INFORMATION RESOURCES MANAGEMENT
PERFORMANCE ASSESSMENT AND IMPROVEMENT

PROGRAM PLAN

May 1995

U. S. Department of Energy
Office of Civilian Radioactive Waste Management
Office of Human Resources and Administration
Administration Division

Washington, DC 20585

TABLE OF CONTENTS

TABLE OF CONTENTS

LIST OF FIGURES

ACKNOWLEDGEMENT

The Office of Civilian Radioactive Waste Management would like to acknowledge and thank the Operations Management Support Division of the Chicago Operations Office for its support in the development of the OCRWM IRM Performance Assessment and Improvement Program Plan.

1.0 INTRODUCTION

1.1 Purpose

Office of Civilian Radioactive Waste Management (OCRWM) information resources management (IRM) activities represent a significant investment for the Program. It is therefore the purpose of this Performance Assessment and Improvement Program (PAIP) to assist in ensuring that these resources are well managed and supportive of the Program's mission, goals, and objectives. The PAIP is also designed to facilitate OCRWM compliance with IRM-related statutes, regulations, policies, and guidance, and to promote continuous improvement of its management practices and operations.

1.2 Scope and Applicability

The PAIP employs a participatory and cooperative approach, maximizing the contributions of the entire OCRWM IRM community. This plan covers OCRWM activities related to the management of information resources, i.e., the management of information itself and the related resources, such as personnel, equipment, funds, and information technology. The PAIP applies to all Program elements, both Federal and contractor, for the major IRM functional areas identified in this Plan.

This Plan will be reviewed and updated on a regular basis to incorporate changes in Federal, Departmental, and Programmatic IRM requirements, as well as to reflect gains in knowledge and experience in the management of information technologies and their applicability to the Program.

1.3 Overview of the IRM Performance Assessment and Improvement Program

The PAIP provides a mechanism for assessing IRM performance at the following levels:

- Program-wide
- Site (OCRWM-HQ, the Yucca Mountain Site Characterization Office, and the Management and Operating Contractor/east coast)
- IRM function (e.g, software, telecommunications, records management, etc.)
- Performance element (e.g., mission support, regulatory compliance, etc.)

The PAIP process consists of four phases described in this Plan: 1) Performance Assessment and Improvement Program Planning, 2) Site Self-Assessment, 3) On-Site Reviews, and 4) Improvement Planning and Continuing Assistance. The PAIP process relies on the participation of the entire OCRWM IRM community in the development of performance assessment and improvement materials. On-site reviews shall be conducted as assistance visits designed to enhance cooperation, coordination, the sharing of ideas, and lessons learned across

the Program.

1.4 Definitions

A list of definitions related to the OCRWM Performance Assessment and Improvement Program is provided in Attachment I.

1.5 IRM Performance Assessment and Improvement Goals

In December 1993, OCRWM completed a Business Management Review (BMR) Self-Assessment that was designed to evaluate the effectiveness of business management systems and practices employed by OCRWM and its contractors. With regard to the management of the Program's information resources (IR), the BMR team concluded that a "Program-level IRM management review program and self-assessment methodologies should be established across Program locations" (p. 14-9).

In November 1994, the Program promulgated supplemental order RW 1360, Information Resources Management, to define IRM policies, objectives, requirements and authorities. Pursuant to RW 1360, the Director of the Administration Division is responsible for designating a Program IRM Policy and Compliance Manager, to "assure compliance in the execution of overall IRM policies." The IRM Performance Assessment and Improvement Program has therefore been established to meet the following goals:

- Foster an environment of continuous improvement in the management of OCRWM's information resources;

- Satisfy IRM requirements as defined by oversight entities; and

- Identify, and measure OCRWM IRM performance against, "best-in-class" IRM practices.

2.0 IRM PERFORMANCE ASSESSMENT AREAS

IRM performance assessment areas include Federal and Departmental requirements and "best-in-class" IRM activities addressed below.

2.1 Federal IRM Requirements

Several IRM organizational functions and responsibilities are mandated by law. For example, the Paperwork Reduction Act of 1980, Office of Management and Budget Circular A-130, and the Federal Information Management Regulations (FIRMR) articulate high-level

requirements on any Federal IRM program. These requirements include:

- Implementing policies, principles, guidelines and standards for IR activities;
- Developing and maintaining an inventory of information systems and periodically reviewing information management activities;
- Ensuring information systems do not overlap; and
- Linking the management of information resources to operational and strategic IRM planning and agency-wide strategic planning.

Attachment II provides a comprehensive listing of Federal requirements.

2.2   Departmental IRM Requirements

The Department of Energy issues directives that guide the management of the Department's IR. The Department is in the process of consolidating its IRM-affecting orders. In general, the consolidated IRM order(s) will decentralize IR requirements to the Program level, thereby placing a greater burden on OCRWM to ensure that its IR are well managed.

Because OCRWM's PAIP is being developed concurrently with the revision of the Department's directives, it will emphasize compliance with those Federal laws, regulations, directives, policies, and guidance that are not affected by changes the Department is currently making to its directives. As the Department's directives are finalized, they will be incorporated into the OCRWM Performance Assessment and Improvement Program, as appropriate.

In addition to directives, the Department has also issued an Information Management Strategic Plan, Information: The Fuel for Success (July 1994), which identifies the goals, measures, and strategies for the management of the Department's information resources. Strategic actions identified in the Department's IRM Strategic Plan include:

- Understanding customer and stakeholder needs;
- Integrating information management and Program strategic planning processes;
- Defining information architectures;
- Improving the process for eliminating duplicative information systems; and
- Developing and implementing Program strategies for assessment and implementation of emerging technologies.

2.3   "Best-in-Class" OCRWM IRM Activities

The PAIP will not only assess compliance with statutes, regulations, and policies, but will also measure IRM performance against the best IRM practices identifiable. The Department's

Strategic Plan, Fueling a Competitive Economy (August 1994), identifies "best-in-class" management practices as a critical success factor to achieving the Department's mission. "Best-in-class" approaches ensure that management practices: 1) meet or exceed customer expectations; 2) are driven by, and supportive of, mission needs; and 3) mirror the best public and private practices. The PAIP is therefore consistent with GSA's report on the model IRM program for the 21st century which states: "the evaluation function will shift from a traditional focus on compliance...toward an emphasis on outcomes...."

3.0 IRM PERFORMANCE ASSESSMENT AND IMPROVEMENT APPROACH

The performance assessment of the OCRWM IRM program shall be based on **IRM functions**. Within each IRM function, **performance elements** shall serve as primary units of analysis. **Evaluation criteria** shall be identified to assess good, excellent, and outstanding performance for each performance element within each IRM function. Each performance element shall be assigned a percentage factor, or **weight**, corresponding to the relative importance of that performance element to the management of the IRM function. **Questionnaires** shall be developed, based on the evaluation criteria, and sent to a site for an initial site self-assessment, in preparation for an on-site review by an assessment team.

Figure 1, consisting of three panels, presents an overview of the OCRWM IRM PAIP approach. (Note: The example provides performance elements and ratings for illustrative purposes only and does not reflect any actual performance assessment results.) Detailed information on the PAIP process is presented in Section 4.0

PANEL A: This panel demonstrates the relationship between performance elements, IRM functions, and OCRWM sites by highlighting the performance elements that are used to evaluate an IRM function. Six performance elements are identified for the IRM planning function under review. The number assigned to each performance element represents the ratings given the performance element for an IRM function. In this example, the resource utilization performance element of the IRM planning function was given a rating of 3, representing outstanding performance. Regulatory compliance for the IRM planning performance element received a 2, the mission support performance element received a 3 rating, and so on. By averaging the scores for all the performance elements, a rating for each IRM function is determined. (Refer to Section 3.3.3 for more information on determining evaluation ratings).

PANEL B: Panel B indicates that each performance element is rated for each functional area at a site, thereby providing the site with ratings of all IRM functions. These IRM function ratings are averaged to give an overall site performance rating. Panel B illustrates, for example, each of the performance elements assessed for each of the IRM functions at OCRWM-HQ. Acquisition management received a 2.4 rating, customer support and services management received a 1.9 rating, and so on. The average of all these IRM function ratings

provides an overall site IRM performance rating.

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PANEL C: Panel C demonstrates how each of the site ratings can be averaged to provide Program-wide performance ratings for sites, functions, and performance elements. In other words, once the regulatory compliance performance element, for example, is evaluated for all functional areas and for all OCRWM sites, an overall regulatory compliance performance rating can be determined for the Program. The same performance determinations can be made for each IRM function and for all OCRWM sites.

4.0 IRM PERFORMANCE ASSESSMENT AND IMPROVEMENT PROCESS

Figure 2 is a representation of the OCRWM IRM performance assessment and improvement process which consists of four phases:

Phase 1:   IRM Performance Assessment and Improvement Program Planning
Phase 2:   Site Self-Assessments
Phase 3:   On-Site Reviews
Phase 4:   Improvement Planning and Continuing Assistance.

4.1 Phase 1: Performance Assessment and Improvement Program Planning

4.1.1 Preparing PAIP Materials

The Program IRM Policy and Compliance Manager shall lead the development of performance assessment materials -- performance elements, weight attribution, evaluation criteria, and questionnaires -- utilizing the expertise of the entire OCRWM IRM community. The Program IRM Policy and Compliance Manager shall solicit the participation of OCRWM IRM functional experts in the development of the materials.

4.1.1.1   Performance Elements

A series of performance elements for each functional area shall be developed that define categories in which performance will be appraised. A sufficient number of performance elements shall be developed for each functional area to ensure an adequate performance assessment. Performance elements shall be derived from statutes, regulations, orders, and/or best practices identified in higher-level guidance. The following standard performance elements shall be applied to all functional areas:

Resource Utilization. This performance element addresses organization and staffing issues, as well as the operational efficiency and effectiveness of the management of the IRM function.

Regulatory Compliance. Addresses compliance with Federal regulations primarily and, secondarily, with Departmental and Programmatic requirements.

figure 1

figure 2

Mission Support. Addresses the value-added by the IRM function to Departmental and Programmatic goals, objectives, and strategies as well as the criticality of the function to mission success.

Local Policies, Plans, and Procedures. Addresses the documentation established to ensure that the IRM function is well-managed.

Training of Personnel. Addresses training of personnel in the IRM function.

Evaluation and Reviews. Addresses the site's mechanisms for assessing the performance of the IRM function.

4.1.1.2   Performance Element Weights

Each performance element for each functional area shall be assigned a percentage factor that weights the importance of that performance element in relation to the overall management of the IRM function. Percentage factors should total 100 percent for all the performance elements within a functional area. Assuming roughly ten performance elements per functional area, each performance element should receive a weight in the range of 5 to 20 percent. Regulatory compliance shall receive a relatively high weight in each case.

4.1.1.3   Evaluation Criteria

The distinction between good, excellent, and outstanding performance levels shall be clear and specific to minimize subjective decisions by the performance assessment team. Each higher evaluation category includes the prior level. Failure to meet the "good" evaluation criterion indicates deficient performance for that performance element. Specific evaluation criteria for each performance element in each functional area shall be developed using the following general guidelines:

GOOD: Basic goals and objectives are established; functions are defined, assigned and allocated; organization structure and staffing meets basic higher-level requirements.

EXCELLENT: Functions are well defined, documented, institutionalized in practice. Formal mission, goals, objectives are in place. All local policies, directives, and like items are in place, well defined, and implemented. There is demonstrable compliance with applicable requirements. The management structure and functional assignment minimize or eliminate duplication of effort, promote quality-oriented feedback, and facilitate procedural adaptation to changed requirements.

OUTSTANDING: The function is given serious attention and value at the OCRWM site. It is well placed (e.g., organizationally) and well defined. The efforts have clear and consistent,

and consistently measurable or demonstrable benefits to the site and its customers. As appropriate, upper management is involved; self-assessment and/or improvement programs are in place; "products" or services are well defined and effectively and efficiently implemented.

To the extent feasible, the initial set of evaluation criteria shall be standardized across all OCRWM sites. Some criteria may be modified at the request of a site's IRM management, and with the concurrence of the Program IRM Policy and Compliance Manager. Instances in which modifications may be appropriate include a site performing a function for another site, in which case controls, reporting, and cross-site management activities should be reviewed.

4.1.1.4   Developing Questionnaires

A questionnaire shall be developed by the Program IRM Policy and Compliance Manager reflecting evaluation criteria for all functional areas. The questionnaire shall not include any questions that are not already covered by the evaluation criteria, thereby ensuring that review sites are familiar with all review criteria prior to any review.

4.1.2 Approving PAIP Materials

Upon completion of all review documentation, the materials will be presented to the IRM Council by the Program IRM Policy and Compliance Manager for final approval. Only after the IRM Council approves the performance assessment and improvement materials will the Program IRM Policy and Compliance Manager initiate reviews of the primary OCRWM sites.

4.1.3 Scheduling Reviews

Each site shall be reviewed once every two years. One site shall be reviewed in fiscal year 1995 and the two remaining sites shall be reviewed in fiscal year 1996. The Program IRM Policy and Compliance Manager shall schedule reviews of OCRWM sites far enough in advance to ensure that sites have enough time to adequately prepare for the reviews. He/she is responsible for ensuring that the questionnaire is sent to review sites in a timely fashion prior to a scheduled visit. The questionnaire may be sent in electronic form to facilitate management of the self-assessment process.

4.2   Phase 2: Site Self-Assessments

The site self-assessment is a preliminary step to the on-site review and provides a structured format for analyzing the site's performance. The site IRM Operational Manager is responsible for ensuring that the self-assessment is conducted in a timely fashion at the site.

Questionnaire respondents will have 30 days to complete the questionnaire and return it to the Program IRM Policy and Compliance Manager. Questionnaire respondents shall assess their

own compliance with applicable statutes, regulations, directives, policies, guidance, and best-in-class practices. Actual determination of performance (e.g., outstanding, excellent, or good) will not occur until on-site reviews, analysis, and final reports are completed. The Program IRM Policy and Compliance Manager shall have 14 days upon receipt of the completed questionnaires to request clarifications of questionnaire responses.

4.3   Phase 3: On-Site Reviews

On-site reviews shall be scheduled upon completion and return of the questionnaire from the site IRM Operational Manager to the Program IRM Policy and Compliance Manager. A mutually agreeable date shall be determined by the site IRM Operational Manager and the Program IRM Policy and Compliance Manager. Requests for waivers from specific requirements of items within a functional area shall be submitted to the Program IRM Policy and Compliance Manager for review, who, in conjunction with the site IRM Operational Manager, shall recommend approval/disapproval to the IRM Council.

4.3.1   Establishing Performance Assessment Teams

Performance assessment teams shall be established to conduct the on-site reviews. The teams shall consist of a team leader and three to four members. Based on the responsibilities identified in supplemental order RW 1360, the Program IRM Policy and Compliance Manager is responsible for leading the reviews of the three primary sites. A representative from YMSCO may be a team member on the performance assessment team that reviews OCRWM-HQ and the Management and Operating contractor/East Coast. An OCRWM-HQ representative may participate in YMSCO reviews of its contractors and other reporting elements.

Direct contact with site IRM representatives shall not occur without prior approval by the Site's IRM Operational Manager. Performance assessment team members will be assigned specific functions for review. The team leader will be responsible for ensuring that all performance assessment and improvement reports are developed. Performance assessment teams and corresponding review sites are as follows:

Performance Assessment Team	Review Site
Program IRM Policy and Compliance Manager and staff	OCRWM-HQ, M&O east, and YMSCO IRM organizations
YMSCO IRM team leader and staff	YMSCO IRM contractors (including M&O west) and reporting elements

YMSCO is responsible for reviewing the contractors and reporting elements performing

YMSCO IRM activities. YMSCO may conduct those reviews using the methodology identified in this IRM Performance Assessment and Improvement Program Plan or an alternative methodology of its choice. In the event YMSCO conducts its reviews in accordance with the approach identified in this Plan, review material and support will be provided by the Program IRM Policy and Compliance Manager. Responsibilities of key OCRWM PAIP participants are presented in Attachment III.

4.3.2 Conducting On-Site Reviews

On-site reviews are scheduled to last five days and will be conducted by the performance assessment team. Each review will be conducted in the form of an assistance visit. A close-out meeting will be held at the end of each day to allow the performance assessment team and the site IRM management to discuss current status of the review, problem areas, and next day activities. The schedule for most on-site reviews will be as follows:

Day one: Entry briefing by the performance assessment team describing the on-site review process and objectives. The site being reviewed will then make presentations on each functional area under review. The presentations will provide an opportunity for elaboration on information not presented in response to the questionnaire.

Day two: The performance assessment team will 1) tour the site, 2) review requested materials, and 3) meet with site IRM representatives to develop a list of additional materials that they would like to review and persons they would like to interview. Interview schedules for day three will be set.

Day three: The performance assessment team will meet with individuals for personal interviews. The team will collect additional data, as required.

Day four: The performance assessment team will meet to discuss findings and prepare a draft report that contains the performance evaluation and findings. The findings will present evaluations for the site by:

- Element performance
- Function performance
- Overall site performance

Day five: The performance assessment team will give an exit briefing to the site representatives on their findings and discuss opportunities for continuous improvement. The first review will establish the base IR management performance level for the site.

4.3.3 Determining Evaluation Ratings

At the conclusion of the site visit, the performance assessment team will draft a report that identifies ratings for each performance element in each functional area. Each performance element shall be given a rating by each member of the performance assessment team. These ratings shall be summed to provide an overall rating for the IRM function under review. The performance assessment team shall confer and provide an average rating for each element that will be the final team rating. The ratings for individual performance elements within each functional area are determined by multiplying the grade by the weighting factor. Each element is graded as follows:

Outstanding	3
Excellent	2
Good	1

Functional area ratings are determined by totaling the final rating of each performance element within the appropriate functional area. The rating for each function is indicated below:

Outstanding	2.7 - 3.0
Excellent	1.7 - 2.69
Good	1.0 - 1.69

A site's overall rating is determined by calculating the average of all eight functional areas' ratings combined. Due to the criticality of compliance with laws and regulations, the performance assessment team shall not provide an overall outstanding or excellent rating if compliance with Federal and Departmental regulations is scored below 1 even if the overall score would otherwise indicate a higher rating.

4.3.4 Exceptions

Any site that takes exception to the findings of the performance assessment team may address those exceptions in writing to the Program IRM Policy and Compliance Manager. Exceptions, if not resolved, shall be reported in the Performance Assessment Final Report.

4.4 Phase 4: Improvement Planning and Continuing Assistance

4.4.1 Improvement Planning

The Performance Assessment Final Report shall be prepared by the performance assessment team and issued to the site IRM Operational Manager no later than 30 working days following the on-site review. The report will present specific findings by functional area, the basis for those findings (e.g, the relevant statutory requirement to be met), and suggested corrective

actions. If a site is found to be deficient in any area under review, the performance assessment team will work with site representatives to identify specific corrective actions and schedules. In accordance with best practices guidance, improvement planning will also entail working with the OCRWM IRM community to integrate evaluation recommendations into Program-wide IRM strategic and tactical planning and budgeting.

4.4.2 Continuing Assistance

The Program IRM Policy and Compliance Manager will serve as a facilitator of management improvement efforts across Program locations. A record of findings for each site will be established to facilitate managing performance improvement tracking and sharing performance improvement lessons across the Program. The Program IRM Policy and Compliance Manager will integrate all site findings into a consolidated IRM performance assessment and improvement report that identifies performance levels by performance elements, IRM functions, and sites program-wide. The IRM Council shall periodically assess lessons learned in performance improvement activities and discuss program-wide IRM performance issues.

Consistent with the TQM methodology, the performance assessment and improvement program itself shall be evaluated for effectiveness. The Program IRM Policy and Compliance Manager will periodically evaluate performance assessment and improvement criteria and make recommendations to the IRM Council for changes in the review criteria.

ATTACHMENT I

DEFINITIONS

ACQUISITION MANAGEMENT: Refers to all activities related to the procurement of information resources, including vendor evaluations, technical processing of procurement requests, and handling delegations of procurement authority.

CUSTOMER SUPPORT AND SERVICE MANAGEMENT: Includes specific functions germane to providing selected support functions and services to "customers", as well as cross-cutting functional aspects of technical design, implementation, and related on-going support. Includes the demonstrated ability to identify customers, determine customer needs, determine customer satisfaction levels, and respond to customers in a timely, effective manner. Also includes videoconferencing, communications management, and help desk activities.

EVALUATION CRITERIA: The criteria established for each performance element within each functional area that defines good, excellent, and outstanding levels of achievement.

IRM FUNCTIONS: Primary areas of IRM activity including acquisition management, customer support and service management, IRM planning, printing and publishing management, records and data management, software management, telecommunications management, and unclassified computer security management. These IRM management functions are closely aligned with existing DOE directives and represent the focus areas for the IRM Performance Assessment and Improvement Program.

IRM PLANNING: Involves the development, preparation, implementation, and evaluation of plans, policies, procedures, processes, and guidance designed to:

- Facilitate the identification, creation, collection, processing, utilization, transfer, review/verification/qualification, storage, access, retrieval, dissemination, and archive and preservation of program data, information, and records.

- Support the planning, design, development, acquisition, deployment, management, operation, maintenance, and retirement or dispositioning of OCRWM's information resources.

- Ensure efficient and effective IRM operations through interoperability, compatibility, and reduction of duplication of efforts.

PERFORMANCE ELEMENTS: The categories in which performance will be appraised under the OCRWM performance assessment and improvement program. A sufficient number of performance elements per functional area will be developed to ensure an adequate performance assessment. Certain performance elements, such as organization and staffing, compliance with Federal regulations, OCRWM mission support, and training of personnel, will be applied to all IRM functions.

QUESTIONNAIRES: The questions that site IRM representatives answer in the site self-assessment phase of the performance assessment and improvement program. Questionnaires are developed by the Program IRM Policy and Compliance Manager based on the performance assessment evaluation criteria.

PRINTING AND PUBLISHING MANAGEMENT: The management and control of the policies, procedures, and activities involved in printing and publishing an agency's documents.

RECORDS AND DATA MANAGEMENT:

- The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal government and effective and economical management of agency operations.

- The management and maintenance of the organization's data resources with respect to standardization, integrity, and sharing. Activities include creating data policy, performing data planning, constructing a data dictionary, and performing data modeling and database administration. Includes the management of scientific and technical data.

SELF-ASSESSMENT: The activities undertaken by a particular OCRWM site, including completion of the performance assessment questionnaire, in preparation for an on-site review.

SOFTWARE MANAGEMENT: Software management involves management of the acquisition, development, ongoing operation, enhancement, modification, conversion, and maintenance of computer programs and software products that support the OCRWM Program. It also includes requirements identification, analysis, and approval processes and other software life cycle development and management processes.

TELECOMMUNICATIONS MANAGEMENT: Telecommunications management involves management of the acquisition, development, ongoing operation, enhancement, modification, and maintenance of the means of transmitting data, information, and records across OCRWM Program locations (e.g., terminal, transmission, and switching facilities for both voice and data) to support the OCRWM Program. This function also supports local and wide area network management, and electronic mail across OCRWM Program locations.

UNCLASSIFIED COMPUTER SECURITY MANAGEMENT: The design, implementation, and management of appropriate computer security programs designed to safeguard unclassified OCRWM information resources.

ATTACHMENT II

FEDERAL LAWS, REGULATION, DIRECTIVES AND GUIDANCE
RELEVANT TO THE OCRWM IRM PROGRAM

A selected listing of Federal governing documents is provided below. Federal laws, regulations, directives, and guidance are used for the development of OCRWM's IRM Performance Assessment and Improvement Program.

Public Laws

Laws relating to Federal ADP, telecommunications, or information resources may be found in the following sections of the United States Code (U.S.C.):

Title 5:	Government Organization and Employees
Title 15:	Commerce and Trade
Title 31:	Money and Finance
Title 40:	Public Buildings, Property and Works
Title 41:	Public Contracts
Title 44:	Public Printing Documents
Title 47:	Telecommunications

Additional laws may be found in the following sections of the United States Code of Federal Regulations (C.F.R.):

CFR Title 10: Energy

Part 2, Subpart J:	Procedures Applicable to Proceedings for the Issuance of Licenses for the Receipt of High-Level Radioactive Waste at a Geologic Repository
Part 50, Appendix B:	Quality Assurance Program Requirements for Nuclear Power Plants and Fuel Reprocessing Plants
Part 60:	Disposal of High-Level Radioactive Wastes in Geologic Repositories; Licensing Procedures, Nuclear Regulatory Commission.
CFR Title 36:	Parks, Forests, and Public Property
CFR Title 40:	Protection of the Environment

Laws pertaining to the acquisition and management of information resources are as follows:

P.L. 81-152:	The Federal Property and Administrative Services Act of 1949
P.L. 89-306:	Procurement of ADP Resources by the Federal Government (Brooks Act) of 1965
P.L. 89-487:	The Freedom of Information Act of 1966
P.L. 90-620:	The Federal Records Act of 1968
P.L. 93-579:	The Privacy Act of 1974
P.L. 94-575:	Federal Records Management Amendments of 1976
P.L. 96-511:	The Paperwork Reduction Act of 1980
P.L. 97-86:	Warner Amendment of 1981 (to the Brooks Act)
P.L. 97-255:	Federal Managers Financial Integrity Act of 1982
P.L. 98-191:	Office of Federal Procurement Policy Act Amendments of 1983
P.L. 98-369:	The Competition in Contracting Act (CICA) of 1984
P.L. 98-577:	The Small Business and Federal Procurement Competition Enhancement Act of 1984
P.L. 99-591:	Paperwork Reduction Reauthorization Act of 1986
P.L. 100-235:	Computer Security Act of 1987.
P.L. 103-62:	Government Performance and Results Act of 1993.

Laws pertaining specifically to the OCRWM Program:

P.L 97-425	The Nuclear Waste Policy Act of 1982
Title V, P.L 100-203	Nuclear Waste Policy Amendments Act of 1987

Office of Management and Budget Circulars

OMB Circular A-11:	Preparation and Submission of Budget Estimates
OMB Circular A-76:	Policies for Acquiring Commercial or Industrial Products and Services Needed by the Government
OMB Circular A-94:	Discount Rates to be Used in Evaluating Time Distributed Costs and Benefits
OMB Circular A-109:	Major Systems Acquisitions
OMB Circular A-120:	Guidelines for Use of Consulting Services
OMB Circular A-123:	Internal Control Systems
OMB Circular A-127:	Financial Management Systems
OMB Circular A-130:	Management of Federal IRM Resources.

Federal Information Resources Management Regulations (FIRMR)

The GSA prepares, issues, and maintains the FIRMR as the primary set of regulations governing Federal agencies' management, acquisition, and use of certain ADP and

telecommunications resources. The FIRMR is to be used in conjunction with the general procurement and contracting regulations contained in the Federal Acquisition Regulations (FAR). Agency compliance with the FIRMR is the responsibility of the agency head, as stated in the PRA. Section 201-22.103 of the FIRMR also requires that "each agency shall establish an IRM review capability commensurate with the scope and complexity of the agency mission and program objectives." Selected parts of the FIRMR include:

Part 201-16:	Planning and Budgeting for Information Resource Activities
Part 201-20:	ADP Management Programs
Part 201-21:	Telecommunications Management Programs
Part 201-22.1:	Federal IRM Review Program
Part 201-22.2:	Information Resources Performance Assessment and Improvement Program
Part 201-26:	Reporting Requirements.
Bulletin C-6:	Federal Information Resources Performance Assessment and Improvement Program
Bulletin C-33:	Information Resources Procurement and Management (IR/PMR) Program

Federal Acquisition Regulations (FAR)

Contains general acquisition regulations for Federal procurements.

Federal Information Processing Standards (FIPS)

The National Institute of Standards and Technology (NIST) is responsible for the development of standards for computer hardware, software, and systems. These are published in the Federal Information Processing Standards Publications Series (FIPS PUBS).

Federal Telecommunications Standards (FTS) 2000

All DOE organization are required to adhere to the mandatory use of Federal Telecommunications System (FTS) 2000 services. FTS 2000 is intended to facilitate the Departmentwide development of a fully compatible, interconnectable system of communication. Toward this goal, FTS 2000 will provide DOE with the planning and acquisition mechanisms to:

- Gather local intercity requirements
- Combine requirements with common telecommunications needs
- Produce a common user solution
- Procure the required system or services

Reinventing Government Initiatives

Creating a Government that Works Better and Costs Less, Report of the National Performance Review, Vice President Al Gore, September 7, 1993. This report promotes reengineering through the use of information technology; the strategic application of information resources in support of an agency's mission, goals, and objectives; improving the methods of information technology acquisition; providing incentives for innovation with information technology; and other IRM-related proposals.

General Accounting Office, Executive Guide, Improving Mission Performance Through Strategic Information Management and Technology, Learning From Leading Organizations (May, 1994, GAO/AIMD-94-115). This GAO report identified "best practices" for the management of Federal information resources. These practices are grouped by three key functional areas: 1) deciding to work differently, 2) directing resources toward high-value uses, and 3) supporting improvement with right skills, roles, and responsibilities.

ATTACHMENT III

RESPONSIBILITIES OF PERFORMANCE ASSESSMENT AND IMPROVEMENT PARTICIPANTS

(a)   Program IRM Policy and Compliance Manager

   (1)   Ensures the development and implementation of the OCRWM IRM Performance Assessment and Improvement Program.

   (2)   Submits IRM Performance Assessment and Improvement Program materials to the IRM Council for approval.

   (3)   Elevates requests for waivers from Performance Assessment and Improvement Program requirements to the IRM Council.

   (4)   Directs the OCRWM IRM Performance Assessment and Improvement Program. Keeps an inventory of performance assessment and improvement questions and references. Maintains a repository of best IRM practices and performance improvement ideas.

   (5)   Prepares a consolidated IRM Performance Assessment and Improvement Report.

(b)   IRM Operational Managers

   (1)   Ensure that site self assessments are conducted prior to site visits.

   (2)   Facilitate the conduct of site reviews. Ensure the availability of appropriate site representatives during on-site reviews. Support the performance assessment team.

   (3)   Work with the performance assessment team on continuous improvement activities. Ensure the implementation of performance assessment team recommendations.

(c)   Performance Assessment Teams

   (1)   Conduct performance assessments. Conduct entry briefings, interview site representatives, review and assess local policies, plans, procedures, prepare evaluations, write performance assessment and improvement reports, work with

site representatives on continuous improvement activities.

ATTACHMENT IV

REFERENCES

General Accounting Office, Improving Mission Performance Through Strategic Information Management and Technology, May 1994.

General Services Administration, Transition to the Future: A Model IRM Program for the 21st Century, August 1994

General Services Administration, Information Resources Procurement and Performance Assessment and Improvement Program Self-Assessment, June 1993

General Services Administration, A Guide to Managing and Reviewing Major Information Systems, Draft, September 1992.

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