container Retrieval and Transfer System Federal Operational Readiness Review, June 2018. Scope: Review the Operational Readiness Review for the Engineered Container Retrieval and Transfer System at the 105-K West Basin/Annex Federal. Evaluate post-startup operations to ensure that Hanford implements applicable safety and conduct of operations requirements. The Board currently is conducting a follow-up review on this topic.
7. Y-12 National Security Complex Emergency Preparedness and Response Program Review, June 2018. Scope: Assess the state of emergency preparedness and response capabilities at Y-12, with a targeted focus on actions Y-12 took in response to previous Board correspondence with the Department of Energy.
8. Waste Isolation Pilot Plant Nuclear Maintenance Program Review, August 2018. Scope: Review the Waste Isolation Pilot Plant maintenance program to determine whether the plant is managing and maintaining safety-related structures, systems, and components in such a way that they will operate as designed. The Board issued a letter to the Secretary of Energy on September 24, 2018, identifying safety observations on maintenance and inspection processes and procedures.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 1.3</p> <p>Conduct cross-cutting analysis.</p> <p>Indicator</p> <p>Number of reports provided to the Board that are supported by multiple site evaluations (i.e., based on site reviews completed for performance goal 1.2) and review of Department of Energy-Headquarters nuclear safety standards oversight.</p>	FY 2018 Target: 1	<p>Achieved</p> <p>FY 2018 Result: 1</p>

Discussion

The Board completed the following review to meet the above objective. The Board accomplished its FY 2018 goal of completing at least one cross-cutting analysis.

1. *Annual Nuclear Criticality Safety Program Report for the Defense Nuclear Facilities, February 2018*. Evaluations at several sites, including Y-12 National Security Complex, Los Alamos National Laboratory, Nevada National Security Site, Savannah River Site, and Hanford Site, supported this review.

GOAL 2

Investigation of any event or practice at defense nuclear facilities that adversely affects or may adversely affect public health and safety.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 2.1</p> <p>Demonstrate capability to investigate events or practices at defense nuclear facilities that could adversely affect public health and safety.</p> <p>Indicator</p> <p>Conduct an investigation directed by the Board or audit of staff capability to conduct an investigation.</p>	FY 2018 Target: 1	<p>Achieved</p> <p>FY 2018 Result: 1</p>

Discussion

The Board completed the following preliminary safety inquiry to meet the above objective of demonstrating the capability to investigate events or practices at defense nuclear facilities that could adversely affect public health and safety. The Board accomplished its FY 2018 goal of completing at least one investigation by conducting one preliminary safety inquiry in accordance with 10 CFR § 1708.102, *Types of Safety Investigations*.

1. *Implementation of 10 CFR § 830 (Nuclear Safety Management) at the Pantex Plant, July 2018.*
 Scope: Review the controls that prevent or mitigate unscreened weapon hazard scenarios, implementation of the Unreviewed Safety Question process, and maintenance of the Documented Safety Analysis at the Pantex Plant.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 2.2</p> <p>Maintain cognizance of potential events or practices at defense nuclear facilities by completing Board visits and ensuring cognizance and training at defense nuclear facilities.</p> <p>Indicator</p> <p>Conduct Board member, management, new technical staff, and resident inspector training/cognizance visits.</p>	FY 2018 Target: 80%	<p>Achieved</p> <p>FY 2018 Result: 81%</p>

Discussion

Board members, technical staff management, and resident inspectors continue to maintain cognizance of potential events or practices at the sites with defense nuclear facilities. The FY 2018 goal was for 80 percent of these individuals to conduct training/cognizance visits. This goal was exceeded.

1. Board Members – All Board members that served during FY 2018 completed at least one site cognizance visit.
2. Technical Staff Management – Eight of the eleven individuals that served in supervisory positions within the technical staff during FY 2018 completed at least one site cognizance visit.
3. Resident Inspectors – Eight of the ten resident inspectors that served or were selected to serve as resident inspectors completed at least one site cognizance visit to a site other than the one at which they were stationed.
4. New Technical Staff – Not applicable because no technical staff members were hired during FY 2018.

GOAL 3

Systematic analysis of design and operational data.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 3.1</p> <p>Maintain oversight presence and cognizance of potential events or practices at defense nuclear facilities.</p> <p>Indicator</p> <p>Percentage of completed cognizant engineer monthly reports and resident inspector weekly reports provided to the Board.</p>	FY 2018 Target: 90%	<p>Achieved</p> <p>FY 2018 Result: 100%</p>

Discussion

The Board’s staff continues to produce resident inspector weekly and site monthly reports and provide them to the Board. At the five sites with resident inspectors (Los Alamos National Laboratory, Y-12 National Security Complex/Oak Ridge National Laboratory, Pantex Plant, Hanford Site, and Savannah River Site), resident inspectors provided a report to the Board and posted it to the Board’s public website for each week in FY 2018. For the five sites with cognizant engineers (Idaho National Laboratory, Lawrence Livermore National Laboratory, Nevada National Security Site, Sandia National Laboratories, and the Waste Isolation Pilot Plant), the cognizant engineers provided a report to the Board and posted it to the Board’s public website for each month in FY 2018. The staff exceeded its FY 2018 goal to provide at least 90 percent of the completed reports to the Board.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 3.2</p> <p>Demonstrate capability to independently analyze nuclear safety information.</p> <p>Indicator</p> <p>Conduct independent analyses based on modeling (e.g., criticality safety, structural, fluid dynamics, and electrical) required to support mission work or evaluate staff capability to conduct independent analyses.</p>	FY 2018 Target: 1	<p>Achieved</p> <p>FY 2018 Result: 7</p>

Discussion

The Board completed the following calculations to meet the above objective. The Board accomplished its FY 2018 goal of completing at least one independent analysis based on modeling. The FY 2018 target was exceeded by 600 percent.

1. Los Alamos National Laboratory Plutonium Facility Leak Path Factor Analysis, November 2017. Scope: Determine how wind speed data and other assumptions affect the leak path factor and estimate resulting changes to the dose consequences for postulated accident scenarios involving the Plutonium Facility.
2. Los Alamos National Laboratory Plutonium Facility Criticality Safety Study, December 2017. Scope: Conduct parametric studies using nuclear safety analysis software to determine how an off-normal event at the Plutonium Facility affected the safety margin for criticality.
3. Los Alamos National Laboratory Consequence Calculations for Transportation Events, March 2018. Scope: Calculate the dose consequence to the maximally exposed offsite individual for several postulated accident scenarios involving transporting plutonium at Los Alamos National Laboratory.
4. Los Alamos National Laboratory Plutonium Facility Fire Pump House Freeze Time Calculation, March 2018. Scope: Model cold weather conditions at the Plutonium Facility and calculate the time it takes to reach freezing temperatures inside the fire pump house to determine whether the surveillance requirements are adequate.
5. Los Alamos National Laboratory Transuranic Waste Facility Dilution Factor Analysis, April 2018. Scope: Use computational fluid dynamics software to model atmospheric conditions for several release configurations at the Transuranic Waste Facility to determine whether the dilution factor used in the safety analysis is sufficiently conservative.

6. Los Alamos National Laboratory Technical Area 54 Fire Model and Dose Consequence Calculation, May 2018. Scope: Calculate the separation distance for several postulated variations of a fire event at Technical Area 54 and use the results to calculate the dose consequences to the public and workers.
7. Los Alamos National Laboratory Technical Plutonium Facility Post-Seismic Fire Accident Analysis, July 2018. Scope: Identify conservative input values and calculate the mitigated dose consequences for a postulated post-seismic fire accident at the Plutonium Facility.

GOAL 4

Timely Review of design of new defense nuclear facilities before construction and periodically thereafter.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 4.1</p> <p>Execute independent oversight by performing reviews with defined scope and durations at specified and logical points in the design and construction of new defense nuclear facilities.</p> <p>Indicator</p> <p>Maximum days for Board communications on Department of Energy safety item responses (nominally 90 days in accordance with Policy Statement-6).</p>	<p>FY 2018 Target:</p> <p>120 days</p>	<p>Achieved</p> <p>FY 2018 Result:</p> <p>No Items</p>

Discussion

In FY 2018, the Board reviewed the design of new facilities including the Waste Treatment and Immobilization Plant, the Uranium Processing Facility, and the Salt Waste Processing Facility. The FY 2018 goal was for Board communications to the Department of Energy to be transmitted in fewer than 120 days from the date of the Department of Energy response. Because there were no Department of Energy responses on Board safety items in FY 2018, this goal is not applicable.

GOAL 5

Proposal of Recommendations to the Secretary of Energy when determined necessary to ensure adequate protection of health and safety.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 5.1</p> <p>Communicate to the Secretary of Energy in a timely manner on safety items that the Board determines challenges adequate protection.</p> <p>Indicator</p> <p>Percentage of timely, high-quality recommendation products delivered to the Board as evidenced by senior technical review and approval of products. Timeliness targets will be established for specific recommendation products based on scope and available resources.</p>	FY 2018 Target: 90%	<p>Achieved</p> <p>FY 2018 Result: 100%</p>

Discussion

The Board provided the following draft recommendation to the Secretary of Energy to meet the above objective of communicating in a timely manner on safety items that the Board determines challenge adequate protection. The FY 2018 goal was for 90 percent of the recommendation products provided to the Board to be timely and high-quality as evidenced by senior technical review and approval of products. This goal was exceeded.

1. Draft Recommendation 2018 – 1, Atmospheric Dispersion Modeling at the Savannah River Site, January 2018. This draft recommendation identified deficiencies in atmospheric dispersion models that Savannah River Site used in the safety analysis for defense nuclear facilities. On February 15, 2018, the Under Secretary for Science transmitted a letter to the Board providing written comments on the draft recommendation. On April 4, 2018, the Board decided not to make a final recommendation on this topic. The Board communicated this decision to the Secretary of Energy in a letter dated April 27, 2018.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 5.2</p> <p>Timely evaluation of the effectiveness of Implementation Plan deliverables in addressing safety objectives identified in Recommendations.</p> <p>Indicator</p> <p>Percentage of timely effectiveness reports for Implementation Plan deliverables. Timeliness targets will be established for specific Implementation Plan deliverables based on scope and available resources.</p>	FY 2018 Target: 90%	<p>Achieved</p> <p>FY 2018 Result: 100%</p>

Discussion

The Board evaluated the following Implementation Plan deliverables in addressing safety objectives identified in Board Recommendations. The Board exceeded its FY 2018 goal for 90 percent of the reports documenting Implementation Plan deliverable evaluations to be timely based on scope and available resources.

1. Savannah River Site Building 235-F Annual Exercise, May 2018. The Board’s staff observed the annual exercise, which simulated a fuel truck and a transport truck colliding. The exercise is an annual Implementation Plan deliverable for Recommendation 2012-1, *Savannah River Site Building 235-F Safety*. The Board transmitted a letter to the Secretary of Energy on August 14, 2018, outlining the importance of executing the remaining Implementation Plan deliverables for Recommendation 2012-1.
2. Hanford Tank Monitoring, September 2018. The Board’s staff continues to review the progress in implementing Recommendation 2012-2, *Hanford Tank Farms Flammable Gas Safety Strategy*. The Department of Energy transmitted a letter to the Board on July 23, 2018, documenting the installation of tank monitoring instrumentation as an Implementation Plan deliverable for this recommendation.

GOAL 6

Achievement of mission in a manner that is accountable and transparent to the public and achieves the mission efficiently and effectively.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 6.1</p> <p>Simplify and refocus directives and supplementary documents on necessary requirements and internal controls.</p> <p>Indicator</p> <p>Conduct an effectiveness review, identify corrective actions, and begin implementation of corrective actions focused on improvements to simplify and refocus procedures and improve internal controls.</p>	FY 2018 Target: 1	<p>Achieved</p> <p>FY 2018 Result: 1</p>

Discussion

The agency contracted with an external third-party to review a host of business-related functions and controls. The outside review looked at various financial, acquisitions, and HR-controls. The outside reviewers also looked at various administrative functions. The review found minimal procedural gaps for key controls. All reported issues were remediated in FY 2018.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 6.2</p> <p>Formal assessment, accountability, and corrective actions for the Board’s significant work processes that are presented at meetings of the Executive Committee on Internal Controls.</p> <p>Indicator</p> <p>Number of ECIC periodic meetings to evaluate office level assessments and corrective actions.</p>	FY 2018 Target: 4	<p>Not Achieved</p> <p>FY 2018 Result: 3</p>

Discussion

The Executive Committee on Internal Controls completed its work, including issuance of a year-end assurance statement from the General Manager, in three strategic work sessions rather than the projected four sessions.

Information on Unmet Target

Although only three strategic work sessions were held, the year-end assurance statement was issued and the Board was apprised of management risks. Thus, there is an argument that while this target did not meet the technical indicator, the target was functionally fulfilled due to the efficiency of the process. In essence, the critical workload was completed with one fewer working session.

Fiscal Year	Performance Goal	Target	Result
2018	<p>Performance Goal 6.3</p> <p>Improve the transparency and tracking of the agency budget.</p> <p>Indicator</p> <p>Number of Board updates on the results of budget meetings.</p>	FY 2018 Target: 4	<p>Achieved</p> <p>FY 2018 Result: 6</p>

Discussion

In an effort to improve transparency and tracking of the Board’s budget, staff briefed Board Members and senior management at least quarterly on the budget throughout FY 2018.

Fiscal Year	Performance Goal	Target	Result
2018	Performance Goal 6.4		Achieved
	Develop a plan that addresses the Agency’s overall workforce requirements. Indicator Board approval of an Agency Staffing Plan.	FY 2018 Target: 1	FY 2018 Result: 1

Discussion

In FY 2018, the Board approved an Agency Staffing Plan to drive hiring across the agency.

Fiscal Year	Performance Goal	Target	Result
2018	Performance Goal 6.5		Achieved
	Board member interactions with external stakeholders. Indicator Number of Board level external interactions with stakeholders such as Congress; federal, state, and local agencies; and others.	FY 2018 Target: 10	FY 2018 Result: 29

Discussion

In FY 2018, the Board held 29 interactive sessions with external stakeholders. These sessions provided vital information to the Congress, other Federal agencies, advocacy groups, and the general public.

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Fiscal Year	Performance Goal	Target	Result
2018	Performance Goal 6.6 Conduct Board meetings or hearings. Indicator Number of Board meetings or hearings.	FY 2018 Target: 4	Achieved FY 2018 Result: 5

Discussion

Board Members held one hearing and four meetings in FY 2018.

FY 2020 Performance Plan⁴

GOAL 1

Independent Review of content and implementation of Standards relating to the design, construction, operations, and decommissioning of defense nuclear facilities. The FY 2019 and FY 2020 targets are greater than FY 2018 targets to reflect the performance in FY 2018.

Goal 1	FY 2019 Target	FY 2020 Target
Performance Goal 1.1	3	3
Performance Goal 1.2	12	12
Performance Goal 1.3	2	2

Performance Goal 1.1: Conduct reviews based on independent evaluation of the content of nuclear safety standards.

Indicator: Number of reviews and associated reports completed for nuclear safety standards. Reviews will evaluate whether appropriate nuclear safety requirements are identified in the standard.

Performance Goal 1.2: Conduct independent reviews that focus on implementation of nuclear safety standards at defense nuclear facilities.

Indicator: Number of reports provided to the Board that include evaluation of standards implementation.⁵

Performance Goal 1.3: Conduct cross-cutting analyses.⁶

Indicator: Number of reports provided to the Board that are supported by multiple reviews.⁷

⁴ The Board is revising the FY 2018 – 2022 Strategic Plan, which may impact the goals, performance plans, and associated metrics.

⁵ The indicator for Performance Goal 1.2 has been edited for clarity in FYs 2019-2020. The FY 2018 Indicator is “Number of reports provided to the Board that include evaluation of standards implementation and lines of inquiry focused on cross-cutting areas.”

⁶ Performance Goal 1.3 has been edited for clarity in FYs 2019-2020. FY 2018 Performance Goal 1.3 is “Conduct cross-cutting analyses and review of DOE-Headquarters nuclear safety standards oversight.”

⁷ The indicator for Performance Goal 1.3 has been edited for clarity in FYs 2019-2020. FY 2018 Indicator is “Number of reports provided to the Board that are supported by multiple site evaluations (i.e., based on site reviews completed for performance goal 1.2) and review of DOE-Headquarters nuclear safety standards oversight.”

GOAL 2

Investigation of any event or practice at defense nuclear facilities which adversely affects or may adversely affect public health and safety. The purpose of the Board investigation shall be to:

Goal 2	FY 2019 Target	FY 2020 Target
Performance Goal 2.1	1	1
Performance Goal 2.2	80%	80%

Performance Goal 2.1: Demonstrate capability to investigate events or practices at defense nuclear facilities that could adversely affect public health and safety.

Indicator: Conduct an investigation directed by the Board or audit of staff capability to conduct an investigation.

Performance Goal 2.2: Maintain Board and management cognizance of potential events or practices at defense nuclear facilities.⁸

Indicator: Percentage of sites with defense nuclear facilities that have been visited by a Board Member or manager.⁹

⁸ Performance Goal 2.2 has been edited for clarity in FYs 2019-2020. FY 2018 Performance Goal 2.2 is “Maintain cognizance of potential events or practices at defense nuclear facilities by completing Board visits and ensuring cognizance and training at defense nuclear facilities.”

⁹ The indicator for Performance Goal 2.2 has been edited for clarity in FYs 2019-2020. FY 2018 Indicator is “Conduct Board member, management, new technical staff, and resident inspector training/cognizance visits.”

Goal 3

Systematic analysis of design and operational data.

Goal 3	FY 2019 Target	FY 2020 Target
Performance Goal 3.1	90%	90%
Performance Goal 3.2	2	2

Performance Goal 3.1: Maintain oversight presence and cognizance of potential events or practices at defense nuclear facilities.

Indicator: Percentage of completed cognizant engineer monthly reports and resident inspector weekly reports provided to the Board.

Performance Goal 3.2: Demonstrate capability to independently analyze nuclear safety information.

Indicator: Number of independent analyses based on modeling (e.g., criticality safety, structural, fluid dynamics and electrical calculations) required to support mission work or evaluate staff capability to conduct independent analyses.¹⁰

¹⁰ The indicator for Performance Goal 3.2 has been edited for clarity in FYs 2019-2020. FY 2018 Indicator is “Conduct independent analyses based on modeling (e.g., criticality safety, structural, fluid dynamics and electrical) required to support mission work or evaluate staff capability to conduct independent analyses.”

GOAL 4

Timely Review of design of new defense nuclear facilities before construction and periodically, thereafter.

Goal 4	FY 2019 Target	FY 2020 Target
Performance Goal 4.1	1	1

Performance Goal 4.1: Execute independent oversight by performing reviews with defined scope and durations at specified and logical points in the design and construction of new defense nuclear facilities.¹¹

Indicator: Number of formal reports to the Board for design and construction of a new facility (e.g., Conceptual design, Final design, Construction, and Commissioning of new facilities that are initiated).¹²

¹¹ Performance Goal 4.1 has been edited for clarity in FYs 2019-2020. FY 2018 Performance Goal 4.1 is “Execute independent oversight by performing reviews with defined scope and durations at specified and logical points in the design and construction of new defense nuclear facilities. Communicate, track, and respond to Board safety items identified during review of new defense nuclear facilities.”

¹² The indicator for Performance Goal 4.1 has been edited for clarity in FYs 2019-2020. FY 2018 Indicator is “Maximum days for Board communications on DOE safety item responses (nominally 90 days in accordance with Policy Statement-6).”

GOAL 5

Proposal of Recommendations to the Secretary of Energy when determined necessary to ensure adequate protection of health and safety.

Goal 5 ¹³	FY 2019 Target	FY 2020 Target
Performance Goal 5.1	90%	90%
Performance Goal 5.2	90%	90%

Performance Goal 5.1: Communicate to the Secretary of Energy in a timely manner on safety items that the Board determines challenges adequate protection.

Indicator: Percentage of timely Recommendation products delivered to the Board. Timeliness targets will be established for specific Recommendation products based on scope and available resources.¹⁴

Performance Goal 5.2: Timely evaluation of the effectiveness of Implementation Plan deliverables in addressing safety objectives identified in Recommendations.

Indicator: Percentage of timely effectiveness reports for Implementation Plan deliverables. Timeliness targets will be established for specific Implementation Plan deliverables based on scope and available resources.

¹³ Performance Goal 5.2 and the associated indicator were removed from the FY 2020 Performance Plan because it is addressed in Board policies and internal procedures. FY 2018 Performance Goal 5.2 is “Timely evaluation of the effectiveness of Implementation Plan deliverables in addressing safety objectives identified in Recommendations.”

¹⁴ The indicator for Performance Goal 5.1 has been edited for clarity in FYs 2019-2020. FY 2018 Indicator is “Percentage of timely, high-quality Recommendation products delivered to the Board as evidenced by senior technical review and approval of products. Timeliness targets will be established for specific Recommendation products based on scope and available resources.”

GOAL 6

Achievement of mission in a manner that is accountable and transparent to the public and achieves the mission efficiently and effectively.

Goal 6	FY 2019 Target	FY 2020 Target
Performance Goal 6.1	1	1
Performance Goal 6.2	3	3
Performance Goal 6.3	6	6
Performance Goal 6.4	1	1
Performance Goal 6.5	10	15
Performance Goal 6.6	6	6

Performance Goal 6.1: Simplify and refocus directives and supplementary documents on necessary requirements and internal controls.

Indicator: Have external third-party conduct an effectiveness review, identify corrective actions, and begin implementation of corrective actions focused on improvements to simplify and refocus procedures and improve internal controls.

Performance Goal 6.2: Formal assessment, accountability, and corrective actions for the Board’s significant work processes that are presented at meetings of the Executive Committee on Internal Controls.

Indicator: Number of ECIC periodic meetings to evaluate office level assessments and corrective actions.

Performance Goal 6.3: Improve the transparency and tracking of the agency budget.

Indicator: Number of budget briefings provided to the Board throughout the fiscal year.

Performance Goal 6.4: Board approved agency staffing plan.

Indicator: Board approval of an agency staffing plan.

Performance Goal 6.5: Board member interactions with external stakeholders.

Indicator: Number of Board level external interactions with stakeholders such as Congress; federal, state, and local agencies; and other organizations.

Performance Goal 6.6: Conduct Board public meetings or hearings.

Indicator: Number of Board public meetings or hearings.

Other information

Major Management Priorities and Challenges

The Board is pursuing several agency-wide initiatives in FY 2019 to address identified challenges and efficiently carry out its mission. These initiatives include continually improving the agency's internal processes and procedures, strategically aligning resources, and effectively managing change, both internal and as a result of changes in the DOE nuclear complex. The agency is also expected to fill several vacant staff positions to mitigate the impact of a loss of institutional knowledge and skills due to retirements and personnel transfers, as well as anticipating changes to DOE's activities.

Evidence Building/Data Validation and Verification

As a small agency in the executive branch, the Board does not maintain organizational components dedicated to research or evaluation. The Board tracks progress toward meeting its technical performance goals on a quarterly basis by evaluating its progress toward the target for each goal. The Board's Engineering Performance Group compiles the records of accomplishment, compares the information in the records of accomplishment to the established target metrics, and develops a report for the Board's management to provide the status of meeting performance goals.

To complete the records of accomplishment, Associate Technical Directors use data sources that include publicly available correspondence and staff issue reports and internally available information papers and group progress reports; these reports and papers document the activities performed by the Board's staff throughout the year. The Board makes its correspondence, staff issue reports, information papers, and group progress reports readily available to its staff, and the Board employs a robust review process, including factual accuracy checks, for its public reports and internal papers. Therefore, the review process ensures the accuracy of the data.

The Board formally assesses significant work processes each year and presents results to the Executive Committee on Internal Controls. In determining what significant work processes to assess, the Executive Committee on Internal Controls uses the following factors considered cumulatively: work processes that have a higher risk of impact to mission or for fraud and abuse; the frequency of assessment of the work processes; results of previous internal control reviews; results of external audits (i.e., Office of the Inspector General and Government Accountability Office); and cost of the assessment versus the benefit gained. The Executive Committee on Internal Controls ensures the Board assesses internal work processes and communicates any deficiencies noted with those work processes.