

PN-ACG-113  
102769

Government of Ukraine

Action plan to address the  
social problems relating to  
Chernobyl NPP and  
Slavutich

(First Draft)

December 1996

# Action plan to address the social problems relating to Chernobyl NPP and Slavutich

(First Draft)

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## Executive Summary

The social impact issue is increasingly being cited as a stumbling block to achieving closure by the year 2000. Seen in the context of the current overall Ukrainian economic situation, the social impact associated with CNPP closure is a minor issue. Not only are the numbers of persons small compared with, for example, the mining sector, but also the potential of alternative employment are high for the workers to be laid off. However, the underlying issue at present is that of safety. The extent to which this is a major problem is hard to determine. Notwithstanding that these risks are difficult to measure, there is no doubt that as a result of the cradle-to-grave nature in which the former Soviet enterprises operated, some of the fears concerning morale have some substance.

The potential for job creation that the G7 MOU projects offer is substantial. These jobs will be directly associated with the projects themselves or indirectly in logistic support and services. There is a need to ensure that mechanisms are in place to secure the participation of the local labour force and enterprises in these activities. It is argued that such an approach will also contribute to a safe and timely closure of CNPP. In addition, there is a need to already now to take the necessary steps to diversify the economy of Slavutich in order to generate jobs by 2001 when lay-offs resulting from the shut-down will occur.

The plan is divided into four sections.

Section One provides a brief overview for the justification of the Action Plan to Address the Social Impact of Chernobyl NPP closure. The section includes the key issues addressed in the Interim Action Plan prepared in June 1996 and accepted in October 1996 by the Government of Ukraine as reflecting the directions of the Final Action Plan. The initiatives taken by the Municipality of Slavutich and the international donor community to take some steps to prepare for the impending lay-offs and diversification of the economy of Slavutich are also introduced.

Section Two is devoted to human resource issues and provides an in-depth analysis of the projected labour re-structuring as a result of closing Chernobyl NPP.

Section Three provides a background to the current situation in the town of Slavutich. Moreover, this section elaborates a conceptual framework for adopting a predominantly Micro-economic approach to re-structuring CNPP and diversifying the economy of Slavutich. The section outlines potential structures for supporting this re-structuring and to support certain communal services of Slavutich.

Section Four sets out the proposed actions to be undertaken to address the social impact issue of closing Chernobyl NPP. It outlines sound and cost-effective approaches that have been used in the West but are innovative in a Ukrainian context. The adoption of the approach proposed will ensure a visibility of G7 in terms of the number of activities and local personnel to be employed. This will not only contribute greatly to resolving the social impact question but also of demonstrating to the workers of CNPP and the population of Slavutich that they do in fact have an alternative viable future.

The First Draft of the Final Action Plan has been prepared by the Municipality of Slavutich and Chernobyl NPP, supplemented by inputs from Central Government Institution members of the Joint Working Group. Technical assistance was provided by EU Tacis and USAID.

**Section One**

**Background and Context**

## 1 0 Background and Context

### 1 1 Introduction

Since April 1986 when the accident occurred at Unit Number 4 of the Chernobyl Nuclear Power Plant (CNPP) there has been growing concern throughout the international community about the possibility of another incident involving RBMK reactors located both in Ukraine and other former Soviet nations. CNPP has become the focus of that world-wide concern although it is widely known that other serious but lesser incidents have taken place elsewhere. In recent years additional attention has been drawn to the possibility of further nuclear contamination that may result should there be a major structural failure in the massive sarcophagus built around CNPP Unit Number 4 immediately following the 1986 accident. In recent years the concern for nuclear safety in general and for the situation at Chernobyl has been the subject of growing interest among the G7 Nations prompting negotiations between the Government of Ukraine (GOU) and the G7 Nations leading to proposals that seek to facilitate the closure of CNPP by the year 2000.

On December 20 1995 an agreement in the form of a Memorandum of Understanding (MOU) was reached in Ottawa between the Government of Ukraine and the governments of the G7 Countries and the Commission of European Communities on the closure of the CNPP by the year 2000. The MOU acknowledges that the early closure of the CNPP will have adverse economic and social implications for Ukraine and specified a comprehensive program of co-operation to support the closure. Among the provisions of the MOU was a commitment that the European Commission and the United States would assist the GOU to develop an Action Plan for addressing the social impacts of the closure before the year 2000. In anticipation of the need to reach agreement on a methodology to fulfill these commitments the European Union and the United States prepared a Terms of Reference (TOR) document outlining a proposed course of action for assisting the Government of Ukraine to prepare their Action Plan and in October 1995 submitted these TOR to the GOU in draft form for their consideration and comment. On May 31 1996 the TOR were endorsed by Goscomatom on behalf of the Presidential Commission for a Complex Resolution of the Problems of the Chernobyl Nuclear Power Plant.

### 1 2 Elaboration of an Interim Action Plan

In April 1996 at the G7 Summit on Nuclear Safety in Moscow President Kuchma reaffirmed the commitment of the Ukrainian Government to the terms of the G7- Ukraine Memorandum of Understanding of 1995. He specifically committed that CNPP Unit Number 1 would be closed permanently by the end of 1996. That statement was subsequently repeated by Mr. Yuriy Kostenko the Ukrainian Minister of the Environment at a Round table Meeting in Kiev on April 22 1996.

Considering the greatly shortened schedule of closure from that contained in the 1995 G7 understanding work was accelerated to develop an Interim Plan to address these new circumstances. This was completed in June 1996. The Recommendations of the Interim Action Plan addressed three broad areas namely:

- Human resource issues training and re-training counselling
- Diversification of the economic base of the Slavutich region and
- Conditions related to MOU projects to ensure local participation in these works

Agreement on the general direction of the Recommendations of the Interim Action Plan was transmitted by the Government of Ukraine in October 1996. The Government also reaffirmed that Slavutich would continue to exist.

This first draft of the Final Action Plan (FAP) further develops upon the Recommendations contained in the IAP

### **1 3      Actions taken to date by the Municipality of Slavutich address the social impact of closure**

The Municipality of Slavutich has been particularly active in addressing a number of areas to prepare for dealing with the social impact of closure upon the town. These have included a major audit of the human and physical resources of the town. This work was undertaken by the Economic Department of the town and is entitled 'Passport - Slavutich'. A further entitled 'Perspectives for Social Infrastructure Development for Slavutich until 2005' was undertaken by the Scientific Research Economics Institute of the Ministry of Economics of the Ukraine. The Municipality has furthermore taken the steps to establish a forum to discuss and elaborate the strategies for the future development of the town in the light of the lay-offs resulting from the closure of CNPP.

### **1 4      Actions taken through international co-operation**

In addition to its on-going Employment Services Project, EU Tacis has provided funding for technical assistance for two projects following the elaboration of the Interim Action Plan. The scope of these two projects include:

- the establishment of a Business Development Agency following the elaboration of the Interim Action Plan
- establishment of counselling and information services
- assistance in the re-structuring of the communal services of Slavutich
- assistance in the divestiture of non core assets of CNPP and
- continued support to the Joint Working Group established under the auspices of the joint EU-Ukraine-US project to assist the Ukraine in elaborating an action plan to address the social impact of CNPP closure

These two projects were initiated to respond to the Recommendations (1) (3) (11) (16) & (17) of the Interim Action Plan.

## **Section Two**

**Plans for the CNPP workforce**

## 2 0 Plans for the CNPP workforce

### 2 1 MOU projects employment projections

On November 30 1996 unit one of Chornobyl Nuclear Power Plant was shut down. At that time approximately 6,400 workers were employed at the nuclear station. A demographic profile of the CNPP workforce was included in the interim action plan. More than 80% of this workforce lives in the municipality of Slavutich purposely built to house workers in 1987. The workforce is highly educated, experienced in nuclear safety and operations, and conveniently located to serve the labor needs of the nuclear station. The workforce has a relatively high living standard and income within Ukraine and most would prefer to maintain their current employment situation. Participation in future projects at Chornobyl is critical to ease the workforce transition.

Due in large measure to the locational constraints of Chornobyl, the locally available workforce maintains a competitive advantage over workers from other regions. The cost of transportation, site accommodation and other related costs for workers from Kiev region is 20% to 30% higher than the Slavutich region.

Nuclear worker	Slavutich Region	Kiev Region
Average Monthly Salary & Benefits (Hr)	783	783
Average Monthly Transport & Accomodation	934	1450
Total	1717	2233

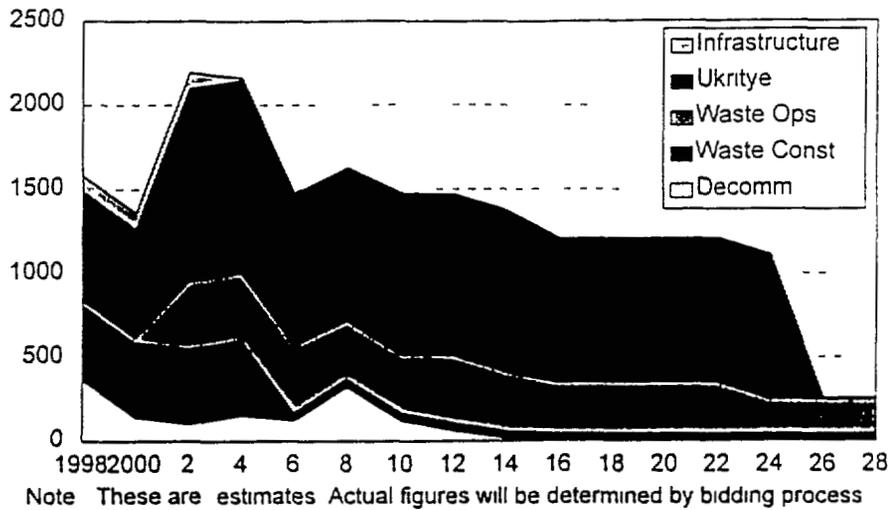
The terms of the Memorandum of Understanding (MOU) between Ukraine and the G-7 nations specify projects which will be undertaken at Chornobyl to support the closure of CNPP. These include 1) the decommissioning of units 1, 2 and 3 of the CNPP, including fuel and waste management, and 2) the transformation of the Shelter or 'Ukrtye' covering unit 4 into an environmentally safe system. The implementation of these projects will be by international tender financed through a Nuclear Safety Account established in the European Bank for Reconstruction and Development (EBRD).

The MOU projects are expected to span over twenty years. At their peak from 2001-2006 these projects are expected to employ more than 2200 workers. Substantial local resources will be needed to operate new facilities, perform decommissioning and waste management tasks, transform the Shelter and to support project management.

CNPP plans to maintain and retrain a major portion of its workforce to perform necessary operational tasks during the preliminary periods of waste facility construction and decommissioning. These workers will be positioned to transfer to employment on the Shelter project. The following charts illustrate the employment profile over the term of the MOU projects.

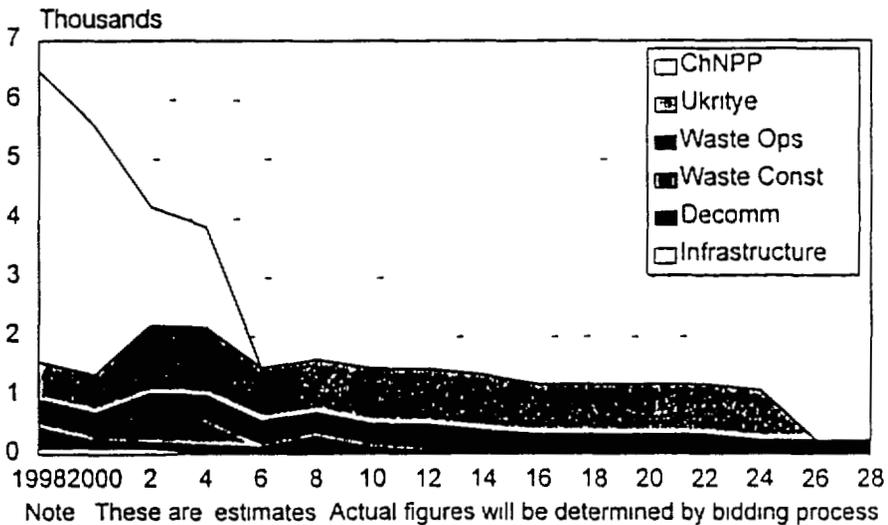
# EMPLOYMENT PROJECTIONS

## "G-7 MOU" Projects



# EMPLOYMENT PROJECTIONS

## ChNPP Operations and "G-7 MOU" Projects



Competencies and requirements for the MOU projects must be defined. This is a main recommendation of the Action Plan and is essential for the successful transition of the local workforce and the smooth completion of the MOU projects. Preliminary engineering studies identify only a few labor categories such as mechanics, electricians, plant operators, health physicists, planners, supervisors and managers.

## 2.2 Re-training issues

In order to assist in the sustainable economic development of Slavutich and the re-employment of the former CNPP workers there will need to be an element of re-profiling the workforce through skills up grading, retraining and adaptation. The re-profiling of the labour force will ensure that they are able to maximise their potential in being involved in the above opportunities and thus be able to remain in Slavutich.

The current CNPP workforce numbers about 6 500. These workers are predominantly male, under 45 years old and highly educated. CNPP classifies these workers as managers (14%), engineers (20%), technicians (64%) and semi-skilled (1%). Over 5 000 of these workers live in the City of Slavutich. This workforce is operating one reactor at present ( reactor 3 ) and maintaining safety at reactor 2. There is also continued work related to the maintenance of the sarcophagus area. It is currently unclear whether unit 2 will operate again.

Recommendations were made in the Interim action plan, some of which have been put in place during the interim period. Despite the fact that a complete picture of the profile of competencies of CNPP workers is not yet completed, a number of actions should be considered to be implemented.

It is foreseen that there will be four areas of the retraining activities in the action plan:

- The involvement of former CNPP workers in G7 MOU activities will require an element of re-training. That will involve the adaptation of the present NPP workforce to the anticipated profile of the labour needs for decommissioning reactors 1, 2 and 3 of the CNPP, nuclear waste management as well as to rebuild the unit 4 sarcophagus and energy efficiency.
- The activities related to CNPP and to the environment provided by the International community such as the Franco-German centre in Kiev and the US funded Centre for environmental research in Slavutich region.
- There is a need for entrepreneurship and management training for potential entrepreneurs in Slavutich in order to generate a diversified economy.
- The activities associated with the MOU will provide numerous opportunities for employment and enterprise development in Slavutich. The city will be the most logical base from which foreign contractors will need to manage the implementation of G7 projects. A broad spectrum of technical and service enterprises will be required to act as collaborators with foreign operators.

However, there are a number of constraints at this stage which will be addressed in the action relating to the final plan:

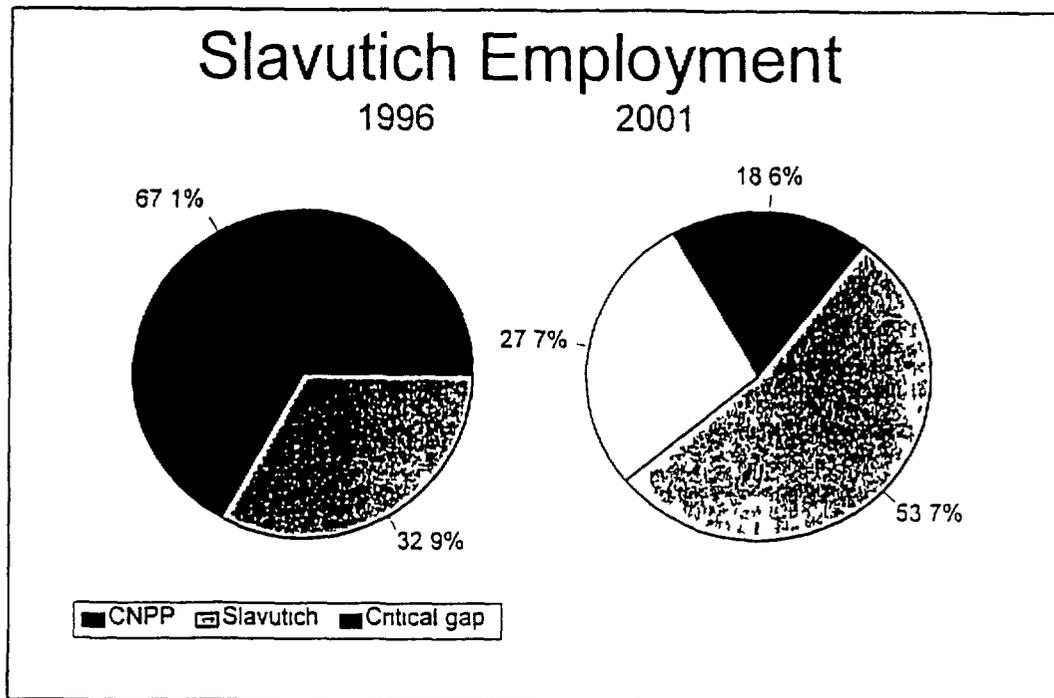
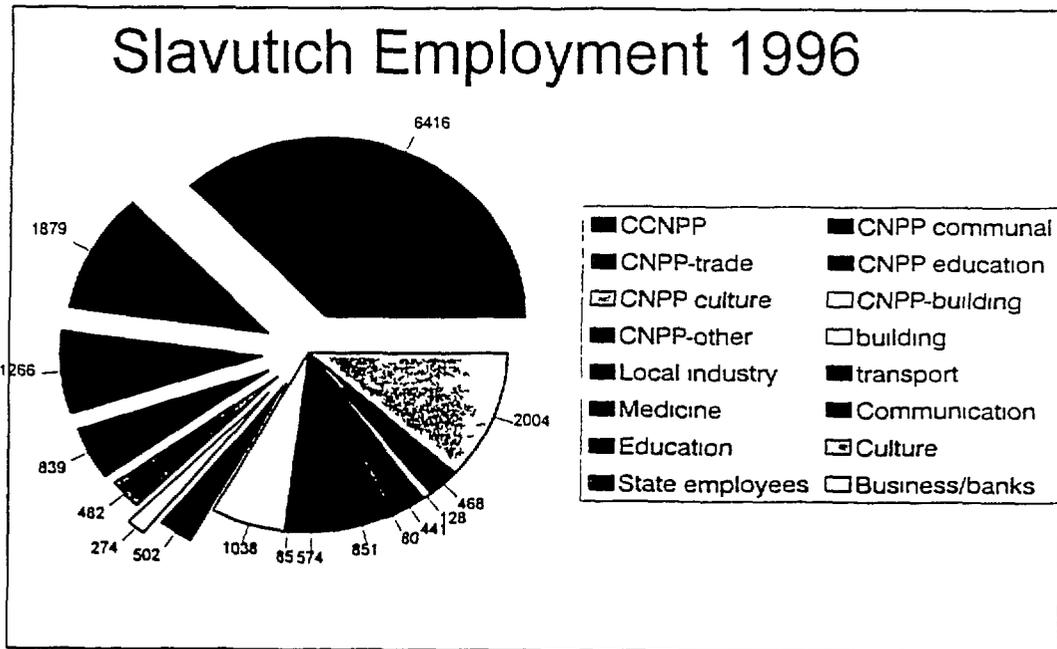
- A profile of the competencies of Slavutich workers is needed to design the training and retraining programs needed to prepare for these opportunities. A detailed prospectus of the workspaces created by various enterprises and economic development schemes will be included in the final Action Plan.
- the numbers and types of workers required for safe operation and de-commissioning from a Ukrainian government perspective.
- schedule of planned lay-offs at each phase of the de-commissioning in order that there is a co-ordinated transition between these lay-offs and the MOU related activities and where appropriate, compensation packages can be prepared.

Section Three

**Plans for Slavutich**

### 3 0 Plans for Slavutich

#### 3 1 The current situation



### 3 2 Visions

In the medium-long horizon the potential exists to sustain the current quality of living standards in Slavutich by diversifying the economy. Currently the short term immediate crisis is the centre of attention. However Slavutich has a pool of human resources that are highly qualified and should be retained and encouraged to work in areas that are vital to Ukraine's future for example

energy The activities associated with the MOU will provide numerous opportunities for employment and enterprise development Slavutich will be the most logical base from which foreign contractors will need to manage the implementation of G7 MOU projects A broad spectrum of technical and service enterprises will be required to act as collaborators with foreign operators It is essential that mechanisms are put in place to ensure that such local enterprises are able to fully participate in the projects Given the role of CNPP in many people's lives in Slavutich and its hinterland the Plant could take an active role in this diversification process

The Government also has to ensure that provision to stimulate and 'kick start' the local economy are in place if any new initiative is to be a success Furthermore mechanisms such as conditions relating to local component of contracts should be encouraged Goscomatom should also make efforts to ensure that as much work as possible related to the logistics and implementation of the G7 MOU projects is located in Slavutich

The diversification of the economy of Slavutich will not only involve the creation of new work places through enterprise development but will also involve the **economic restructuring** of CNPP as services are divested either to the Local Authority and Central Government or to quasi-private and private enterprises It is suggested that in undertaking this process the following approach should be adopted

- emphasis upon micro-economic tools rather than macro-economic
- involvement of CNPP Management and Local Administrators as main actors
- target the local social actors directly (enterprises groups of enterprises and/or Local Administrations) to ensure their involvement
- efforts should be well targeted and tailor made to reflect local conditions of Slavutich and the specific social role played by the CNPP

In conjunction with these efforts there will be a need to the **development of local democracy and participation** of citizens in Slavutich The interventions will emphasise the following

- spreading of responsibility throughout the community by identifying local groups and provide them of with the necessary tools and know-how required to diversify the local economy to provide a sustainable alternative to CNPP
- promotion of and establishment of transitional forms of local social policy making (mixed forms of ownership mixed forms of management) and
- favour different forms of self management and social invention

In dealing with the transfer of CNPP's social functions to Slavutich or the Oblast or community-based institutions and associations that could also organise and manage social services (e.g. associative type institutions coops unions NGOs) interventions should

pay close attention in the identification of these groups (ecologists civil servants but also pensioners and any other social or age group whose ongoing relationship with the Corporate-System (in this case CNPP) whose situation has deteriorated as their dependence upon public spending has become comparatively stronger than in the past develop a capacity to transfer and root into local people a trust in their own capacity to build their own institutions and in their right to make experiments

- efforts to give a voice to the different interests which long-time coexisted within the corporate CNPP framework
- harness existing local traditions of self-government community and institution-building and direct them towards alternative models

Visibility of immediate initiatives to stimulate the diversification of the economy is essential The Municipality has taken the initiative to locate promotional activities in one readily accessible building

The MOU G7 projects offer a broad spectrum of direct and in-direct employment opportunities. Private and quasi-private local enterprises could be actively involved as partners to foreign operators in technical and service sectors. Unfortunately, few if any enterprises exist in Slavutich to fulfil such roles. There is a limited time available to develop such enterprises to actively participate in G7 activities. A number of actions are therefore proposed to address this problem.

### 3.3 Economic diversification

CNPP has a strategy not to lay-off workers until 2001. The intention is to re-train workers during this period and to re-deploy when new employment opportunities arise. However, in 2001, some 4,300 workers are potentially laid off. Extrapolating from EU employment projects for MOU projects, the following flow of lay-offs is to be anticipated:

2001-2006	700
2006-2011	200
2011-2016	100
2016-2021	100

In addition, there are a further 2,000 new entrants to the labour market anticipated during the next year. There is therefore a critical need to diversify the economy of the region of Slavutich.

An important element to be taken into consideration when proposing any form of diversification of the economy of Slavutich and its immediate hinterland is the nature of the labour force. The labour force contains a substantial number of highly qualified technical personnel who are engaged in one of the elitist industries, namely the nuclear industry. Thus, in addition to the concerns relating to the potential disintegration of the inherent social/community belonging of the Soviet state enterprise, there are the psychological effects of workers perceiving that the outside world devalues their status and the work they do. A similar situation has been described as having occurred at the time of de-commissioning a nuclear power plant in former East Germany. However, these psychological issues are not only confined to the nuclear industry or to the former Soviet Union. They are common in all industries that are faced with re-structuring worldwide. However, in the case of Slavutich, they must be seen in the context of the role of the Soviet styled state-enterprise.

There is undoubtedly a need for the establishment of a broad spectrum of services to support enterprise development. Initial steps are being taken in this direction with the establishment of the EU Tacis funded Business Development Agency. However, within the service and production spheres both related to the G7 MOU projects, but also to, among others, energy efficiency, there is a need to establish a culture of inter-firm collaboration. Such collaboration could be related to the sharing and paying for services of mutual interest, e.g. accountancy, marketing, technical services. Such a model could result in sectoral service centres to support enterprises in addition to the BDA to assist the establishment of enterprises.

The profile of the workforce of CNPP lends itself to the establishment of service and production enterprises related to other forms of energy production and energy efficiency. Thus, in order for the Ukraine to retain this expertise, efforts should be made to maximise these valuable human resources.

The immediate hinterland contains raw materials for ceramic tile production. Ukraine currently exports the raw material to such countries as Italy. At the same time, it imports finished ceramic tile products for hard currency from such countries as Turkey and Poland. The establishment of a production facility in the vicinity of Slavutich/Chernighiv would offer employment opportunities for many of the lower skilled labour that will be made redundant from CNPP.

The re-structuring of the communal services and the opportunities that will arise to service the newly established enterprises will stimulate the development of micro-enterprises and self-employment. Technical consultancy, software development, small maintenance companies

catering services running of kindergartens marketing services for enterprises printing accountancy and book keeping are among many such possibilities that will arise

In recent years considerable attention has been paid to the development of small and medium sized enterprises working in networks or clusters. The efficiency of the system is based upon a matrix of service centres for enterprises that usually work in clusters. For example payroll taxes accounting and marketing is often undertaken by a business association. Similarly specific sectoral technical service centres have been established. The firms pay a subscription fee for basic services.

Mechanisms have also been established by clusters of firms associations of firms and co-operatives to provide services related to employees such as supplementary pension rights health care care of retired persons the provision of nurseries and kindergartens. This model of social responsibility of enterprises could readily be adapted to the Slavutich situation. Experience from enterprise development projects in countries such as Belarus indicate that entrepreneurs are often concerned about the deteriorating provision of social services and are willing to take steps to intervene.

Section Four

**Detailed actions**

## 4 0 Detailed actions

### 4 1 Mechanisms to ensure local participation in MOU projects

The MOU projects at Chernobyl offer a broad spectrum of direct and indirect employment opportunities. In addition to foreign firms directly hiring local personnel, private and quasi-private local enterprises could be effectively involved as joint venture partners and subcontractors to foreign operators in technical and service sectors. Most development banks, including the EBRD and World Bank, have a general policy to encourage and foster the participation of domestic firms in borrowing countries in connection with bank-financed projects, especially when there is a pool of qualified firms. In the case of the World Bank, foreign consultants are encouraged to consider a variety of possible business arrangements to ensure local participation when domestic firms are capable of providing part, but not all, of the services required. Often, these limitations are related to size, operating history, and financial strength, not capability.

In Slavutich and Ukraine generally, the experience of local firms and individuals is limited in the field of international tendering. The ability to organize, manage, and technically execute much of the work envisioned in the MOU projects is available in the region. Special efforts are required to ensure that local expertise is employed and local firms are developed throughout the execution of the MOU projects. **Specifically, language should be included by the EBRD (NSA) in the tendering documents for MOU projects related to decommissioning, waste management and the Shelter that will ensure the participation of Ukrainian enterprises and the potentially affected CNPP workforce.**

In consultation with the Nuclear Safety Account managers of the EBRD, the Government of Ukraine (Ministry of Finance and International Technical Assistance Agency) should propose appropriate language consistent with the laws of Ukraine and governing provisions of the Bank and NSA. The City of Slavutich should develop information on local services enterprises, institutes, organizations, and individual specialists suitable for inclusion in tender documents.

The timeframe for implementing this action is during the first quarter of 1997, prior to the issuance of the first of the anticipated project tenders (the PMU). Information should be updated regularly for tenderers, awardees, and subcontractors.

The estimated cost of this recommendation is approximately \$20,000 USD, which covers data collection, dissemination, and communications.

### 4 2 Transitional Community Services Fund

One of the major concerns of the Municipality of Slavutich is CNPP's inability and anticipated increased inability to support the communal services of town. Real labour costs to CNPP are salaries to employees, a broad range of benefits (housing, food, medical care, etc.) and transportation. In addition, CNPP is responsible for providing and maintaining infrastructure. As CNPP's income decreases as a result of reductions in electricity production, so will its contributions to the upkeep of services in Slavutich.

A proposed action to compensate these diminishing contributions to Slavutich is that foreign companies, i.e. on MOU G7 projects, employing workers from Slavutich and region pay salaries and the additional social costs which can be transferred to the Municipality.

Two models are proposed as a mechanism for implementing this model:

#### 1 Establishment of a contract labour company

## **2 Clusters of firms operating as specialist contract labour companies**

In recent years considerable attention has been paid to the development of small and medium sized enterprises working in networks or clusters. The efficiency of the system is based upon a matrix of service centres for enterprises that usually work in clusters. For example payroll taxes accounting and marketing is often undertaken by a business association. Similarly specific sectoral technical service centres have been established. The firms pay a subscription fee for basic services.

Mechanisms have also been established by clusters of firms associations of firms and co-operatives to provide services related to employees such as supplementary pension rights health care care of retired persons the provision of nurseries and kindergartens. This model of social responsibility of enterprises could readily be adapted to the Slavutich situation. Experience from enterprise development projects in countries such as Belarus indicate that entrepreneurs are often concerned about the deteriorating provision of social services and are willing to take steps to intervene.

### **4.3 Loan Guarantee Fund**

In order to diversify the economy of the Slavutich and to develop alternative sources of finance for the City the local economic base has to be developed. In order for the local economy to develop in this transition period it is necessary to create an environment to encourage new business to start or relocate to the City or region. One of the tools to do this is to provide soft credit to new enterprises.

The lack of capital in Slavutich and in Ukraine necessitates a new approach to funding local economic development. It is recommended that a loan guarantee fund is set up utilising capital from the sums deposited with financial institutions for the completion of the G7MOU projects. The loan guarantee fund would act as a method of realising credits for enterprises for local economic development in the City of Slavutich. The amount will depend on the need for credit in the region and on the amounts deposited by G7 countries and financial institutions for completion of the G7MOU projects.

The guarantee fund will be insured by the parties involved in the problem - the Government of Ukraine the G7 and the Municipal authorities of the City of Slavutich. If there was any loss due to a guarantee loan fund being called upon to make good a failed loan then this amount will be reimbursed to the Guarantee fund by the three parties.

The Government of Ukraine should make financial provision from the central budget for this eventuality. The G7 should be willing to take a share of the risk to allow the diversification of the economy. The city of Slavutich will compensate the loan fund (insure the loan fund) by drawing on a local fund capitalised by the payment of local taxes. This fund will in time become capitalised to an extent that it can provide finance from its own funds for credit for local economic development.

### **4.4 Human Resource Development**

#### Objective and implementation activity

To achieve the overall objective to train former CNPP and Slavutich city workers in order to stimulate sustainable economic development in the region through re-employment of former workers it is recommended to

- (a) incorporate requirements and budgets for training and re-training into the tender documents of G7 technical projects

- (b) create a Human Resource Development management Unit attached to the G7 MOU project management Unit to plan co-ordinate manage the re-profiling of the workforce for re-employment in G7 MOU projects related to CNPP which will
  - (i) Assess the MOU G7 training needs and local resources for retraining
  - (ii) Programme the re-training needs related to the construction operation and maintenance of the G7 MOU projects
  - (iii) Manage the trained labour supply and demand for the construction operation and maintenance
- (b) Institute a retraining and adaptation programme for the workers of CNPP to meet the projected labour needs of the G7 MOU projects
- (c) create the capacity to provide training in management and economics for potential entrepreneurs in Slavutich
- (d) create the capacity to provide training in a broad spectrum of technical and service enterprises which will be required to act as collaborators with foreign operators to provide services in Slavutich City
- (e) create a retraining and adaptation centre in Slavutich to provide support for the retraining programme for the G7 MOU projects entrepreneurial training and general technical a service subjects

### 3 Responsible

It is recommended that the following are responsible for the actions described above

- (a) incorporate requirements and budgets for training and re-training into the tender documents of G7 technical projects  
G7 Countries and International Financial institutions financing the G7MOU Projects
- (b) create a Human Resource Development management Unit attached to the G7 MOU project management Unit  
G7 Countries and International Financial Institutions financing the G7 MOU projects
- (c) Institute a retraining and adaptation programme for the workers of CNPP to meet the projected labour needs of the G7 MOU projects
- (d) create the capacity to provide training in management and economics for potential entrepreneurs in Slavutich  
International donors
- (e) create the capacity to provide training in a broad spectrum of technical and service in Slavutich City  
International donor community
- (f) create a retraining and adaptation centre in Slavutich  
International donors

### 4 Results and outputs to be achieved

- ***training and re-training requirements and budgets are incorporated into the tender documents of G7***

- *the creation of a project Human Resource Development management Unit attached to the G7 MOU project management Unit to plan, co-ordinate, manage the re-profiling of the workforce for re-employment in G7 MOU projects related to CNPP*
- *Assessment of the MOU G7 training needs and local resources for retraining*
- *Programme of the re-training needs related to the construction, operation and maintenance of the G7 MOU projects*
- *Management of the trained labour supply and demand for the construction, operation and maintenance*
- *Retraining and adaptation for the workers of CNPP to take advantage of the employment opportunities of the G7 MOU projects*
- *Creation of the capacity to provide training in management and economics for potential entrepreneurs in Slavutich*
- *creation of the capacity to provide training in a broad spectrum of technical and service enterprises which will be required to act as collaborators with foreign operators to provide services in Slavutich City*
- *creation of a retraining and adaptation centre in Slavutich*

##### 5 Cost estimates

The labour legislation in place at present (law on the Employment population 1991) addresses the rights of the worker which is laid off in mass restructuring of enterprises. Within this legislation there is a right to retraining to convert and adapt the competencies of the former employees of CNPP. The employment fund provides finance for retraining purposes for unemployed persons. However, this fund is inadequate to meet the demands at present being put on it by the City of Slavutich. Funding for retraining for unemployed persons is only provided by the Employment fund if there is a certainty for a new workplace at the end of the training. If workers laid off by CNPP in the near period have not received retraining for a new occupation in the two years previous to the time of lay off then it is the obligation of CNPP to meet the reasonable costs of retraining for a new employment.

There are a number of potential costs

- 1 the costs of the creation of a Human Resources Project Management Unit for the G7MOU projects

On the basis of a Project management Unit for Human Resources being based in Slavutich for a five year period and including international support an estimated 6 Million USD is needed

- 2 the cost of creation of the capacity to provide training in management and economics for potential entrepreneurs in Slavutich

This is being provided by a current Tacis project with the city of Slavutich

- 3 the cost of providing training in management and economics for potential entrepreneurs

This will depend on the uptake of the training provided through the business development agency and will be provided through a self financing mechanism

- 4 the creation of the capacity to provide training in a broad spectrum of technical and service enterprises which will be required to act as collaborators with foreign operators to provide services in Slavutich City

International donor community

- 5 the cost of providing training in a broad spectrum of technical and service enterprises which will be required to act as collaborators with foreign operators to provide services in Slavutich City

The employment service and fund Extra provision should be made through the fund by the Central Ministry of Labour to provide finance for the provision of training in appropriate subjects

- 6 the cost of creating the capacity to provide training at general level to former workforce of CNPP to fulfil labour requirements of G7 MOU projects (quality management hazardous waste material etc )

Cost of Retraining for G7 MOU projects to meet forces needs

Year from 1998	Average number of workers over period	cost of retraining for General technical and scientific training (USD)	cost of retraining for Specialised training (USD)	Total cost of retraining for General and Specialised training (USD)
1 - 5	2200	1320000	660000	1980000
6 -10	1500	900000	480000	1380000
11 - 15	1300	780000	390000	1170000
16 - 20	1200	720000	360000	1050000
21 - 25	1100	660000	330000	990000
TOTAL				6 520 000

1 general training average 4 months  
 2 specialised training average 2 months  
 3 2 trainers per group of 15 persons  
 4 cost of training includes trainer salary teaching materials and equipment (600 US\$ per trainee) excludes subsidence, transport of trainee  
 5 50 % personnel retrained every five years and 50 % attrition rate due to demographic form of the CNPP workforce

- 7 the cost of actually providing the general training for former workers of CNPP (cost of institution cost of teachers cost of subsidy payments to trainees)

CNPP and the Employment service The Employment service can be requested to support as far as they can the cost of retraining and the Development fund can invest in the Human capital for future returns

- 8 the costs of providing contractor specific training in specialised areas for construction operation and maintenance

The G7 MOU contractor within the budget of the project

The cost of the training on the G7MOU projects has a number of elements

- 1 The cost of the formation of the trainer
- 2 the cost of the salary of the trainer
- 3 the cost of the materials utilised in the training
- 4 the cost of the subsistence of the trainee

It is recommended that

- 1 the tender documents for the contractor of the G7MOU projects that there is provision for specialised training of workforce for fulfilment of project
- 2 International donors be asked to contribute to create the creation of the capacity to provide training in management training and a broad spectrum of technical and service enterprises which will be required to act as collaborators with foreign contractors
- 3 International donors be asked to contribute to the cost of creating the capacity to provide training at general level to former workforce of CNPP to fulfil labour requirements of G7 MOU projects (quality management, hazardous waste material etc )
- 4 That the cost of the providing the training in general subjects related to the G7 MOU projects management and economics training and other forms of technical and service training for the city of Slavutich be provide through the Employment fund the legal entitlement of the former employees to the retraining at the cost of the enterprise other Government departments and the cost of re employing workers

#### 6 Schedule and timetable

The schedule for the retraining depends on the three factors

- the start dates of the G7 MOU projects
- the supply and readiness of the centres for retraining
- the growth of entrepreneurial need in Slavutich

The training needs for the G7 MOU projects are potentially extensive We have three main projects - those are decommissioning of Reactors 1 2 and 3/ the waste management and Shelter two (the Ukryite) The chart attached gives the G7MOU projects labour projections

The skills adaptation and upgrading for the three projects should be provided by a centre of retraining and adaptation situate in Slavutich to encourage its use by the workforce of Slavutich and CNPP and use by the Contractors within the G7 MOU projects The centre should be provided in the near future

#### 4 1 Economic Development

## APPENDICES

- 1 Passport of Slavutich
- 2 Employment Program for the Slavutich Population for 1997
- 3 Proposals on Insurance Fund
- 4 Report from U S Study Tour of the Ukraine Specialists
- 5 Slavutich Review of Health and Safety Information

**Appendix 1**

**PASSPORT TO SLAVUTICH**

**Appendix 2**

**EMPLOYMENT PROGRAM FOR THE SLAVUTICH  
POPULATION FOR 1997**

The programme consists of four parts

- 1 Introduction
- 2 Main ways of the Employment Development
- 3 Information Charts
- 4 Appendices

## 1 INTRODUCTION

The introduction includes three parts. The first part concerns the conditions of the program. These are the legislation base of Ukraine. The goal of the program is to implement several actions on the efficient employment promotion, mass unemployment prevention, efficient social protection for the population who are not able to work.

The current population of Slavutich is up to 25,000 people. The average age of the residents is up to 30 years. The available working force is 14.9 thousand. The workers for the State and Public enterprises and organizations comprises 80% of the total employed in the community services field, the total number of people is 16.6 thousand. The main part of the citizens work force works for the CNPP. The rest work for the social cultural field. The small business network is presently developing in the city.

The difficult economic situation in Ukraine resulted in the reduction of workplaces in Slavutich. 1185 people addressed the Slavutich employment center. 747 of them are registered as those who are searching for a job. 438 received consultations from the center. These figures are 1.2 times more than the previous year's figures. Compared to the last year, the working youth and women increased.

Among the registered as those who are searching for a job

36 are the workers laid off due to job cut downs. 8 were given a job with the help of the employment center, 23 are unemployed (63.9%). 27 are women.

531 quit their jobs. 130 were reemployed (24.5%). 293 were registered as unemployed (55.2%).

70 are from different educational establishments. 22 were hired and 16 registered as unemployed.

200 are in other categories of unemployed. 58 were hired. 71 are registered as unemployed.

Particular attention is paid to the employment of the youth up to 28 years.

The most important problem is the laid off workers and their reemployment.

To meet the requirements of the current situation, the workers of certain professions obtain professional training and retraining from the employment center in order to get a job.

This year 16 people were trained or retrained and the figure was 41 last year

Among the unemployed, 79.9% are women, 36.7% are youth through the age of 28. 41.2% are professionals. 26.3% are administrative workers. 32.5% are semi-skilled or non-skilled.

Education for the unemployed - the professional education 35.6%. 32.3% have completed high school. 22.6% have a university or special institute degree.

The Slavutich unemployment level on December 1, 1996 is 1.05% of the workable population. On November 1, 1996, 200 unemployed were registered in Slavutich and this is 4 times more than on the same date last year (60% of the 200 get unemployment benefits).

Money spent for training and retraining by the State Fund for employment promotion 1742.8 UAH

Money spent in unemployment benefits 17724.7 UAH

The third part includes the labor market forecasts for 1997. It is predicted that 2400 people will address the employment service. 60% will be women.

The goals of this program are professional training and retraining, professional orientation of laid off workers, unemployed (people who quit their jobs) and youth, additional work place creation, self-employment, business activities, etc.

It is predicted that 1920 people will be registered as unemployed and 1824 of them will get unemployment benefits. It is expected that 720 people will be unemployed in the fall of 1997, that is 520 people more than in the beginning of 1997. It will cost 2184.9 thousand UAH to implement the program.

## 2 THE MAIN WAYS OF EMPLOYMENT PROMOTION

To clarify the list of constructed and reconstructed sites, the newly created workplaces at the enterprises of any type, the need of professional workers and the sources to meet the need which includes retraining the unemployed

Town Executive Council, Economics and Social Development Department  
Local Employment Center  
First quarter 1997

The seminars on employment are to be organized at the enterprises where the mass laying-off is expected in order to work with the employers so they completely understand the Employment Law of Ukraine

Local Employment Center  
Administration of the enterprises  
During the year

To promote 20 extra workplaces at the enterprises which will exceed the normal amount according to Article 5 of the Employment Law of Ukraine

Local Employment Center  
During the year

To stimulate business and socially and economically valuable self-employment with no-interest loans for the unemployed from the Employment Promotion Fund to start business activities

Town Executive Council  
Local Employment Center  
During the year

To determine the sizes and types of public works, finance sources and logistic base To set agreements with the enterprises to organize public works

Town Executive Council  
Local Employment Center  
1 quarter 1997

To involve 30 people (including 20 unemployed) in public works, which are paid for

Local Employment Center  
During the year

To provide the vast population information in order to involve people in the public works

Local Employment Center + local mass media  
During the year

To assign 964 HR for public works organization for the unemployed

Local Employment Center  
During the year

On the base of the Kiev Region Employment Center, to provide training and retraining for 170 unemployed, laid-off, other categories of the available labor, registered at the employment services

Local Employment Center  
During the year

To assign 193 98 thousand HR for professional training and retraining of available workforce and unemployed

Local Employment Center  
During the year

If the need is to set an agreement with the Chernigov educational establishments on professional retraining of Slavutich unemployed

Local Employment Center  
During the year

To hold seminars for all the categories of unemployed in order to accelerate the employment and further professional training determinations

Town Council on professional orientation  
Local Employment Center  
During the year

To hold professional orientation works among the available workers of the town, youth, grade 9-11 graduates, according to the professional orientation program that has been prepared by the employment service and other town organization specialists with the help of the TACIS experts

Town Council on professional orientation  
Local Employment Center  
Local Education Department  
During the year

To provide the social protection for the unemployed and their families the State Employment Promotion Fund is to assign 1909 28 thousand HR, including the 1 1 thousand HR for financial assistance

Local Employment Center  
During the year

To specify the professions list in order to reserve workplaces for the residents who need social protection and are not full-fledged participants of the labor market

Local Employment Center  
January 1997

To employ residents who need social protection and are not full-fledged participants of the labor market, 145 workplaces at town enterprises should be reserved The 145 include 50 places for women with juvenile children, 75 places for youth under 21 ( including 40 places for under age)

Town Executive Council  
Local Employment Center  
January 1997

To favor full employment at the reserved workplaces, training of the school graduates, orphans, teenagers who quit school or were expelled

Local Employment Center  
Ministry of Home Affairs, Kiev region local department  
Local educational department  
Town youth affairs comity  
Town youth social service department  
During the year

To favor the employment of women, especially those who were laid-off or need special social protection  
Following this, to professionally train or retrain 150 women at the expense of the Employment Promotion Fund

Local Employment Center  
During the year

To professionally train or retrain 160 young people under age 28 at the expense of the Employment Promotion Fund

Local Employment Center  
During the year

To provide financing for the program measures at the expense of the Employment Promotion Fund

Local Employment Center  
During the year

The program implementation measures plan will provide the labor market situation analysis per each quarter of the year and next period forecasting, provide the town executive council with information on the employment control regularly

Local Employment Center  
Each quarter of the year

To introduce the necessary changes and additions to the approved program figures in case of unexpected Slavutich labor market changing

Local Employment Center  
During the year

To inform the local population regularly through mass media, information bulletin of the employment services, agitation works on SES activities, possible employment, professional orientation, new professions creation

Local Employment Center  
Local TV  
During the year

The direct verification of the employment program measures implementation is conducted by the local coordination committee on employment favoring

3 INFORMATION CHARTS

Table 1 - The Proposed Workforce (forecast for 1997)

			Including			
	Together		Early 1997		During 1997	
	Total unemployed	Employed Registered with employment service	Total unemployed	Employed Registered with employment service	Total unemployed	Employed Registered with employment service
I 01 Total available labor	3640	2400	588	280	3052	2120
02 Including unemployed	1920	1920	200	200	1720	1720
CATEGORIES	1930	1545	100	60	1830	1485
03 Laid off due to enterprise reorganization of employee cut downs						
04 Employees who quit their job	1050	471	313	131	737	340
05 Laid off or fired for discipline reasons	40	30	15	10	25	20
06 Graduates of higher educational establishments	50	33	20	8	30	25
07 Graduates of professional or technical establishments	50	40	15	10	35	30
08 High school graduates	155	104	40	24	115	80
09 2 Years Military service	20	13	10	3	10	10
10 Laid off from military service (due to branch restructuring) with no benefits (no pension)	---	---	--	---	---	---
11 Housekeeping (domestic workers)	20	15	10	5	10	10
12 People deported from CNPP zone, refugees	---	---	---	--	---	--
13 Former prisoners (convicts)	15	13	5	3	10	10
14 Other categories	310	136	60	26	250	110

			Including			
	Together		Early 1997		During 1997	
	Total unemployed	Employed Registered with employment service	Total unemployed	Employed Registered with employment service	Total unemployed	Employed Registered with employment service
II Special categories (people who need special employment help) - Pensioners	80	20	50	---	30	20
- Disabled	25	10	15	---	10	10

Table 2 - Proposed Workforce (Social Demographic Structure)

Region	Available labor		Including					
			Women		Youth up to age 28/up to age 21		People close to retirement age	
	Total unem-ployed	Employed Registered with employment service	Total unem-ployed	Employed Registered with employment service	Total unem-ployed	Employed Registered with employment service	Total unem-ployed	Employed Registered with employment service
Slavutich	3640	2400	2002	1440	1820/740	1320/ 600	25	20

Table 3 - Laid off Due to Enterprise Reorganization Structure

Region	Laid Off Available for the Labor Market	Including the Economy Branches						
		Industry	Transport & Commun	Building	Trade - Public Food Providing	Housing - Communal	Health Care - Physical Training & Social Protection	Other
Slavutich	1830	1000	50	40	200	300	200	40

Table 4 - New Workplace Creation and the Workforce Need for the New Workplace

Region	New Workplaces	New Workplaces Provided by the Employment Work Fund				Workforce Need for the New Workplaces	
		Beyond the Norm	Loan without interest accrual		Other financing	Total no of people	Including workplaces and question marks
			?????	To create enterprises with legislative bodies			
Total of Slavutich	143	20	10	10	----	143	40
Including Branches							
Industry	10	10				10	10
Transport & Communication	13	10	2	1	---	13	13
Building	3	---	1	2	---	3	3
Trade & Produce? (public food providing)	5	---	2	3	---	5	5
Other Activities & Production	6	---	3	3	---	6	6
Non-Productive types of Services	3	---	2	1	---	3	3
Education	103	---	---	---	---	103	---

Table 5 - Total Calculations of Balance of Labor Market

Number	Indicators	1996 (Expected)		1997 (Forecast)	
		For full volume of working force	For full volume of working force through the employment service	For full volume of working force	For full volume of working force through the employment service
01	Proposed working force total	2120	1000	3640	2400
02	Total quantity of unemployed to be employed at the beginning of the year	315	90	588	280
03	Total quantity of unemployed expected at labor market	1805	910	3052	2120
04	Laid off from industries of national economy	120	60	1830	1485
05	Laid off due to personnel reassignments	1290	645	762	360
06	Graduates of higher educational establishments	145	90	180	135
07	Previously non-workers (i e , housekeepers)	20	8	10	10
08	Unemployed, but have the ability to work	230	107	270	130
09	Request for working force (employed)	1532	220	1900	360
10	Dismissed from lists for independent resolution of participation in labor activity and for other reasons	---	500	--	1060
11	Relocation to rural areas	--	--	---	---
12	Unemployed citizens to be employed at the end of the year	588	280	1740	980
13	Unemployed	200	200	720	720

Table 6 - Employment and Social Protection Measures for Unemployed Population

Region	Unemployed population registered at employment center	Including				
		Employment Totals	Positions within State Employment Fund	Professional training and retraining	Participation in Social Works	Payments on Unemployment
Slavutich	2400	360	36	170	30	1824

Table 7 - Working Place Reservations

	Total Men	In Accordance with the Article 5 Law on Employment						
		Women with Children Under the Age of 6, Single Women with Children under the Age of 14 or with Disabled Children	Youth with Secondary Education from Professional Technical Institutions who have not been Placed in a Job	Persons Under 21	Pre-Retirement Age	Not Employed for More than 1 Year due to Serious Reasons	Out from Penetentary	Persons Age 15 Acceptable to the Workplace
Slavutich	145*	50	35	30	5	10	5	10

\* Including 40 persons under the age of 18

Table 8 - Estimated Calculations for the Retraining and Training of Unemployed Population through the Employment Center

	Total Men to be Trained during the Year	Including							
		Types of Education			Use of Educational Base				
		Training	Retraining	Requalification	High Educational Establishments of Different Levels of Accreditation	Professional Technical Schools	Including Educational Courses & Internships (Combinations)	Enterprises or Organizations	Educational Centers of Employment Center
01 Total Unemployed Population	170	30	120	20	75	75	55	20	---
Beginning of Year	30	---	20	10	20	10	10	---	---
02 Unemployed	160	10	140	10	80	60	50	20	---
From 01 03 Laid off due to re-organization of production and due to health	80	---	80	---	65	15	15	--	-
04 At personal wish (quit)	30	---	20	10	10	10	10	10	---
05 Total graduates of educational institutions	30	20	10	---	---	20	10	10	---
06 Including comprehensive schools	20	20	---	---	---	10	10	10	---
07 Laid off from military service	5	5	---	---	---	5	---	---	---
08 Citizens	5	5	--	---	---	5	---	---	--

	Total Men to be Trained during the Year	Including							
		Types of Education			Use of Educational Base				
		Training	Retraining	Requalification	High Educational Establishments of Different Levels of Accreditation	Professional Technical Schools	Including Educational Courses & Internships (Combinats)	Enterprises or Organizations	Educational Centers of Employment Center
who are new to the workforce (excluding no 06)									
09 Citizens who have not worked longer than 6 months	10	---	---	10	---	10	10	---	---
10 Others	10	---	10	---	---	10	10	--	--
11 Women	150	30	100	20	58	74	20	18	--
12 Youth under 28	160	30	110	20	70	74	50	16	-
13 Average term of education	4,9	6,0	4 9	3 0					

Table 9 - Organization of Social Works

Region	Unemployed Population which will be involved in social works men	Including		From Paragraph 2 by Industries	
		Unemployed	Unemployed with benefits terminated	Trade and public services (restaurants etc )	Communal services
Slavutich	30/12*	20	10	5	25/12*

\* On the account of State Employment Service (transportation & equipment)

Table 10 - The Number of Unemployed and Levels of Unemployment as of the First day of Each Month in the Forecast Year in Slavutich

As of	01 01 1997	01 02 1997	01 03 1997	01 04 1997	01 05 1997	01 06 1997	01 07 1997	01 08 1997	01 09 1997	01 10 1997	01 01 1997	01 12 1997	01 10 1998
No of un-empl	200	222	258	300	342	384	419	447	485	534	589	651	720
Un-empl level %	1 29	1 43	1 66	1 94	2 21	2 48	2 70	2 88	3 13	3 45	3 80	4 20	4 65

Table 11 - Benefits Payments According to Slavutich Employment Center

Slavutich	Total Unemployed Receiving Help on Unemployment	Including		Average Term of Receiving Benefits of Unemployment	
		Total at the Beginning of the Year	Expected future Unemployed	In Current Year 1996	In Forecast Year 1997
01 TOTALS	1824	160	1664	5 3	7 4
Including 02 Laid off due to reorganization of production or lack of funding	1470	53	1417	5 6	8 0
03 Laid off at Personal Wish	273	81	192	4 2	4 7
04 Laid off for labor code violations and production discipline	9	3	6	3 8	4 6
05 Graduates of Higher Education Institutions and Similar Institutions	10	2	8	4 6	5 0
06 Graduates of Professional Technical Schools	12	4	8	4 4	5 2
07 Secondary School Graduates	---	---	---	--	---
08 Dismissed from Military Services	8	2	6	1 7	3 5
09 Dismissed from Military Services without Right to Pensions	---	---	---	--	--
10 Housekeepers	7	2	5	3 4	4 6
11 People Reallocated from Chernobyl Zone of CNPP	---	---	---	---	---

Slavutich	Total Unemployed Receiving Help on Unemployment	Including		Average Term of Receiving Benefits of Unemployment	
		Total at the Beginning of the Year	Expected future Unemployed	In Current Year 1996	In Forecast Year 1997
12 Freed from Penetentary and Institutions	5	1	4	2 8	3 9
13 Others	30	12	18	4 9	5 6
14 No of Unemployed to Receive Unemployment Benefits	8	4	4	---	6
15 No of Members of Families of Unemployed who will Received Unemployment Benefits	29	15	14	---	2

Table 12 - Expenses of State Unemployment Fund

Thousands of Grivnias (UAH)

Expenses	Forecast 97
1 Expense of Appliance	80 68
Including	
- Creation of new workplaces over stated quarter	67 08
- Loans for businesses	13 6
2 Training - Retraining	193 98
Including	
- Stipends Grants and Scholarships	83 32
3 Organization of Social Works	0 96
Including	
- Organization of Social Works	0 62
- Payments to unemployed	0 34
4 Total	1909 28
Including	
- Material Help (social protection payment)	1 1
TOTALS	2184 9

Table 12 - Appendix

Cost Calculations of Employment State Fund (Payments to Unemployed)  
 Average Salary = 213 12 UAH Non-taxed minimum salary = 17 0 UAH

Categories of Unemployed	Quantity of Men	Term of Payment	Calculations	Total Amount in UAH
1 Total Unemployed	1470	8 0		1753 39
Including				
100% of Average Salaries	1417	2	$213\ 12 \times 2 \times 1417$	603 98
75% of Average Salaries	1417	3	$213\ 12 \times 0\ 75 \times 3 \times 1417$	679 48
50% of Average Salaries	1417	3	$213\ 12 \times 0\ 5 \times 3 \times 1417$	452 99
50% of Average Salaries	53	3	$213\ 12 \times 0\ 5 \times 3 \times 53$	16 94
2 At Personal Wish (quit job) (50% of average salary)	273	4 7	$213\ 12 \times 0\ 5 \times 273 \times 4\ 7$	136 73
3 For Violation of Labor Rules (50% of average salary)	9	4 6	$213\ 12 \times 0\ 5 \times 4\ 6 \times 9$	4 41
4 Higher Education (university institute)	10	5 0	$17\ 0 \times 5\ 0 \times 10$	0 85
5 Non-taxed	12	5 2	$17\ 0 \times 5\ 2 \times 12$	1 06
6 Dismissed from Military Service	8	3 5	$17\ 0 \times 8 \times 3\ 5$	0 48
7 Citizens of Households	7	4 6	$17\ 0 \times 4\ 6 \times 7$	0 55
8 From Jail	5	3 9	$3\ 9 \times 17\ 0 \times 5$	0 33
9 Others	30	5 6		10 38
By mutual agreement earns 50% of average salary after being unemployed for more than 1 year	15	5 6	$213\ 12 \times 0\ 5 \times 15 \times 5\ 6$	8 95
- Non-taxed minimum	15	5 6	$17\ 0 \times 5\ 6 \times 15$	1 43
10 TOTALS	1824	7 4		1908 18
11 Will Receive Material Help (unemployment etc benefits) (75% of non-taxed minimum)	8	6	$17\ 0 \times 0\ 75 \times 8 \times 6$	0 61
12 Members of Families Who Will Receive Help (50% of non- taxed minimum salary)	29	2	$17\ 0 \times 0\ 5 \times 29 \times 2$	0 49

Cost Estimates on Education and Retraining for '97

No	Specialty Occupation	Occupation Code	Forecast Estimate of Quantity of Men to be Trained or Retrained	Term of Education	
				General (months)	Estimated Forecast Period (months)
1	Workers - Total		95	4 5	4 3
	Seamstress	12156	10	6	3
	Cutter	12156	10	6	6
	Cook (bakery)	12901	10	5	5
	Painter	13450	5	3	3
	IBM - Operator	16199	20	3	3
	Hair Dresser	16437	10	6	6
	Cook (restaurant)	16675	10	5	5
	Shop Assistant	16353	10	2	2
	Seamstress (material cutter)	19601	10	6	6
2	Specialists Total		75	6 6	5 8
	Accounting & Audit (???)	20281	10	8	5
	Accounting & Audit	20281	10	6	6
	Secretary	24658	12	3	3
	Secretary - Typist	24676	13	3	3
	Economist - Manager	25351	10	10	10
	Economist - Manager	25351	10	8	5
	Economist - Lawyer	25351	10	10	10
3	TOTALS		170	5 3	4 9

Citizen's Stipends (Grants Scholarships) Cost Estimates for '97

Amount of Stipend	No of Men	Average Education Term	Stipends Calculation	Total Sum in Thousands of UAH
1	2	3	4	5
1 75% of Average Salary	80	4.9	Av Salary x 0.75 x 3 UAH x 2 UAH	$80 \times 4.9 \times 213.12 \times 0.75 = 62.66$
2 50% of Average Salary	30	4.9	Av Salary x 0.50 x 3 UAH x 2 UAH	$30 \times 4.9 \times 213.12 \times 0.5 = 15.66$
3 Non-Taxed Minimum of Incomes	60	4.9	min x 3 UAH x 2 UAH	$60 \times 4.9 \times 17.0 = 5.0$
4 TOTALS	170	4.9		83.32

Forecast Calculations of Travel Costs and Expenses for Training Personnel

No	Forecast Estimates Quantity of Personnel	Including		Average Term of Education in Forecast Period in Months	Cost of Accommodation (lodging)		Travel Cost in UAH				
		Req Housing	Non Req Living Space		Cost Per Student	Total cost in UAH	Daily Travel Rates		Periodical Travel		All
							1 month	total cost	1 month	total cost	
1	2	3	4	5	6	7	8	9	10	11	12
	170	160	10	4.9	75.0	58800	80.0	3920	36.0	28224	32144

Expenses of Training

Thousands of UAH

No	Quantity/ Men	Total Costs	Including			
			Travel Cost Forecast	Travel Expenses	Accommodation Costs	Stipends
1	2	3	4	5	6	7
	170	193 98	0 116 x 170 = 19 72	32 14	58 80	83 32

Cost Calculations for Social Protection

	Quantity	Salary UAH	Term of Agreement	Total Salaries
Payments to Unemployed	10	17 0	2	340 0
Organization of Social Works	12	Travel 20 x 2 x 12 = Costs 12 0 x 12 =		480 0 144 0 Totals = 624 0
Transportation Totals				964 0

Cost Calculations

- 1 For individual activity  
30 non-taxed minimums x 10 men = 30 x 17 0 x 10 = 5100 UAH
  - 2 On creation of enterprises with the rights of a legal person  
50 non-taxed minimums x 10 men = 50 x 17 0 x 10 = 8500 UAH
  - 3 Average Salary x 12 months x 20 men = 67080 0 UAH
- Including Industry 272 0 x 12 x 10 = 32640 0 UAH  
Transportation 287 0 x 12 x 10 = 34440 0 UAH

**Appendix 3**

**PROPOSALS ON INSURANCE FUND**

and be ready to restart the original activities by the moment of the projects completing  
When the term is agreed with the Chernobyl problem investments plan, in case of the favorable conditions, all the tasks will be fulfilled in order with the originally established expenses cost

1 1 2 G-7 is to assist in searching for the financing sources It is necessary to make the G-7 insurance fund free of the obligations, and that is why it is reasonable to make the investments not through the banks, but due to the various funds, including the charity ones

## 1 2 Ukraine

1 2 1 To agree to create the investments insurance fund for Slavutich city using the G-7 expenses

1 2 2 To plan the expenses in order to absolute Chernobyl problem projects implementation at the final stage of its utilization at the expenses of Ukraine in case of using the fund for the direct purposes of the covering loss credit projects This will take a part of risk to provide the investments

1 2 3 To work out the measures to secure the credit projects implementation \

- \* to cancel the income tax for the time of the investment period adding 2 years, which will reduce the risk and the time of the investment period,

- \* to solve the issues of the Slavutich municipal property and the ability to use a part for the local investments in the projects, which will increase the cost effectiveness of the projects and will reduce the terms of the investment periods

- \* To work out the conditions of the??????????

- \* To reduce the expenses on the loads customizing process, which is necessary for the projects implementation excluding the raw materials for the investment period adding two years

The described measures could be implemented only towards the projects of the presented scheme

THESIS The reducing (eliminating) of the tax on non-existing income will not result in the real losses for the State, at least not in terms of the investments periods for each project but will create a positive investment climate in the area

## 1 3 Slavutich

1 3 1 To create infrastructure to choose and verify the investment projects implementation in order to increase efficiency of the projects and decrease the risk

1 3 2 To create infrastructure for the investments projects organization, legal, economic and marketing insurance

1 3 3 To create local insurance fund, which should store the expenses from the income taxes of the created enterprises The funds accumulation will take place during two years after the paying back to the creditor The task of the local insurance fund is for the city to take a part of risk and constant G-7 insurance fund elimination Starting from the certain time the local insurance fund will become a grant for the new projects This will set the G-7 funds, obligated with the guarantees, free

THESIS The aim is to increase the cost effectiveness, to minimize the investments periods and reduce the risks when implementing the credit projects

**Appendix 4**

**REPORT FROM U.S. STUDY TOUR OF THE UKRAINE  
SPECIALISTS**

**Appendix 5**

**SLAVUTICH REIVEW OF HEALTH AND SAFETY  
INFORMATION**

# SLAVUTYCH REVIEW OF HEALTH AND SAFETY INFORMATION

## Background

Part of the planning and preparation for shutting down the Chornobyl Nuclear Power Plant (CNPP) is an effort to promote business development in the nearby city of Slavutych. The objective of developing business opportunities in Slavutych is to provide jobs for people in the Chornobyl vicinity to replace those lost with the closure of the CNPP.

A concern when promoting business opportunities in Slavutych is that potential investors, employers, employees, and their families may be exposed to radiation levels that present an unacceptably high risk to human health. This risk, whether actual or perceived, will detract potential employers and employees from the region. Further, at some future time, business promoters and employers may be liable to legal action brought about by persons seeking compensation from real or alleged exposure to radioactive contamination.

## Purpose of Study

A study is to be undertaken to address potential investor uncertainty regarding elevated radioactivity levels in Slavutych by providing an internationally defensible assessment of radiological contamination and its risk to the health of employers, employees, and their families that may be attracted to the region. This study is distinguished by its focus on risk to new populations entering the Chornobyl region rather than focusing on existing or past populations of the Chornobyl region.

## Scope of Work

A study will be undertaken by international practitioners in this field. The following steps will be undertaken:

- \* **Hazard identification** review and agree upon specific radioactive substances considered to pose some risk, and obtain health effects data from Ukrainian and internationally recognized agencies
- \* **Dose-response assessment** collate and review evaluations of the relationship between amount of exposure of a person to the various types of radiation, and the consequent extent of possible injury and/or disease
- \* **Exposure assessment** evaluate the nature and size of various new populations likely to be exposed to radioactive substances of concern, and the magnitude and duration of such exposure. Special consideration is to be given to identifying forms and routes of exposure (air, soil, water, food), exposure dose, and previous extent of exposure to radiation
- \* **Risk characterization** this is the integration of data and analyses obtained from the

Submitted by USAID to

City of Slavutych

previous steps to evaluate the extent to which the likely exposed human population of Slavutych will experience elevated risk of adverse health effects associated with that exposure. Other health risk factors, including psychological, may also be considered.

- \* **Risk evaluation** this is a presentation of risk associated with the exposure to radiation in comparison with other risks that a person is often exposed to, and the consequential business risk to potential investors in Slavutych.

### **Study Team and Experts Panel**

The review is to be managed by USAID's Environmental Policy & Technology (EPT) Project contractor, CH2M-Hill International Services, Inc. Assistance in preparing the review will be sought from international organizations that have previously been associated with evaluating the CNPP, including

- \* International Atomic Energy Agency
- \* U S Department of Energy
- \* U S Environmental Protection Agency
- \* U S Nuclear Regulatory Commission
- \* U S Department of Health & Human Services

as well as Ukrainian organizations, including the National Academy of Sciences, Ministry of Environmental Protection & Nuclear Safety, Ministry of Health, Ministry of Extraordinary Circumstances, Goscommatom. In addition, in June 1997, a panel of international experts and business executives will be convened to discuss the study team's review report.

### **Schedule**

A draft report, in English and in Ukrainian, will be disseminated for international peer review within 4 months of project commencement.

A final report, in English and in Ukrainian, will be presented within six months of project commencement, and not later than June 1997 when it will be the subject of discussion by a panel of international experts and business executives.

**ПЛАН ДЕЙСТВИЙ  
ПО РЕШЕНИЮ СОЦИАЛЬНЫХ ПРОБЛЕМ  
ЧЕРНОБЫЛЬСКОЙ АЭС И Г.СЛАВУТИЧА**

(Проект)

Декабрь 1996

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## ПРЕДИСЛОВИЕ

Социальные последствия закрытия станции к 2000 году все чаще рассматриваются как основная трудность в этом процессе. В контексте современных экономических проблем Украины вопрос социальных последствий закрытия ЧАЭС может показаться малозначительным. Не только количество людей здесь значительно меньше, чем, например, в угледобывающей промышленности, но и возможность альтернативной занятости для освобождающихся работников достаточно высока. Однако, ключевым на сегодня является вопрос безопасности.

Возможность создания рабочих мест, предлагаемая проектами МОВ G-7, осуществима. Эти рабочие места будут непосредственно связаны с самими проектами и косвенно с материально-технической поддержкой и услугами. Необходимо проследить, чтобы существовали механизмы, обеспечивающие участие местной рабочей силы и предприятий в этих видах деятельности. Очевидно, что такой подход также положительно повлияет на безопасное и своевременное закрытие ЧАЭС. Кроме того, нужно уже сейчас делать необходимые шаги в направлении диверсификации экономики Славутича для того, чтобы создать рабочие места к 2001 году, когда в результате закрытия станции будет происходить массовое высвобождение рабочей силы.

План состоит из четырех разделов.

Раздел Первый предлагает краткое обоснование Плана Действий по Социальным Последствиям закрытия Чернобыльской АЭС. В раздел включены основные вопросы Промежуточного Плана Действий, подготовленного в июне 1996 и принятые в октябре 1996 года Правительством Украины как основные направления Окончательного Плана Действий. Представлены также меры, предпринятые Муниципалитетом Славутича и международным сообществом стран-доноров, для подготовки к неизбежным увольнениям и диверсификации экономики Славутича и региона.

Раздел Второй посвящен вопросам людских ресурсов и предлагает анализ предполагаемой реструктуризации рабочей силы после закрытия ЧАЭС.

Раздел Третий анализирует текущую ситуацию в Славутиче. Более того, в разделе разработана концептуальная схема выбора предпочтительного микро-экономического подхода к реструктуризации ЧАЭС и диверсификации экономики Славутича. В разделе предлагаются возможные схемы поддержки реструктуризации и некоторых коммунальных служб города.

Раздел Четвертый содержит предложения о действиях, которые следует предпринять по отношению к социальным последствиям закрытия станции. Показаны надежные и рентабельные подходы, которые уже были использованы на Западе, но являются нововведением в условиях Украины. Принятие предложенного подхода обеспечит участие G-7 в осуществлении мероприятий, направленных на решение проблемы трудоустройства местного персонала. Это не только внесет большой вклад в решение проблемы социальных последствий, но и покажет работникам ЧАЭС и жителям Славутича, что у них на самом деле есть альтернатива реальному будущему.

Первая редакция Окончательного Плана Действий была подготовлена Муниципалитетом Славутича и ЧАЭС, при участии центральных правительственных учреждений и членов Объединенной Рабочей Группы. Техническая помощь была предоставлена ЕС Тасис и USAID.

## **РАЗДЕЛ ПЕРВЫЙ**

### **ИСТОРИЯ ВОПРОСА И СУЩЕСТВУЮЩАЯ СИТУАЦИЯ**

#### 1 0 История вопроса и существующая ситуация

##### 1 1 Введение

С апреля 1986, когда произошла авария на 4-блоке ЧАЭС, возрасает опасение Международного сообщества о возможности подобной аварии на реакторах типа РБМК в Украине или в других местах бывшего Советского Союза ЧАЭС стала фокусом мировой тревоги, хотя известно, что подобные, но меньшие по масштабам инциденты, случались в других местах В последние годы эта озабоченность усиливается еще и тем, что существует вероятность еще большего радиоактивного загрязнения, которое может произойти в результате обрушения массивного здания саркофага, построенного над четвертым блоком ЧАЭС сразу после аварии в 1986 году В последние годы проблема ядерной безопасности в целом и ситуация в Чернобыле в частности стала предметом повышенного интереса со стороны стран G-7 Переговоры между правительством Украины и странами G-7 привели к решению закрыть станцию к 2000 году

20 декабря 1995 года было достигнуто соглашение в Оттаве Меморандум О Взаимопонимания (МОВ) между правительством Украины и правительствами стран G-7, а также комиссией европейского сообщества о закрытии ЧАЭС к 2000 году В этом соглашении подчеркивалось, что досрочное закрытие ЧАЭС будет иметь негативные экономические и социальные последствия для Украины, а также была намечена общая программа для поддержки процесса закрытия ЧАЭС В условиях соглашения было оговорено, что комиссия ЕСи Соединенные Штаты будут помогать Правительству Украины в разработке Плана Действий по преодолению социальных последствий закрытия ЧАЭС до 2000 года Предвидя необходимость достижения соглашения о порядке действий, представители Европейского союза и США подготовили Техническое Задание (ТЗ), в котором обозначена схема действий помощи правительству Украины в подготовке плана действий В октябре 1995, проект ТЗ был передан правительству Украины для рассмотрения и комментариев 31 мая 1996, ТЗ было одобрено Госкоматомом под эгидой Президентской комиссии по комплексному решению проблем ЧАЭС

##### 1 2 Разработка Промежуточного Плана Действий (ППД)

В апреле 1996 на саммите G-7 по ядерной безопасности в Москве Президент Кучма вновь подтвердил обязательства Украинского Правительства по соглашению МОВ в 1995 году Он взял обязательство вывести из эксплуатации первый блок ЧАЭС к концу 1996 года Это заявление было впоследствии повторено Министром окружающей среды г-ном Ю Костенко на встрече за Круглым столом в Киеве в апреле 1996 года

Принимая во внимание существенное сокращение сроков закрытия по сравнению с намеченными в МОВ в 1995 году, работа по разработке ППД была ускорена и преориентирована с учетом сложившейся ситуации Она была закончена в июне 1996 года Рекомендации ППД охватывают три направления

- \* Проблемы людских ресурсов, обучение и переподготовка, рекомендации,
- \* Диверсификация экономической базы Слаутича и региона,

\* Обеспечение участия местных организаций, в этих работах, предусмотренных МОВ

В октябре 1996 года Рекомендации ППД были согласованы с Правительством Украины, которое подтвердило, что город Славутич будет продолжать развиваться

Первый проект Окончательного Плана Действий (ОПД) более детально разрабатывает Рекомендации ППД

1 3 Меры, предпринятые к настоящему моменту городскими властями Славутича относительно социальных последствий закрытия ЧАЭС

Муниципалитет Славутича осуществляет активную деятельность по подготовке к решению социальных проблем, вызванных закрытием ЧАЭС Эта деятельность включает учет всех имеющихся людских и физических ресурсов города Эта работа "Паспорт города Славутич" была проделана экономическим отделом исполкома Следующее исследование "Перспективы развития социальной инфраструктуры Славутича до 2005" выполнена Научно-Исследовательским Институтом Экономики при Министерстве Экономики Украины Далее, исполком предпринял шаги по опросу общественного мнения с целью обсудить и выработать стратегию будущего развития города с учетом безработицы, возникающей при закрытии ЧАЭС

1 4 Меры, предпринятые в результате Международного Сотрудничества

Кроме осуществляющегося Проекта Занятости ЕС ТАСИС обеспечил финансирование технической помощи для двух проектов, выполняемых согласно ППД В рамках этих двух проектов предусмотрено

- \* создание Агенства по Развитию Бизнеса соответственно ППД,
- \* создание рекомендационных и информационных служб,
- \* помощь в изменении структуры коммунальных служб Славутича,
- \* помощь в освоении неядерного имущества ЧАЭС,
- \* постоянная поддержка Объединенной рабочей группы, созданной в рамках совместного проекта ЕС-Украина-США для помощи Украине в разработке Плана Действий относительно социальных последствий, вызванных закрытием ЧАЭС

Эти два проекта возникли как следствие Рекомендаций (1), (3), (11), (16) & (17) Промежуточного Плана Действий

## РАЗДЕЛ ВТОРОЙ ПЛАНЫ ДЛЯ РАБОТНИКОВ ЧАЭС

### 2 0 Планы для работников ЧАЭС

#### 2 1 Планы по занятости по проектам МОВ

30 ноября 1996 был остановлен первый блок Чернобыльской Атомной Электростанции. На этот момент на станции работало примерно 6,400 работников. Демографическая характеристика работников ЧАЭС была рассмотрена в Промежуточном Плана Действий. Больше 80% этих работников живут в Славутиче, специально для этого построенном в 1988 году. Высокообразованные сотрудники, имеющие большой опыт работ, связанных с ядерной безопасностью и эксплуатацией, живут в непосредственной близости от станции. У них относительно высокий уровень жизни и доходов для Украины, и большинство из них предпочли бы не менять свое место работы. Участие в будущих проектах в Чернобыле необходимо для облегчения перераспределения рабочей силы.

В значительной мере из-за напряженной ситуации в Чернобыле, местная рабочая сила имеет конкурентноспособное преимущество над работниками других регионов. Стоимость проезда, проживания и другие подобные расходы для работника Киевского региона на 20% - 30% выше чем в регионе Славутича.

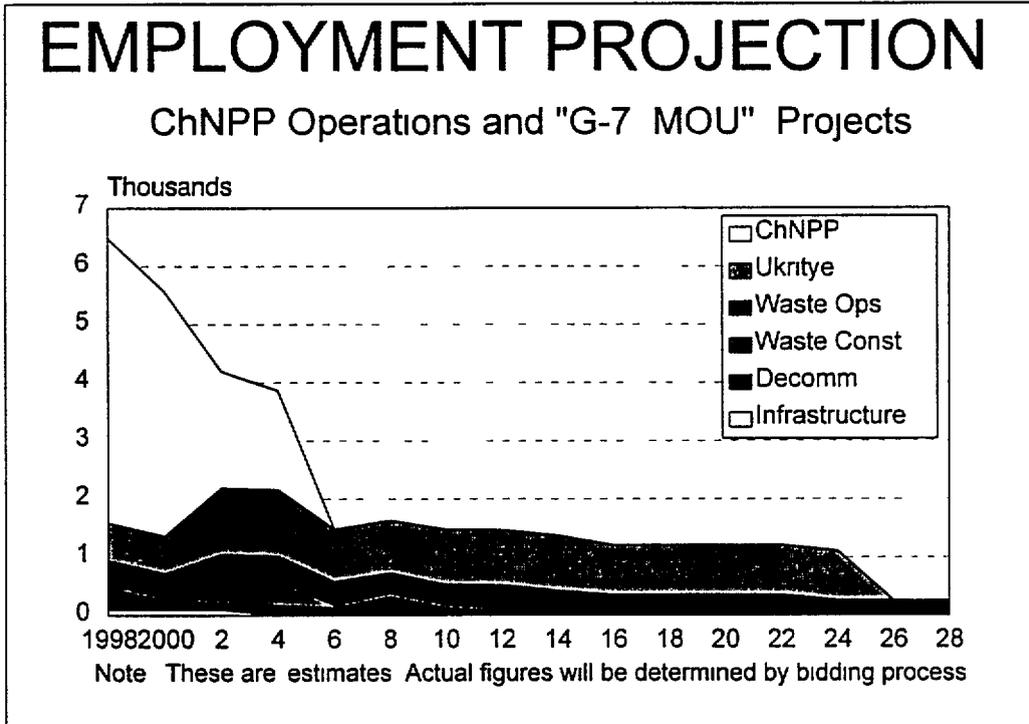
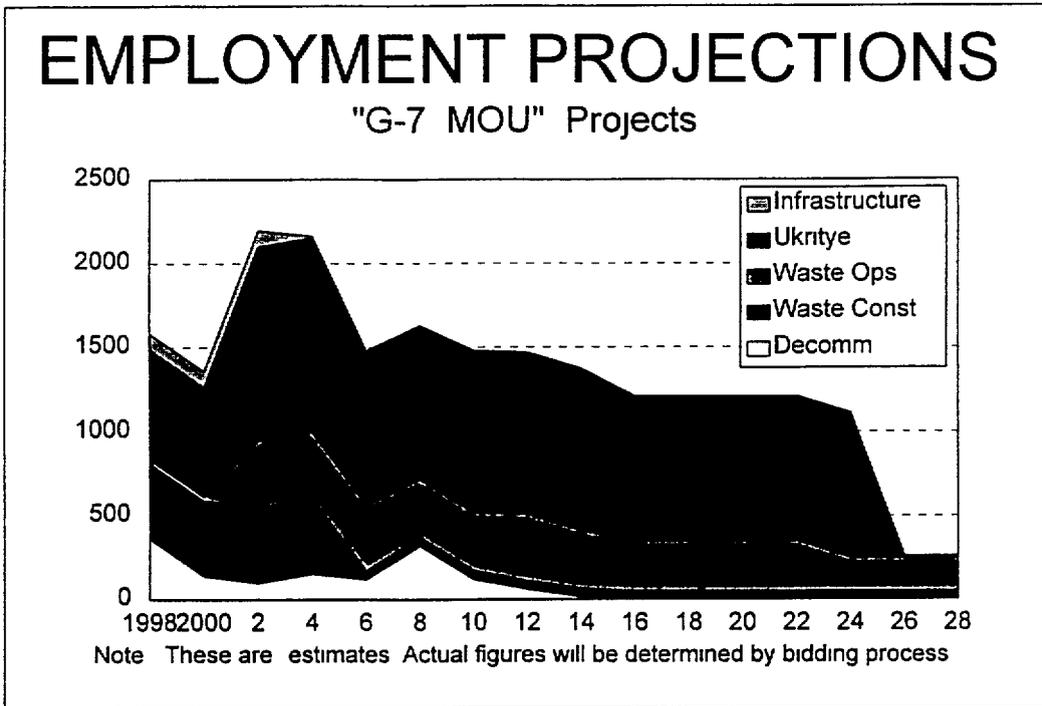
Рабочий ядерной энергетики	Регион Славутича	Регион Киева
Среднемесячная зарплата и льготы	783	783
Среднемесячная стоимость проезда и проживания	934	1450
Всего	1717	2233

В Меморандуме о Взаимопонимании (МОВ) между Украиной и странами G-7 отмечены проекты, которые будут выполнены в Чернобыле для поддержки процесса закрытия ЧАЭС. Они включают 1) снятие с эксплуатации 1,2,3 блоков ЧАЭС, включая обращение с топливом и отходами, и 2) преобразование объекта "Укрытие" 4 блока в экологически безопасную систему. Эти проекты будут осуществляться в процессе международного тендера, финансируемого Счетом Ядерной Безопасности открытым Европейским Банком Реконструкции и Развития (ЕБРР).

Проекты МОВ рассчитаны на двадцать лет, и в пике их развития (в 2001-2006) будут заняты более 2200 работников. Для работы с новыми установками, для выполнения заданий по снятию с эксплуатации и управлению отходами, для преобразования Укрытия и поддержки управления проектом понадобятся значительные местные ресурсы.

Для выполнения необходимых эксплуатационных работ во время начального периода снятия с эксплуатации и создания хранилища отходов ЧАЭС планирует

сохранить и переподготовить большую часть своих рабочих. Эти рабочие будут заняты в проекте Укрытие. Следующие таблицы иллюстрируют распределение занятости в период проектов МОВ.



Для каждого проекта МОВ должны быть определены компетенции и требования. Это одна из основных рекомендаций Плана Действий, которая важна для оптимального распределения местной рабочей силы и успешного завершения проектов МОВ. Предварительные исследования позволяют определить только несколько категорий, таких как механики, электрики, операторы станции, врачи, плановики, бригадиры и менеджеры.

## 2.2 Вопросы переподготовки

Для того, чтобы обеспечить стабильное экономическое развитие Славутича и занятость бывших работников ЧАЭС, потребуется использовать перепрофилирование рабочей силы путем повышения квалификации, переподготовки и адаптации. Перепрофилирование рабочих обеспечит максимальное использование их потенциала, таким образом, они смогут остаться в Славутиче.

Сегодня на ЧАЭС работает около 6500 человек. Эти - высокообразованные специалисты, в основном мужчины в возрасте до 45 лет. ЧАЭС разделяет их на руководителей (14%), инженеров (20%), специалистов (64%) и неквалифицированных работников (1%). Более 5000 этих работников живут в Славутиче. Эти специалисты в настоящий момент эксплуатируют один из реакторов (реактор №3) и поддерживают безопасность на реакторе №2. Также проводятся работы по поддержанию безопасности площадки саркофага. В данный момент неизвестно, будет ли блок №2 вновь введен в эксплуатацию.

В ППД были сделаны определенные рекомендации, некоторые из них были осуществлены во время промежуточного периода. Несмотря на то, что полная картина профилей компетенций работников ЧАЭС еще не завершена, следует осуществить несколько мероприятий.

Предполагается, что в плане действий будет четыре аспекта действий по переподготовке:

- \* Привлечение бывших работников ЧАЭС к выполнению проектов МОВ G-7 потребует их переподготовки. Это включает адаптацию теперешних работников АЭС к предполагаемым профилям труда для снятия с эксплуатации реакторов 1, 2, 3 ЧАЭС, обращения с радиоактивными отходами, а также для преобразования саркофага четвертого блока и для энергосбережения.

- \* Международное сообщество, в т.ч. Франко-Немецкий центр в Киеве и учредительный США Центр исследования окружающей среды в регионе Славутича проводят мероприятия, относящиеся к ЧАЭС и окружающей среде.

- \* Необходимо обучение по профилям предпринимательства и менеджмента для потенциальных предпринимателей Славутича для развития разносторонней экономики.

- \* Проекты, связанные с МОВ, обеспечат многочисленные возможности для занятости и развития предприятий в Славутиче. Этот город будет самой подходящей базой, откуда иностранные подрядчики будут управлять внедрением проектов G-7. Для сотрудничества с иностранными представителями потребуется широкий спектр технических и сервисных предприятий.

Однако, на этом этапе имеется ряд неопределенностей, которые необходимо устранить

\* Для составления программ по обучению и переподготовке нужны профили компетенций работников Славутича. В Окончательный План Действий будут включены детальное описание рабочих мест, создаваемых различными предприятиями, и схемы их экономического развития.

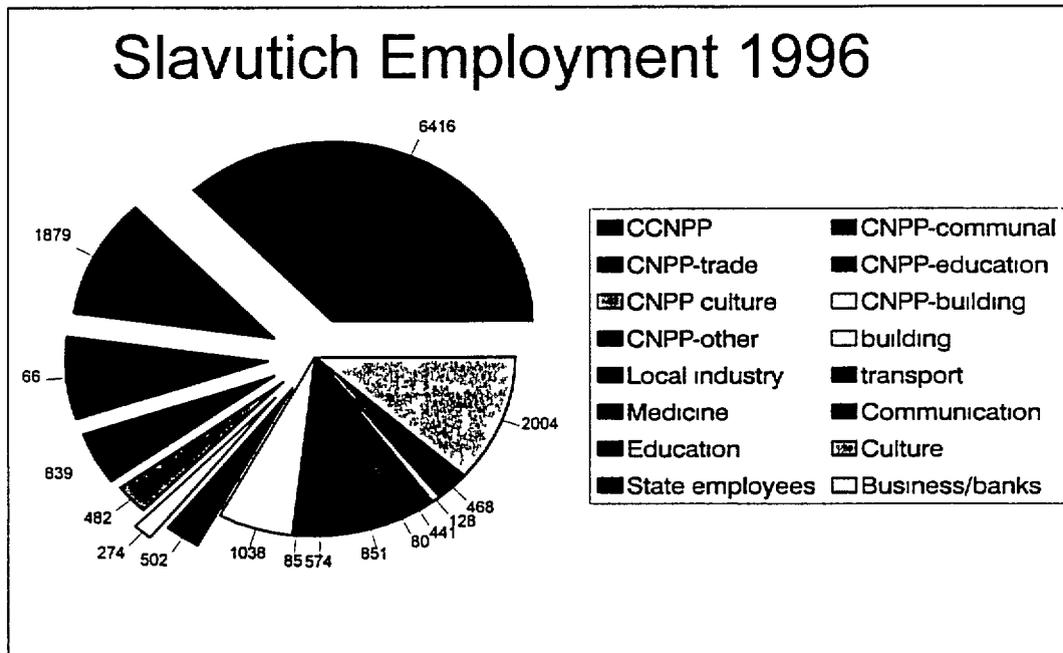
\* Количество и специальности работников, необходимых для обеспечения безопасности и снятия с эксплуатации с точки зрения украинского правительства.

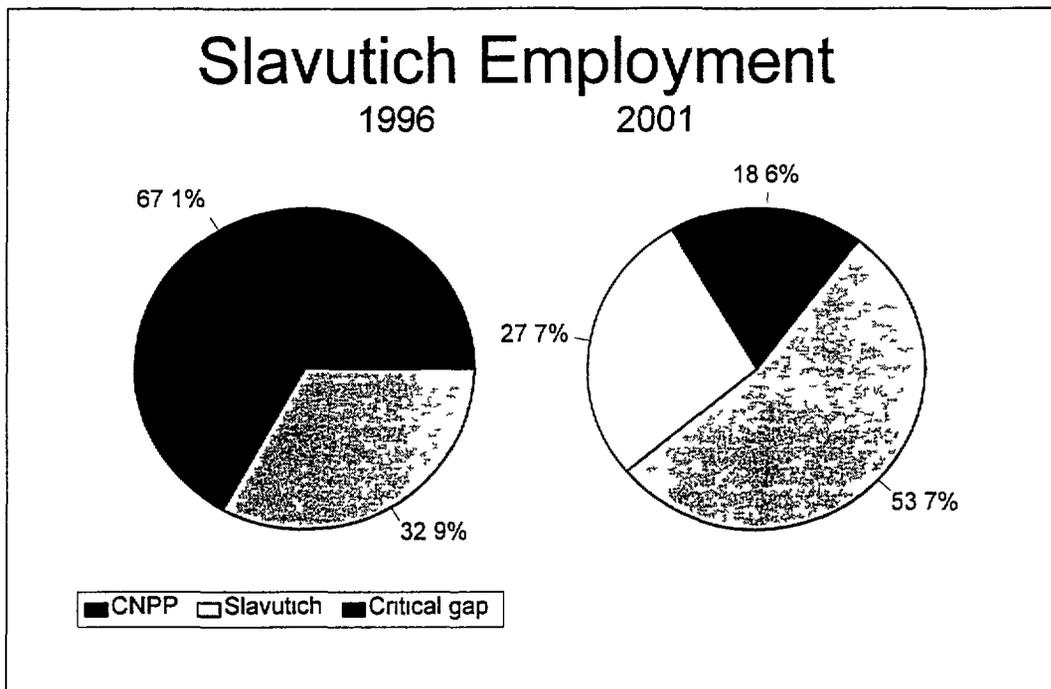
\* График запланированных увольнений на каждой стадии снятия с эксплуатации, для того, чтобы скоординировать переход от этих увольнений к выполнению проектов МОВ, и, где необходимо, предусмотреть компенсации.

### РАЗДЕЛ ТРЕТИЙ ПЛАНЫ ДЛЯ СЛАВУТИЧА

#### 3.0 Планы для Славутича

#### 3.1 Существующая ситуация





Существующая социально-экономическая инфраструктура обслуживает не только население города и работников ЧАЭС, но также и жителей близлежащих сел. В общем, вся деятельность социальной инфраструктуры находится в хозяйственном подчинении ЧАЭС и финансируется станцией. Из-за отсутствия государственного финансирования многие проблемы остаются нерешенными, так, например, незавершенное строительство и проблемы поселка строителей Славутича - Лесного.

Каждый год в школу идут 700 первоклассников. Все три школы города работают в две смены. Государственный бюджет на следующий год не предусматривает средств решения этой проблемы.

Закрытие 1 блока ЧАЭС в 1997 году вызовет финансовый кризис, который значительно затруднит выполнение социальных обязательств, которые несет Муниципалитет. Городские власти будут отвечать за обеспечения работы коммунальных служб, дошкольных и спортивных учреждений.

Поскольку строительство города велось сразу после аварии и в очень сжатые сроки, многие постройки требуют ремонта.

### 3.2 Цели

Предполагается, что в обозримом будущем появится потенциальная возможность поддерживать существующий уровень жизни в Славутиче за счет разностороннего развития экономики. В настоящий момент в центре всеобщего внимания находится предстоящий кризис. Однако, Славутич обладает запасом высококвалифицированных людских ресурсов, которые следует сберечь и обеспечить работой в отраслях, жизненно важных для будущего Украины, например, в энергетике. Деятельность МОВ обеспечит многочисленные возможности для

занятости населения и развития предпринимательства Существенно, что предусматриваются механизмы, позволяющие таким местным предприятиям полноправно участвовать в проекте ЧАЭС играла большую роль в жизни множества людей в Славутиче и его окрестностях, и сможет сыграть активную роль в этом процессе разностороннего развития города

Правительство должно также обеспечить механизм для стимулирования и ускорения развития местной экономики, если какая-нибудь из новых инициатив окажется успешной Кроме того, следует способствовать выполнению условий контракта, относящихся к использованию местных ресурсов Госкоматом также должен обеспечить, чтобы максимальный объем работ по развитию и внедрению проектов МОВ G7, был размещен в Славутиче

Разностороннее развитие экономики Славутича означает не только создание новых рабочих мест (что будет следствием развития предпринимательства), но подразумевает также изменения экономической структуры ЧАЭС, так как службы станции будут переданы Местным властям и Правительству, либо предприятиям с частной или смешанной формой собственности Предполагается, что при реализации этого процесса будет принят следующий подход

- ориентация на микроэкономику больше, чем на макроэкономику,
- привлечение аппарата управления ЧАЭС и местной администрации в качестве основных исполнителей,
- выделение и привлечение предприятий, групп предприятий и/или Местной администрации в качестве непосредственных участников процесса,
- прилагаемые усилия должны быть целенаправлены и сориентированы с учетом местных условий в Славутиче и конкретной социальной роли ЧАЭС

В сочетании с этими усилениями возникает необходимость в развитии местной демократии и инициативы жителей Славутича Зарубежная помощь будет направлена в основном на

- распределение ответственности среди общественности путем выявления местных групп и обеспечения их необходимым оборудованием и технологиями, что необходимо для разностороннего развития местной экономики, для создания существенной альтернативы ЧАЭС
- поддержку и создание переходных форм местной социальной политики (смешанные формы собственности, смешанные формы управления),
- поощрение различных форм самоуправления и социальной инициативы

При передаче социальных функций ЧАЭС Славутичу, области или даже общественным организациям и ассоциациям, которые тоже могут организовать и управлять социальными службами (например, организации типа ассоциации, кооперативы, союзы, неправительственные организации) иностранные консультанты должны

- уделять пристальное внимание выявлению групп (экологи, гражданские служащие, а также пенсионеры и любые другие социальные и возрастные группы, продолжающие отношения с корпоративной системой (в данном случае с ЧАЭС), положение которых ухудшалось по мере того, как их зависимость от общественных расходов стала значительно сильнее, чем она была раньше,
- найти возможность передать и внедрить в сознание местного населения веру в способность создать свои собственные организации и в право на эксперименты в этом направлении,

- способствовать выявлению различных интересов, которые долгое время проявлялись только в рамках корпорации ЧАЭС,
- использовать местные традиции, существующие в самоуправлении общественных отношениях и вопросах создания организаций, и направить их по альтернативному пути

Необходимо предусмотреть первоочередные меры, стимулирующие разностороннее развитие экономики. Муниципалитет проявил инициативу по концентрации деятельности по содействию в одном, доступном для всех учреждении

Проекты МОВ G7 предлагают широкий спектр прямых и косвенных возможностей для решения проблемы занятости. Местные предприятия частного и смешанного типа могли бы активно привлекаться иностранными исполнителями в качестве партнеров к участию в техническом и обслуживающем секторе. К сожалению, в Славутиче имеется очень мало (или даже вообще нет) предприятий, способных выполнить такую функцию. Чтобы создать такие предприятия, которые смогли бы активно участвовать в деятельности G7, нужно время, а оно ограничено. Поэтому предлагается ряд мероприятий для решения этой проблемы.

### 3.3 Диверсификация экономики

Администрация ЧАЭС приняла решение не увольнять сотрудников до 2001г. За это время планируется организовать переподготовку сотрудников и перевод их на другие рабочие места, когда они будут созданы. Однако, предполагается, что в 2000 году 4300 сотрудников будут потенциально безработными. Экстраполируя проекты ЕС на проекты МОВ, можно предположить следующие изменения данных по безработице:

2001-2006	700
2006-2011	200
2011-2016	100
2016-2021	100

Кроме того, в течение следующего года ожидается дополнительно еще 2000 человек на рынке рабочей силы. Поэтому крайне необходимо обеспечить разностороннее развитие экономики региона Славутича.

При рассмотрении различных возможных форм диверсификации экономики Славутича и окрестностей следует учесть, что важным фактором является характер имеющейся рабочей силы, которая состоит из значительного числа высококвалифицированного технического персонала, работающего в одной из самых элитарных отраслей промышленности - в ядерной энергетике. Таким образом, кроме тревоги, связанной с потенциальной дезинтеграцией унаследованного от советского времени понятия социально-общественной принадлежности к советскому государственному предприятию, существуют еще и психологические моменты восприятия сотрудниками внешнего мира, в котором их статус и выполняемая ими работа недооценивается. Аналогичная ситуация имела место в период вывода из эксплуатации АЭС в бывшей Восточной Германии. Однако, эти психологические проблемы присущи не только ядерной промышленности или бывшему Советскому Союзу. Они являются общими для всех отраслей промышленности во всем мире, которые сталкиваются с реструктуризацией. Тем не менее, в Славутиче они должны рассматриваться с учетом той роли, которую играло советское государственное предприятие в сознании людей.

Безусловно, существует необходимость в создании широкого спектра служб, поддерживающих развитие предприятий. В этом направлении предпринимаются первые шаги - учреждено финансируемое ЕС Тасис Агентство по развитию предпринимательства. Однако в коммунальной и производственной сферах, с которыми связаны проекты G-7, а также (среди прочих) в области эффективного использования энергии, существует необходимость повышения уровня культуры сотрудничества между фирмами. Такое сотрудничество может выражаться в коллективном пользовании компьютерами и оплате услуг, представляющих взаимный интерес, например, бухгалтерия, маркетинг, техническое обслуживание. Такая модель может привести к созданию секторных центров обслуживания для поддержки предприятий, что в сочетании с Агентством по развитию предпринимательства будет способствовать возникновению предприятий.

Разные специальности работников Славутича благоприятствуют созданию производственных и обслуживающих предприятий, связанных с другими формами производства энергии и энергосбережением. Таким образом, для того, чтобы Украина сохранила свою компетентность в этой области, следует направить усилия на максимальное использование этих ценных людских ресурсов.

Ближайшие окрестности Славутича богаты сырьем для производства керамических изделий. В настоящее время Украина экспортирует эти сырьевые материалы в другие страны, например, в Италию. В то же время конечная продукция керамической промышленности ввозится по высоким ценам из других стран - из Турции, Польши. Создание производств в окрестностях Славутича\Чернобыля создаст рабочие места для менее квалифицированной рабочей силы, которая может быть высвобождена при закрытии ЧАЭС.

Реструктуризация коммунальных служб и возможность обслуживания вновь созданных предприятий, будут стимулировать развитие мелкого и одиночного предпринимательства, как то техническое обслуживание, разработка программного обеспечения, предприятия по мелкому ремонту, поставка продовольствия, работа дошкольных учреждений, маркетинговые услуги для предприятий, печатание, бухгалтерия и учет и др.

## **РАЗДЕЛ ЧЕТВЕРТЫЙ КОНКРЕТНЫЕ ДЕЙСТВИЯ**

### 4 0 Конкретные действия

#### 4 1 Механизмы привлечения местных ресурсов для участия в проектах МОВ

Проекты МОВ в Чернобыле предполагают широкий спектр прямых и косвенных возможностей занятости населения. В дополнение к тому, что иностранные фирмы непосредственно нанимают местный персонал, частного и смешаного типа местные предприятия могут эффективно работать как партнеры в совместных предприятиях и как субподрядчики для иностранных предпринимателей в секторах техники и сервиса.

Большинство банков развития, включая ЕБРР и Всемирный банк проводят общую политику поощрения и благоприятствования для участия своих фирм в работах, выполняемых в странах, которым выделяются кредиты по проектам, финансируемым этими банками, особенно в случаях, когда имеется достаточное количество квалифицированных фирм. Что касается Всемирного банка, то иностранным консультантам рекомендуется использовать разнообразные деловые приемы для привлечения местных участников, когда фирмы-подрядчики могут обеспечить только часть, а не все необходимые услуги. Эти ограничения чаще всего связаны с масштабами, опытом эксплуатации, финансовой базой, а не с профессиональной пригодностью.

Местные фирмы и индивидуальные предприниматели в Славутиче и, вообще в Украине имеют весьма небольшой опыт работы в области международных тендеров. В регионе имеется возможность организовать, управлять и выполнить технически большую часть работ, предусмотренных проектами МОВ. Необходимо обеспечить, чтобы в ходе выполнения проектов МОВ привлекались местные специалисты и развивались местные предприятия. Особенно важно, чтобы банк ЕБРР (Счет Ядерной Безопасности) включил в документацию договоров-подрядов по проектам МОВ, относящихся к выводу из эксплуатации, обращению с радиоактивными отходами и Укрытию, положения, которые будут гарантировать участие украинских предприятий и потенциально эффективной рабочей силы ЧАЭС.

По согласованию с распорядителями счета ядерной безопасности в ЕБРР, Правительству Украины ( в лице Министерства финансов и Международного Агентства Технической Помощи) следует предложить соответствующую формулировку, совместимую с законодательством Украины и руководящими положениями Банка и Счета. Администрация Славутича должна подготовить информацию о местных службах, предприятиях, учреждениях, организациях и отдельных специалистах, которые могут быть включены в договорные документы.

Эти шаги должны быть предприняты в течение первого квартала 1997 года, до выдачи первых предполагаемых подрядов по проектам. Группы Управления Проектом. Уточненная информация должна регулярно передаваться подрядчикам, субподрядчикам и заказчикам.

Оценочная стоимость настоящей рекомендации 20,000 USD с учетом сбора данных, их распространения и услуг связи.

## 4.2 Фонд переходного периода для финансирования общественных служб

Одной из главных забот городских властей Славутича является возрастающая неспособность ЧАЭС поддерживать коммунальное хозяйство города. Реальные затраты ЧАЭС - это заработная плата сотрудникам, широкий диапазон расходов (жилье, продукты, медицинское обслуживание и т.д.) и транспорт. Кроме того, ЧАЭС отвечает за обеспечение и поддержание инфраструктуры города. Поскольку в результате уменьшения выработки электроэнергии доходы ЧАЭС падают, уменьшается и доля средств, выделяемых станцией на поддержание служб Славутича.

Акция, предлагаемая с целью компенсации этих сокращающихся расходов на Славутич, состоит в том, что иностранные компании, те, которые участвуют в проектах МОВ G-7, нанимают сотрудников из числа проживающих в Славутиче и окрестностях, оплачивают расходы по их заработной плате и несут дополнительные расходы на социальные нужды, которые могут быть переданы городским властям.

В качестве механизма для введения этой модели предлагаются два варианта:

1. Создание компании для найма сотрудников на контрактной основе,
2. Объединение фирм, нанимающих специалистов на контрактной основе.

В последние годы большое внимание уделялось развитию малых и средних предприятий, работающих в системе или группами. Эффективность такой системы основана на матрице центров обслуживания предприятий, которые обычно работают групповым способом. Например, выплата зарплаты, налогов, бухгалтерия и маркетинг часто выполняются одним предпринимательским объединением. Аналогично организованы центры специального технического обслуживания. Фирмы вносят абонентскую плату за основные услуги.

Следует также предусмотреть механизмы для групп фирм, объединений фирм и кооперативов для обеспечения услуг для служащих таких как право на дополнительную пенсию, здравоохранение, забота о пенсионерах, дошкольные учреждения. Эта модель социальной ответственности предприятий может быть без труда реализована в Славутиче. Опыт выполнения проектов по созданию предприятий в других странах, например, в Беларуси, показывает, что предприниматели часто озабочены ухудшением работы сферы социальных услуг и готовы принять участие в совершенствовании этой сферы.

## 4.3 Фонд гарантийного займа

Для того, чтобы сделать экономику Славутича более разнообразной и развить альтернативные источники финансирования города, необходимо создать местную экономическую базу. Для того, чтобы в этот переходный период местная экономика развивалась, необходимо создать атмосферу благоприятствования для нового предпринимательства, которое возникнет или переместится в город или район. Одним из таких механизмов является предоставление льготных кредитов новым предприятиям.

Недостаток средств в Славутиче и в Украине создает необходимость нового подхода к финансированию развития новой экономики. Рекомендуется основать фонд гарантийного займа, используя капиталы, образованные взносами финансовых организаций, для выполнения проектов МОВ G-7. Этот фонд будет являться

средством реализации кредитов для предприятий, развивающих экономику Славутича. Суммы кредитов будут зависеть от потребностей в кредитах в регионе и от сумм, вносимых странами G-7 и финансовыми организациями для выполнения проектов МОВ G-7.

Обеспечение фонда будет гарантироваться сторонами, участвующими в решении проблемы: Правительство Украины, G-7, городские власти Славутича. В случае потери, т.е. невозвращения займа, соответствующая сумма будет передана в фонд тремя участвующими сторонами.

Для этой цели Правительство Украины должно предусмотреть в государственном бюджете специальные средства. Страны G-7 готовы разделить риск с тем, чтобы обеспечить диверсификацию экономики Славутича. Администрация Славутича компенсирует сумму займа за счет накопления местного фонда, образованного выплатой налогов. Этот фонд со временем сделает такие накопления, что сможет выдавать кредиты на развитие экономики из своих собственных средств.

#### 4.4 Развитие людских ресурсов

##### Цель и мероприятия

Чтобы обеспечить обучение бывших сотрудников ЧАЭС и жителей Славутича с тем, чтобы стимулировать нормальное развитие экономики в регионе, за счет организации новых рабочих мест для бывших сотрудников рекомендуется:

а) включить требования и затраты на переподготовку сотрудников в тендерные документы технических проектов G-7,

б) создать Группу Управления развитием людских ресурсов в рамках Группы Управления Проектом МОВ G-7 с целью планировать, координировать, управлять перепрофилированием рабочей силы для обеспечения занятости в проектах МОВ G-7.

\* оценить необходимость подготовки к МОВ G-7 и местные ресурсы для переподготовки,

\* планировать потребности в переподготовке для создания, исполнения и поддержке проектов МОВ G-7,

\* управлять спросом и предложением подготовленной рабочей силы для создания, исполнения и поддержки проектов,

в) разработать программу переподготовки и адаптации для работников ЧАЭС, чтобы удовлетворить потребности по проектам МОВ,

г) создать условия обучения менеджменту и экономике потенциальных предпринимателей Славутича,

д) создать условия для обучения по широкому спектру технических и обслуживающих предприятий, которым придется сотрудничать с иностранными исполнителями, чтобы обеспечить сферу услуг в Славутиче,

е) создать в Славутиче центр переподготовки и адаптации для поддержки программ переобучения для проектов МОВ G-7, обучения предпринимателей, а также поддержки общих технических и сервисных направлений.

## Ответственные

Рекомендуются следующие ответственные за перечисленные мероприятия

- а) включить требования и затраты на переподготовку сотрудников в тендерные документы технических проектов G-7,  
Страны G-7 и Международные финансовые институты, финансирующие МОВ G-7
- б) создать Группу Управления развитием людских ресурсов в рамках Группы Управления Проектом МОВ G-7  
Страны G-7 и Международные финансовые институты, финансирующие МОВ G-7
- в) разработать программу переподготовки и адаптации для работников ЧАЭС, чтобы удовлетворить потребности по проектам МОВ  
Международные доноры
- г) создать условия обучения менеджменту и экономике потенциальных предпринимателей Славутича  
Международные доноры
- д) создать условия обучения в большом спектре технических и обслуживающих предприятий Славутича,  
Международное сообщество доноров
- е) создать центр переподготовки и адаптации в Славутиче  
Международные доноры

## Ожидаемые результаты

- \* Включение требований и затрат на переподготовку сотрудников в тендерные документы G-7**
- \* Создание Группы Управления развитием людских ресурсов в рамках Группы Управления Проектом МОВ G-7 с целью планировать, координировать, управлять перепрофилированием рабочей силы для обеспечения занятости в проектах МОВ G-7, относящихся к ЧАЭС**
- \* Оценка потребностей подготовки и обучения местных ресурсов в рамках проектов МОВ G-7**
- \* Согласование программы потребностей переподготовки с планами создания, выполнения и поддержки проектов МОВ G-7**
- \* Управление спросом и предложением подготовленной рабочей силы для создания, исполнения и поддержки проектов**
- \* Переподготовка и адаптация работников ЧАЭС с целью использовать возможность занятости по проектам МОВ**
- \* Создание условий обучения менеджменту и экономике потенциальных предпринимателей Славутича**
- \* Создание условий для обучения по широкому спектру технических и обслуживающих предприятий, которым придется сотрудничать с**

**иностранными исполнителями, чтобы обеспечить сферу услуг в Славутиче**

**\* Создание в Славутиче центра переподготовки и адаптации**

Ориентировочные затраты

Современное трудовое законодательство устанавливает права работников, уволенных вследствие массовых реструктуризаций предприятий. В рамках этого законодательства существует право переобучения для преобразования и адаптации способностей бывших работников ЧАЭС. Фонд занятости обеспечивает финансирование на цели переподготовки безработных. Однако, этот фонд сейчас не в состоянии удовлетворить все потребности Славутича. Финансирование переподготовки безработного проводится только в случае гарантии его трудоустройства по окончании обучения. Если работники, увольняемые ЧАЭС, не были перепрофилированы в течение последних двух лет работы, предприятие должно взять на себя все обязательства по финансированию обучения с целью нового трудоустройства.

Существуют некоторые предполагаемые затраты

1 Затраты на создание Группы Управления Проектом по людским ресурсам для проектов MOB G-7

На базе группы, созданной в Славутиче на пятилетний период, включая международную поддержку, предполагается сумма в 6 млн USD

2 Затраты на создание условий для обучения менеджменту и экономике потенциальных предпринимателей Славутича

Это сейчас обеспечивается настоящим проектом Тасис и г Славутич

3 Затраты на предоставление обучения менеджменту и экономике потенциальных предпринимателей Славутича

Это будет зависеть от формы обучения, предлагаемого Агентством по развитию предпринимательства и будет обеспечиваться благодаря механизму самофинансирования,

4 Создание условий для обучения в широком спектре технических и обслуживающих предприятий, которым придется сотрудничать с иностранными исполнителями, чтобы обеспечить сферу услуг в Славутиче

Международное сообщество доноров

5 Затраты на Создание условий для обучения в широком спектре технических и обслуживающих предприятий, которым придется сотрудничать с иностранными исполнителями, чтобы обеспечить сферу услуг в Славутиче

Фонд и служба занятости. Дополнительное обеспечение следует проводить через Министерство труда для финансирования обучения по определенным направлениям

6 Затраты на создание базы обучения на общем уровне для бывших работников ЧАЭС, чтобы обеспечить трудовые потребности по проектам MOB G-7 (обеспечение качества, опасные отходы и др)

Стоимость переподготовки для проектов MOB G-7

С 1998 года	Среднее количество рабочих на данный период	Стоимость общего технического и научного обучения (USD)	Стоимость специального обучения (USD)	Общая стоимость на общее и специальное обучение (USD)
1-5	2200	1320000	660000	1980000
6-10	1500	900000	480000	1380000
11-15	1300	780000	390000	1170000
16-20	1200	720000	360000	1050000
21-25	1100	660000	330000	990000
<b>Всего</b>				<b>6 520 000</b>

- 1 Средняя продолжительность общего обучения 4 месяца
- 2 Средняя продолжительность специального обучения 2 месяца
- 3 2 преподавателя на группу в 15 человек
- 4 Стоимость обучения включает зарплату преподавателей, учебные материалы и оборудование (600USD на каждого обучаемого), не включает стипендию и транспортные расходы обучающегося
- 5 50% персонала, обучаемые каждые 5 лет, и 50% скорость выбывания из-за демографических особенностей рабочей силы ЧАЭС

7 Фактические затраты на общее обучение бывших сотрудников ЧАЭС (затраты на учебу, учителей, выплата стипендий обучающимся)

ЧАЭС и центр занятости Возможно предложить центру занятости поддерживать переобучение в меру своих возможностей Фонд развития может вложить средства в обучения сотрудников из расчета на будущую отдачу

8 Затраты на обеспечение специального обучения подрядчиков в специализированных сферах для создания, выполнения и поддержки проектов  
Подрядчик MOB G-7 в рамках бюджета проекта

Затраты на обучение по проектам MOB G-7 включают несколько компонентов

- 1 Затраты на привлечение преподавателей
- 2 Затраты на зарплату преподавателям
- 3 Затраты на учебные материалы, используемые преподавателями
- 4 Затраты на стипендии обучающимся

Рекомендуется

- 1 Тендерные документы подрядчиков по проектам MOB G-7 должны включать положения об обеспечении подготовки рабочей силы для выполнения проекта
- 2 Международные доноры вносят свой вклад в создание условий для обучения

менеджменту и в создание технических и обслуживающих предприятий, которым придется сотрудничать с иностранными подрядчиками

3 Международные доноры внесут свой вклад для общей подготовки бывших работников ЧАЭС для удовлетворения трудовых потребностей по проектам MOB G-7 (обеспечение качества, опасные отходы и др )

4 Затраты на общую подготовку по проектам MOB G-7, обучение менеджменту и экономике, техническому и сервисному аспектам, должны обеспечиваться Фондом занятости и направлением в установленном порядке бывших работников на обучение за счет предприятия, других правительственных организаций и за счет самих работников, меняющих профессию

#### Сроки и этапы

План переобучения зависит от трех факторов

- \* даты начала работ по проектам MOB G-7,
- \* предложения и готовности центров обучения,
- \* роста предпринимательских потребностей в Славутиче

Спектр потребностей переподготовки для проектов MOB G-7 потенциально широк. Имеются три основных проекта - снятие с эксплуатации блоков 1,2,3, управление отходами и Укрытие-2. Приложенная таблица представляет план распределения ресурсов по проектам MOB G-7

Адаптация и повышение навыков для трех проектов должны быть обеспечены центром переподготовки и адаптации, расположенным в Славутиче. Это будет благоприятствовать привлечению рабочей силы Славутича и ЧАЭС, а также ее использованию подрядчиками проектов MOB G-7. Центр должен быть создан в ближайшем будущем

## ПРИЛОЖЕНИЯ

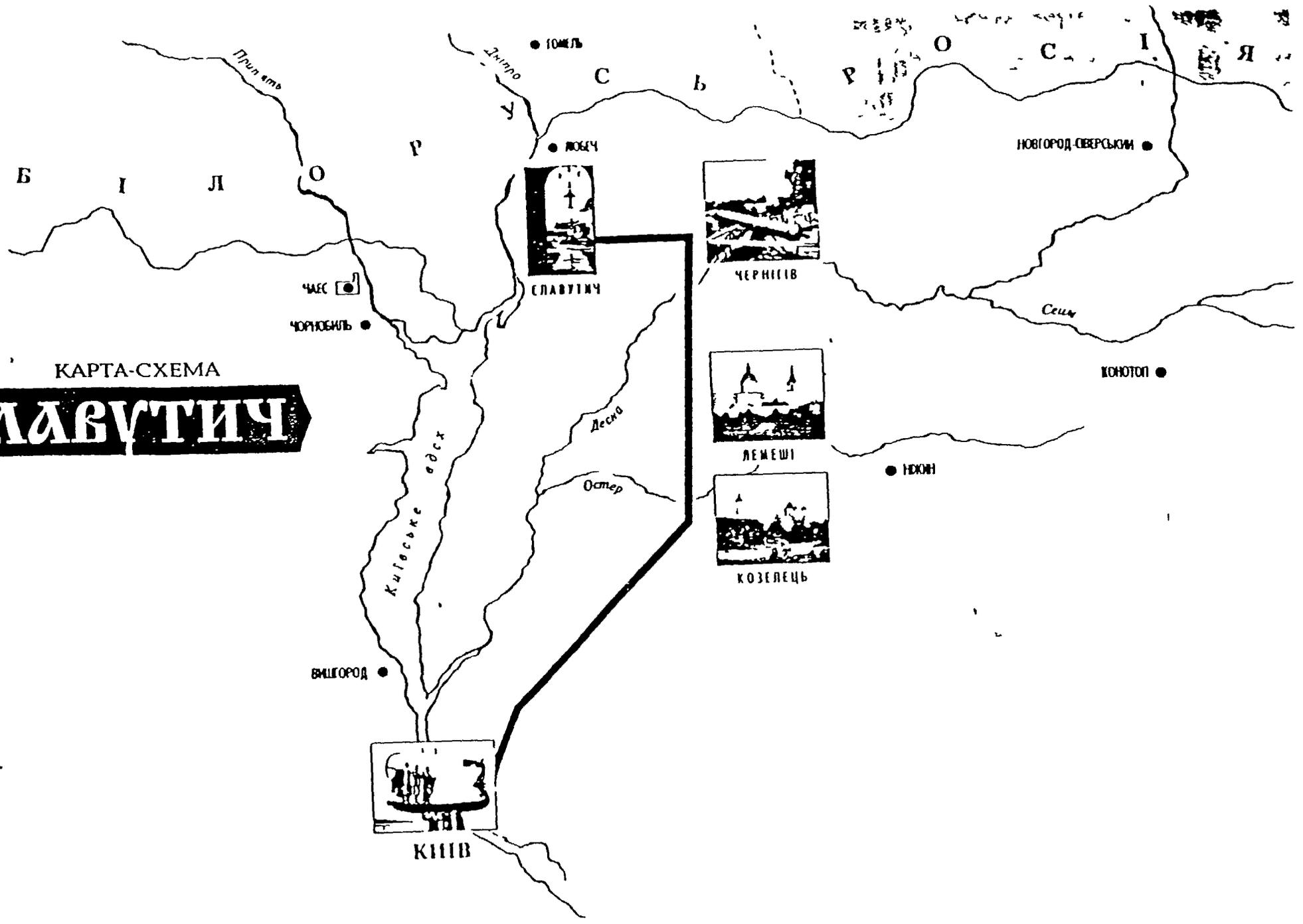
- 1 Паспорт города Славутич
- 2 Программа занятости населения г Славутич на 1997 год
- 3 Предложение по Страховому фонду
- 4 Отчет об обучающем туре в США для украинских специалистов
- 5 Обзор по охране здоровья и радиационной безопасности  
г Славутич

**ПРИЛОЖЕНИЕ 1**

**ПАСПОРТ**  
**города**  
**Славутич**

1996г.

КАРТА-СХЕМА  
**СЛАВУТИЧ**



## ОБЩИЕ СВЕДЕНИЯ

- Дата образования города - 1988
  
- Территория
  - Всего - 2082 4 га
  - в т ч застройка города - 351 6 га
  
- Расстояние до Киева - 200 км
  - Чернигова - 60 км
  - Чернобыля - 50 км
  
- Население - 26 тыс чел
  - в т ч дети - 9 0 тыс чел
  - в т ч имеют льготы - 21 7 тыс чел

предусмотренные Законом Украины "О статусе и социальной защите граждан пострадавших вследствие Чернобыльской катастрофы
  
- Ежегодные затраты на строительство и содержание города - сумма, эквивалентная 40 млн \$ США
  
- Городской бюджет - сумма, эквивалентная 1,6 млн \$ США

## Состояние энергоблоков Чернобыльской АЭС

### *Энергоблок № 1*

- установленная мощность - 1000 МВт
- работает на мощности - 800 МВт

### *Энергоблок № 2*

- в течение 1992 1993 1994г г в режиме консервации
- с 1995 г ведутся работы по инспекции систем и оборудования

### *Энергоблок № 3*

- установленная мощность - 1000 МВт
- работает на мощности - 1000 МВт

**Проектный ресурс оборудования каждого энергоблока - 30 лет**

**Выработанный ресурс оборудования за годы эксплуатации**

- Энергоблок № 1 - 60 0 %
- Энергоблок № 2 - 41,3%
- Энергоблок № 3 - 41 0%

Энергоблоки могут эксплуатироваться до 2011 года

**Проектный ресурс технологических каналов (элементов реактора) - 20 лет**

После 20 лет эксплуатации требуется замена, стоимость для одного реактора \$ 80 млн время замены - 1,5 года Для оценки целесообразности замены технологических каналов необходимо учитывать, что стоимость годового производства электроэнергии одним энергоблоком составляет около \$ 150 млн

## РАЗДЕЛ I Экономико-географическое положение

Город Славутич расположен на левом берегу Днепра в пределах Черниговской области непосредственно близ железнодорожной станции которая раньше называлась "Нерафа" на отметках от 140 метров и выше. Город расположен в 50 км к востоку от Чернобыльской АЭС и в 20 км от загрязненной 30 километровой зоной на железной дороге Янов-Чернигов по которой осуществляется основная транспортировка работников ЧАЭС.

Автомобильная связь г. Славутич с Чернобыльской АЭС осуществляется по участку вновь построенной и реконструированной дороге Чернигов-Чернобыль.

Развитая сеть автомобильных дорог удобно связывает город Славутич с Киевом, Черниговом и Гомелем с районными центрами и крупными селами в радиусе 20-30 км с местами отдыха на берегу Днепра и в лесной полосе Приднепровья. Построена автомобильная дорога связывающая Славутич с поселком строителей Лесной и портом Якорь. Водным путем через порт Якорь город имеет связь с Киевом.

Славутич удобно расположен относительно г. Чернигов. Его доступность пригородным поездом (электричкой) составляет примерно 55 минут.

Климат региона где расположен Славутич - умеренно континентальный характеризуется преобладанием переноса атлантических воздушных масс, хотя и открытый для средиземноморских и арктических воздушных масс. Происхождение воздушных масс и связанные с этим атмосферные процессы являются определяющими факторами погоды в регионе. Поступление атлантического воздуха зимой способствует повышению средней температуры воздуха, а летом этот процесс способствует пасмурной прохладной погоде. Вторжение континентальных воздушных масс зимой приводит к резким и значительным похолоданиям, а летом - сопровождается жаркой и сухой погодой.

Среди зимних месяцев наиболее холодный январь. Для зимы характерна значительная перемена температур. Преобладают сравнительно мягкие зимы с оттепелью, но в отдельные годы они отличаются суровостью (1890-91, **1920-21**, 1928-29, 1941-42, 1953-54, 1986-87, 1995-96). Особенно значительные снижения температуры связаны с вторжением арктического воздуха, дополнительно охлажденного при передвижении его над материком.

Регион находится в зоне достаточного увлажнения. Годовая сумма осадков составляет 639 мм (метеостанция Чернигов). Для региона характерен континентальный тип годового хода осадков с максимумом летом. Зарегистрирован суточный максимум осадков по метеостанции Чернигов 58 мм (сентябрь 1957 года).

Количество дней со снежным покровом составляет в среднем 102 дня. В отдельные зимы эта величина варьирует от 23 до 160 дней. Максимальная высота снежного покрова до 30 см.

На протяжении года для региона характерно преобладание северо-западных и западных ветров, переменная годовая скорость ветра - 4,3 м/с, самая низкая в августе - 2,7 м/с.

В целом территория региона слабоволнистая и отличается высоким уровнем грунтовых вод (0,5 - 1,5 м от поверхности) и заболоченностью отдельных участков. Славутичский регион характеризуется значительной залесенностью территории - 80-90% и отделяется от Черниговской области значительным лесным массивом.

## РАЗДЕЛ II Социально-экономическая характеристика и концепция развития города

Концепция социально-экономического развития города основана на двух моментах

- строительство города по решению директивных органов для работников Чернобыльской АЭС и их семей с расчетной численностью I очереди на 20 тыс человек и II очереди до 30 тыс человек

- перспективность развития города в связи с принятием решения о закрытии Чернобыльской АЭС

Общим является определение наиболее оптимальной модели обеспечивающей комплексное системное функциональное развитие города с использованием созданной инфраструктуры высокого трудового и интеллектуального потенциала

Строительство и развитие города Славутич является важной составной частью комплексной программы по ликвидации последствий аварии на Чернобыльской АЭС

Строительство города осуществлялось в соответствии с Постановлением ЦК КПСС и Совета Министров СССР от 02 10 86г N1179 "О строительстве нового города для постоянного проживания работников Чернобыльской АЭС и членов их семей" с расчетной численностью 20 тыс и возможностью дальнейшего развития до 30 тыс человек

Генеральным планом застройки города предусматривалось создание развитой социальной инфраструктуры для обеспечения нормальных условий проживания работников Чернобыльской АЭС закрепление рабочей силы в городе и обеспечение комплексного и сбалансированного социально-экономического развития территории

Город Славутич стал величественным символом братской дружбы народов бывшего СССР Он сооружался силами восьми советских союзных республик - России Украины Азербайджана Армении Грузии Латвии Литвы и Эстонии Они показали все лучшее что накоплено строительной индустрией каждой республики

Город Славутич - является особым местом социальная инфраструктура которого строилась в кратчайшие сроки Почти все объекты жилищно-коммунального хозяйства торговли культуры и спорта детские дошкольные учреждения находятся в полном хозяйственном ведении Чернобыльской АЭС

Развитие рыночных отношений в Украине становление элементов рыночной инфраструктуры и предпринимательства наглядно прослеживаются и имеют систематизированный практический опыт на примере такого города как Славутич который можно по праву считать лабораторией экономической реформы

Сегодняшняя социальная инфраструктура города представляет собой целостную систему выполняющую важные функции для жителей

города и близлежащих сел Оценка состояния социальной инфраструктуры представлена в социальном паспорте города

Транспортное обслуживание населения осуществляет в основном акционерное общество открытого типа "Автотранспортное акционерное содружество Славутич" и железнодорожная станция "Славутич" - "Киевгосударсттранспорт" Юго-западной железной дороги

Автотранспортное предприятие 13253 корпоратизировалось в Акционерное общество открытого типа "Автотранспортное акционерное содружество Славутич" в апреле 1995 года в соответствии с действующим законодательством и является на территории города предприятием монополистом

Предприятие осуществляет грузовые и пассажирские перевозки в г Славутич по Украине государствам СНГ а также осуществляет международные перевозки по странам Европы

Ежегодно увеличивается подвижной состав и на сегодняшний день база подвижного состава укомплектована

- автобусами и микроавтобусами - 100 единиц
- легковыми автомобилями - 50 единиц
- грузовыми машинами - 75 единиц

#### Сравнительно

- на 01 01 92 - было 60 усл един
- 01 01 95 - 201 усл един
- 01 01 96 - 225 усл един

За 1995 год перевезено грузовым транспортом грузов 272 1 тыс тонн

Автобусами перевезено 8767 тыс пассажиров легкой колонной перевезено 97 6 тыс пассажиров как и планировалось по плану развития предприятия С 1994 года ежегодно увеличивается объем услуг в среднем на 8-10% Так в 1995 году на пригородных маршрутах перевезено 194 7 тыс пассажиров

При наличии соответствующих инвестиций предприятие в состоянии ввести в эксплуатацию на международных перевозках около 150 грузовых автомобилей и около 30 туристических автобусов

Исполнение этих условий позволит дополнительно вводить в эксплуатацию в международном сообщении еще до 100 автомобилей каждый последующий год и довести число автомобилей занятых на этих перевозках до 450-500 Как показывают расчеты это даст возможность создать дополнительно 1500-1600 новых рабочих мест и увеличить объемы перевозок в 7-8 раз

Учитывая что г Славутич расположен на перекрестке автодорог которые связывают страны СНГ и Европу наличие железнодорожной станции речного порта на р Днепр механизированных грузовых железнодорожных площадк с современными складскими сооружениями становится очевидной и перспектива создания консигнационных складов с таможней что даст возможность создания еще 350 рабочих мест и получения доходов

Обеспечение города водой (на питьевые нужды и для других целей) производится путем забора подземных вод Бучачского и Сеномашского горизонтов-глубины скважин от 109 до 235 метров

Водозаборные сооружения состоят из 30 скважин - 28 действующие две резервные

Кроме этого имеется две скважины для голива асфальтобетонного покрытия и зеленых насаждений

Проектная производительность - 30 тыс м<sup>3</sup>/сутки (10 950 млн м<sup>3</sup>/год)

Водоочистные сооружения построены по проекту "Учрводоканалпроекта" и изучены в эксплуатации в 1988 году

Водопотребление по годам характеризуется следующими показателями (тыс м<sup>3</sup>)

	ЛИМИТ	ФАКТ
- 1988 г	- 2102	1267
- 1989 г	- 2845	2611
- 1990 г	- 2903	2848
- 1991 г	- 3259	3264
- 1992 г	- 4870	3980
- 1993 г	- 4800	3922
- 1994 г	- 3922	3871
- 1995 г	- 5000	4766

Общая протяженность водопроводных сетей - 138 7 км  
в том числе - уличная сеть - 23 2 км  
- внутриквартальные сети - 115 5 км

Подача воды непосредственно потребителю осуществляется с помощью комплекса водоочистных сооружений (ВОС) проектной мощностью 18 000 м<sup>3</sup>/сутки (720 м<sup>3</sup>/час)

Канализационноочистная сеть города включает две канализации главные коллекторы (28 4 км) уличная сеть - 13 3 км квартальная сеть - 78 5 км Емкость приемного резервуара составляет 112 куб м Изношенность канализационного хозяйства - 15-20 процентов Опыт эксплуатации канализационноочистных сооружений показал низкую эффективность очищения использованных вод от азота амонийного состав которого в очищенных стоках превышает гранично допустимые концентрации Основными причинами такого состояния является неэффективность технологий очищения стоков и перегрузка канализационноочистных сооружений в часы максимального водопотребления и водоотведения

Насущной проблемой водообеспечения города является реконструкция существующих канализационных сооружений без осуществления которой невозможна нормальная эксплуатация города и его дальнейшее социально-экономическое развитие

**РАЗДЕЛ III Общие показатели экономического и социального развития города за 1995 год**

ПОКАЗАТЕЛИ	Един измер	Факт	
<b><u>Трудовые ресурсы</u></b>			
Численность населения	тыс чел	25 4	
Численность работающих	тыс чел	16 6	
<b><u>Экономическое развитие</u></b>			
Товарная продукция промышлен- ных предприятий	млрд крб	35038 8	
- Чернобыльская АЭС	млрд крб	34937 0	
- Хлебозавод	млрд крб	101 8	
Капитальные вложения на строительство города за счет всех источников финансирования	млрд крб	1853 8	
СМР - Всего	млн крб в ценах 1984г	9 7	
Выработка электроэнергии	млн квт	11676 0	
<b><u>Социальное развитие</u></b>			
Производство товаров народ- ного потребления			
Всего	млн крб	137742 0	по Киевской области
в том числе на душу насе- ления	млн крб	5 4	46 14
Ввод в эксплуатацию за счет всех источников финансиرو- вания			
жилых домов общей площадью квартир	тыс кв м единиц	18 34 420 0	
Розничный товарооборот предприятий всех форм собственности	млрд крб	1784 0	по Киевской области
В том числе на душу населения	млн крб	70 2	22 0
Объем платных услуг населению			
Всего	млн крб	214897 4	
в том числе объем бытовых услуг	млн крб	29311 7	по Киевской области
в том числе на душу населения			
платных услуг	млн крб	8 92	7 66
бытовых услуг	млн крб	1 15	1 76
<b><u>Развитие рыночных структур</u></b>			
Частные предприятия	единиц	89 0	
Акционерные общества закрытого типа	" "	34 0	
Акционерные общества открытого типа	" "	2,0	
Общества с ограниченной ответственностью	" "	133,0	
Полные общества	" "	5 0	
Банки	" "	3,0	

#### РАЗДЕЛ IV Результаты мероприятий по реабилитации территорий города и прилегающих лесных массивов

Комплекс проведенных реабилитационных мероприятий дал такие результаты

1 Радиационная обстановка доведена до уровня допустимого для нормального функционирования города энергетиков Чернобыльской АЭС

2 Содержание цезия-137 в земле на городской территории варьирует в диапазоне 0 05-1 5 Ки/км кв стронция-90 - 0 003-0 05 Ки/км кв плутония-239 - 10-100 мКи/км кв Диапазон величин МЭД в границах -8-18 мкР/час

3 На непосредственно прилегающей к городу лесной территории диапазон МЭД варьирует в границах 11-88 мкР/час содержание цезия-137 в земле - 0 20-18 Ки/км кв стронция-90 - 0 03 - 0 1 Ки/км кв плутония-239 - 3-30 мКи/км кв

4 К 1996 году годовая эффективная доза облучения населения снижена до 0 63 мЗв (в сравнении с 1988 годом больше чем в 5 раз)

5 Разработана и внедрена система дозиметрического и радиационного контроля в г Славутич и 10-ти километровой зоне

6 Разработана и внедрена система общей медицинской диспансеризации населения и обеспечена возможность предоставления медицинской помощи основными элементами которой стали

- медицинская технология с ориентацией на формирование сохранения и укрепление здоровья населения особенно детей

- проведение активной работы по эффективному использованию средств профилактики

- развитие специализированных видов медицинской помощи

7 Разработаны и внедрены методы и пути управления социальной инфраструктурой города как целостного технополиса в условиях зоны усиленного радиозэкологического контроля

- создана автономная система обеспечения активной жизнедеятельности населения в городе и на прилегающей территории с минимизацией индивидуальных и коллективных доз облучения

- отработана система централизованного завезения и реализации основных групп экологически чистых продуктов питания

- обеспечено оздоровление и лечение детей в экологически чистых регионах

- обеспечена система дозиметрического контроля и полного информирования населения относительно уровня радиационной безопасности в городе и на прилегающей территории

- максимально обеспечены условия для культурного отдыха и занятий физкультурой как решающего фактора который направлена на уменьшение ощущения "замкнутости" городского пространства

Комплекс решений методов и путей их решения которые реализованы в городе обеспечивают нормальную жизнедеятельность жителей и создают надлежащие условия для безопасного функционирования энергоблоков ЧАЭС и "Объекта "Укрытие" что зависит от нормального социально-психологического климата в котором пребывают работники Проведенные мероприятия могут быть рекомендованы как базовая модель для реабилитации территории Украины которая подверглась радиоактивному загрязнению вследствие Чернобыльской катастрофы и где не удалось выполнить требований действующего законодательства относительно отселения населения с указанных территорий

В г Славутич накоплен опыт создания локального технополиса который с учетом научно-технического потенциала и практического опыта обеспечения загрязненного окружения можно использовать для возрождения активизированных территорий

По предложению Президиума Украинской Экологической Академии Наук секретариат всемирного движения "Экофорум за мир" / подразделение ООН/ наградил город Славутич почетным знаком движения и принял его в Ассоциацию городов-почетных членов всемирного движения "Экофорум за мир" за проделанную работу в оздоровлении экологического состояния города и социального благополучия населения

**БАЗОВАЯ СОЦИАЛЬНО-ДЕМОГРАФИЧЕСКАЯ  
СТРУКТУРА НАСЕЛЕНИЯ**

**Среднегодовая численность населения города Славутича  
по состоянию на Январь 1996 года**

Годы	В процентах ко всему населению	
	мужчины	женщины
1987	51 62	48 38
1988	51 86	48 14
1989	50 36	49 64
1990	50 04	49 96
1991	49 85	50 15
1992	49 65	50 35
1993	49 77	50 23
1994	49 80	50 20
1995	49 70	50 30
1996	49 50	50 50

**Возрастной состав населения города Славутича  
по состоянию на Январь 1996 года**

Возрастные группы лет	Численность в процентах ко всему населению	В процентах ко всему населению	
		мужчин	женщин
до 7	20 85	11 28	9 57
7 - 16	19 45	10 22	9 23
16 - 20	4 91	2 45	2 46
20 - 30	13 22	5 18	8 04
30 - 40	21 57	12 34	12 23
40 - 50	10 08	5 15	4 93
50 - 55	2 43	1 29	1 14
55 - 60	2 12	1 04	1 08
60 - 70	1 38	0 46	0 92
старше 70	1	0 17	0 83

**Национальный состав населения города Славутича по  
состоянию на Январь 1996 года (без учета детей)**

Национальность	Численность в процентах ко всему населению	В процентах ко всему населению	
		мужчины	женщины
Украинцы	54 3	25 5	29 2
Русские	33 9	16 8	18 7
Белорусы	4 9	2 0	2 2
И другие	6 9	3 4	3 0

Показатели	численность
1	2
<b>Численность населения</b>	
всего	25462
в том числе	
а) дети до 16 лет	8434
б) граждане старше 55 (60) лет	1768
<b>I Трудовые ресурсы (с учетом механического движения)</b>	<b>18741</b>
Трудовые ресурсы всего (а+б)	16114
а) население в трудоспособном возрасте (без неработающих инвалидов I и II группы и лиц получающих пенсию на льготных условиях)	14874
б) работающие лица старших возрастов и подростки до 16 лет	1240
<b>II Распределение трудовых ресурсов по видам занятости</b>	
1 Занято в общественном хозяйстве (а+б) = (5-4а)	16615
а) работающие и служащие занятые на предприятиях в организациях и учреждениях	16615
б) колхозники работающие в общественном хозяйстве колхозов	-
2 Прочее занятое население	-
3 Учащиеся 16 лет и старше обучающиеся с отрывом от производства	586
4 Занято в домашнем и личном подсобном хозяйстве	1000
в % к трудовым ресурсам	3 9
4а занято в личном подсобном хо-ве	-
4б занято в домашнем хо-ве	1000
<b>III Распределение занятых в народном хозяйстве</b>	
5 Занято в народном хозяйстве в том числе	16615
6 В отраслях материального производства	10615
из них	
7 в промышленности	5010
8 в строительстве	1778
9 в сельском хозяйстве	-

1	2
В том числе	
10 на государственных предприятиях	-
11 в колхозах	-
12 в личном подсобном хозяйстве	-
13 в лесном хозяйстве	-
14 на транспорте и связи (в части обслуживания производства)	1363
15 в торговле общественном питании заготовках материально-техническом снабжении	2247
16 в прочих отраслях материального производства	217
17 в непроизводственных отраслях	6000
из них	
18 в просвещении культуре искусстве	1810
19 в науке и научном обслуживании	112
20 в здравоохранении физкультуре соцобеспечении	1131
21 в жилищно-коммунальном хозяйстве	2120
22 на транспорте и в связи (в части обслуживания населения)	243
23 в аппарате органов государственного управления МВД	280
24 в прочих отраслях нематериального производства	304
Занято в отраслях материального производства в %	64
занято в непроизводственных отраслях в %	36
избыток (+) или недостаток (-) трудовых ресурсов = (I -1-2-3-4)	+540
 <b><u>Справочно</u></b>	
Численность неработающих инвалидов I и II группы трудоспособного возраста	132
Численность неработающих лиц трудоспособного возраста получающих пенсию на льготных условиях	254
Численность работающих в городе но проживающих за его пределами	4827
Численность работающих в городе но работающих за его пределами	2000
Численность работающих пенсионеров	1160
Численность работающих подростков	80

Распределение численности работающих  
в коммерческих структурах по отраслям  
народного хозяйства

Отрасли народного хозяйства	Численность (тыс чел )	Удельный вес от общ числа (%)
Всего зачато в народном хозяйстве	2 6	100
В отраслях материального производства	2 18	85 8
- в промышленности	0 2	7 7
- в строительстве	0 4	15 4
- в торговле и общественном питании	0 9	34 6
- на транспорте в части обслуживания производства	0 4	15 4
- в прочих отраслях материального производства	0 2	7 7
- в том числе в банках	0 08	3 0
В непроизводственных отраслях		
- в просвещении и культуре	0 42	16 2
- в здравоохранении	0 01	0 4
- в науке и научном обслуживании	0 07	2 7
- на транспорте в части обслуживания населения	0 1	3 8
- на предприятиях бытового обслуживания населения	0 1	3 85
- страховая деятельность	0 04	1 6

**Наличие рабочих мест и работающих  
на предприятиях города**

Наименование	к-во рабочих мест	средне- списочная числен	коэффициент сменности на 01 09 96
<i>Чернобыльская АЭС</i>			
<i>всего</i>	13245 25	11658	
<i>промышленный пер- сонал</i>	6947	6416	1 18
<i>непромышленный персонал</i>	6298 25	5242	
<i>из них</i>			
<i>МЖКХ</i>	2243	1879	1 46
<i>ОРС</i>	1642 5	1266	1 3
<i>ДЛУ</i>	978 25	839	1 1
<i>КИЦ</i>	567 5	474	
<i>Гостиница</i>	202	145	
<i>РСУ</i>	314	274	1
<i>Подсобное хозяйство</i>	148	148	1
<i>Пионерлагерь</i>	23	38	
<i>Радиопресцентр</i>	9	8	1
<i>Служба обеспечения охраны</i>	171	171	1
<i>Хлебозавод</i>	105 5	85	1 5
<i>Трест "САЭС"</i>	1038	1038	1
<i>"АТАСС"</i>	575	574	1 15
<i>МСЧ-5</i>	1155	851	1 4
<i>Отделение почтовой связи</i>	22	22	1
<i>Гортелеком</i>	60	58	1
<i>Банки</i>	80	78	1
<i>Бизнес</i>	1926	1926	1
<i>Прочие бюджетные организации и учреждения</i>	1894	1746	1
<b>Итого</b>	<b>20097 75</b>	<b>18036</b>	

ВВОД ОБЪЕКТОВ СОШКУЛЬТЫТА С НАЧАЛА СТРОИТЕЛЬСТВА ГОРОДА СЛАВУТИЧ

Объекты	Единицы измерения	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996 8 месяцев	Фактически введено
1	2	3	4	5	6	7	8	9	10	11	12	13
1 Жилые дома	Общей пл м кв квартир	114983 1873	159010 2570	67101 1109	25189 426	7389 131	5825 11	19027 302	13339 290	153425 420	1547 101	437755 7369
2 Детские сады	объект мест	2 560	3 935	2 560	1 230				7		0 2395	9 2392
3 Школы	объект уч мест		2 2562		1 256						0 2829	3 3828
4 Учебно-производственный комбинат	объект уч мест				1 700						0	1 700
5 Полклинника	посещ в смену		150		70						0	770
6 Больница	коек		1	65				300			0	300
7 Аптека	общей пл м кв			600							600	600
8 Банно-оадорозительный комплекс	объект помыв мест				1 00						100	1 100
9 Физкультурно-оздоровительный комплекс	объект общей пл кв м	1 93,3		3 301,9	1 1051,1						5 5002,3	5 5302,3
0 Стадион	мест						620				620	620
1 Футбольное поле	кв м							7750			7750	7750
2 Киноконцертный комплекс	мест		758								758	470
3 Дом культуры с библиотекой	мест томов						100 99000				300 99000	250
4 Дом быта	объект						1				2	2
5 Прачечная	кг белья в смену		340 1	1800 1	130 3						28 5	2870 5
6 Блок первичного обслуживания	объект пл кв м	1 398	1 4165	1 352							6 49,4	6 4914
7 Магазины	объект пл кв м		2200	2112		1 218		1 130		2 108	14 457,4	14 4594
8 Столовая рабочая столовая шольная	пос мест	230	250 550		290	250					20 90	730 870
9 Соковый бар, кафе	пос мест		14							40	114	114
0 Ресторан	пос мест			150							150	150
1 Молочная кухня	порции						5000				5000	нет
2 Фабрика полуфабрикатов (сырья в сутки)	тонн						10				10	10
3 Мучной цех	объект											1
4 Картофельохранилище	тонн		2000								2000	2000
5 База ОРСа	кв м							3000			3000	3000
6 Крытый рынок	мест							75			75	75
7 Вещевой рынок	объект							1			1	1
8 Узел связи с сберкассой	кв м		557,9								557,9	557,9
9 ГУС	номеров				10000						10000	9237
0 Узел связи СОС-3	номеров				500						500	500
1 Автостанция	мест		50	200							200	200
2 Пожарное депо	автомаш			8							8	8
3 АЭС	газопровод в сутки						500				500	500
4 Здание милиции	объект				1							1
5 Сбербанк	объект											1
6 Проминвестбанк	объект							1				1
7 Дом детского творчества	мест										150	150

**Социальный паспорт г Славутича за 1995 год**

Наименование отраслей и объектов социальной инфраструктуры	Единица измерения	Обеспеченность 1000 чел. населения объектами СИ в натуральном исчислении	
		нормативная	1995 факт
<b>Социальная инфраструктура</b>			
<b>Торговля и общепит</b>			
Предприятия торговли	кв м	236	206*
Предприятия общепита	посад мест	140	141
<b>Бытовое обслуживание</b>			
Предприятия и пункты быта	раб место	9 4	5
Бани и душевые	пом мест	5	3 6
Предприятия химчистки	кг вещей в смену	11 4	4
Прачечные	кг белья в смену	120	95
<b>Связь</b>			
Квартирные телефоны	единиц	330	284
Предприятия связи	единиц	0 16	0 09
<b>Образование</b>			
Детские дошкольные учреждения	место	70	62
Общеобразовательные школы	место	123	102
<b>Здравоохранение</b>			
Больничные учреждения	койка	13 9	15 7
Амбулаторно-поликл учреждения	посещ смену	24	31
Аптеки	единиц	0 1	0 1
<b>Физкультура и спорт</b>			
Спортивные залы	кв м пола	95	145
	кв м зеркала бассейна		
Бассейны	воды	35	50
<b>Культура</b>			
Дома культуры и клубы	место	50	11
Массовые библиотеки	тыс экз	9	9
Детские школы эстетического образования	уч-хся 1-8 классы	12	19
Кинотеатры	место	10	10
Концертные залы	место	5	7
<b>Жилищно-коммунальное хо-во</b>			
Общая площадь жилых домов	жил пл тыс кв м	23	16
Водопотребление	куб м сутки	350	295
Водоотведение	куб м сутки	320	236
Теплоснабжение	тыс Г кал/год	3 5	4 8
Электроснабжение	тыс кв/ч год	1350	870
Гостиницы	место	5	3 8

\* С учетом торговых площадей коммерческих структур

**Следует отметить несколько ключевых моментов, имеющих место и влияющих на проведение экономических преобразований в городе**

- наличие монопромышленного предприятия ЧАЭС и содержание им 80 % социальной инфраструктуры

- созданная развитая современная социальная инфраструктура города

- радиологические особенности территории

- наличие высоко-интеллектуальных трудовых ресурсов

**Имеет место ряд общих моментов развития предпринимательства**

- рост общей численности коммерческих структур при общем снижении темпов по сравнению с предыдущими годами (пиковыми были 1992-93 гг.)

- структурное распределение по видам деятельности практически осталось неизменным

- ощутимый прирост предприятий основанный на частной собственности и сохранение лидирующих позиций доли предприятий использующих коллективную форму собственности

- отсутствие реально действующих совместных предприятий

- сосредоточение своих интересов вновь созданными предприятиями исключительно в сфере торговли

### Потенциальные рабочие места

N п/п	Название объекта незавершенного стро- ительства	% строительной готовности
1	Средние школы N4 N5	40
2	Детский сад на 140 мест	80
3	Детский сад на 330 мест	40
4	Фабрика прачечная (3 тонны белья в смену)	60
5	Гостинница на 274 места	36
6	Кооперированное здание 2300 м2 об площади	85
7	Детское кафе на 30 мест	45
8	СТО на 25 постов	70

## РАЗДЕЛ V Краткие данные о правовом поле, регулирующем деятельность местных органов управления и субъектов хозяйственной деятельности в сфере экономического и социального развития города

Экономическое и социальное развитие города формируется в соответствии с Законом Украины "О местных Советах народных депутатов местном и региональном самоуправлении" с учетом основных государственных приоритетов по реализации экономической политики в Украине в рамках Программы деятельности Кабинета Министров Украины утверждаемой Верховным Советом Украины

Конституция Украины Закон Украины "О местных Советах народных депутатов местном и региональном самоуправлении" Указ Президента Украины "О делегировании полномочий государственной исполнительной власти председателям и возглавляемым ими исполнительным комитетам сельских поселковых и городских Советов" являются основной законодательной базой которая регулирует деятельность городского Совета народных депутатов

Статус территории города Славутич определен Законом Украины "О правовом режиме территории подвергнувшейся радиоактивному загрязнению вследствие Чернобыльской катастрофы"

В соответствии с этим Законом г Славутич отнесен к зоне усиленного радиологического контроля в которой запрещается строительство санаториев детских лагерей домов отдыха и т д т е выражается в определенных ограничениях Кроме того статус определяет конкретный перечень мероприятий проводимых на данной территории Формирование городского бюджета регулируют Законы Украины "О бюджетной системе Украины" "О государственном бюджете Украины на 1996 год" "О налогообложении прибыли предприятий" "О местных налогах и сборах" "О подоходном налоге с граждан" Деятельность хозяйствующих субъектов регулируют Законы Украины "О налоге на добавленную стоимость" "О предприятиях в Украине" "О предпринимательстве" "О хозяйственных обществах" С принятием Закона Украины "О режиме иностранных инвестиций" для иностранных инвесторов на территории Украины устанавливается режим инвестиционной и другой деятельности

## НАСЕЛЕНИЕ И ТРУДОВЫЕ РЕСУРСЫ на 01 09 1996г

Численность населения - 26 тыс человек

в том числе

а) дети до 16 лет - 9 0 тыс человек

б) пенсионеры по возрасту - 2 2 тыс чел

в) инвалиды I и II группы - 356 человек

Трудовые ресурсы  
(с учетом "механического  
движения") - 18 7 тыс чел

Занято в общественном  
хозяйстве - 18,0 тыс чел

Занято в отраслях мате-  
риального производства - 64 %

Занято в производст-  
венных отраслях - 36 %

**ПРИЛОЖЕНИЕ 2**

**ПРИЛОЖЕНИЕ 3**



ких размерах, в каких его формировала ЧАЭС. Это обстоятельство является главным в определении суммарной мощности вновь создаваемых производств. Другими словами, можно считать, что при среднем уровне рентабельности и стандартной ставке налога на прибыль общая мощность в-связи с созданными производствами, по параметру объемов продаж должна быть таковой, как и выводятся из эксплуатации на ЧАЭС.

**ТЕЗИС** Если население Украины в результате вывода ЧАЭС в эксплуатацию пострадает из-за создавшегося дефицита электроснабжения, то население г. Славутич в той же мере судитив энергетическим дискомфортом пострадает дополнительно в процессе снижения общего жилищного уровня за счет снижения потенциала местной промышленности, который обеспечивала ЧАЭС. Это главное, что не позволяет считать жизнь в городе Славутич и государства в целом. Это главное, что позволяет ставить вопрос о ВОССТАНОВЛЕНИИ ПРОИЗВОДСТВЕННОГО ПОТЕНЦИАЛА ГОРОДА СЛАВУТИЧ ПУТЕМ СОЗДАНИЯ РЕНТАБЕЛЬНЫХ ПРОИЗВОДСТВ.

В создании механизма решения этого вопроса должны принять участие правительство Украины, G-7 и город Славутич.

Объединение G-7 в объеме средств, выделенном для решения черновобильской проблемы должно создать страховой фонд соответствующего размера, за счет которого G-7 будет обеспечивать процесс получения кредитных ресурсов стандартным способом у кредитующих банков.

Действующий объем страхового фонда пропорционален величине используемых кредитных ресурсов во временном периоде, может быть расширен с учетом реальных рисков при выполнении обязательств перед банками. В пределах страхового фонда может быть сформирован стандартный объем кредитных проектов.

Объем этого фонда вычитается из плановых затрат на решение черновобильской проблемы до момента восстановления кредитных связей.

Если какая-либо часть страхового фонда будет использоваться для реального покрытия не давших кредитных проектов, то эта часть вычитается из общего объема финансирования проблемы.

Если же судить о том, что все кредитные проекты будут даваться в соответствии с плановым, то этот срок может быть выделен в кредитных проектах, будет обеспечивать обязательства, достаточные для удовлетворения первоначальной потребности. Если этот срок ограничить в пределах, соответствующих решению черновобильской проблемы, то все плановые обязательства все задачи будут выполнены.

С целью максимального быстрого освобождения страхового фонда G-7 от обязательств целесообразно инвестировать не за счет банков, а за счет различных, в том числе благотворительных фондов, так как G-7 должны помочь в поиске таких фондов.

2 На правительственном уровне необходимо решить следующие задачи

2.1. Согласится с созданием фонда страхования инвестиций в объеме средств G-7

2.2. Согласится с вероятным уменьшением объема инвестиций G-7 в случае применения страхового фонда по назначению для покрытия неудавшихся кредитных проектов

2.3. Разработать меры по увеличению надежности создаваемых кредитных проектов путем

\* снятия (снижения) для этих проектов налога на прибыль на срок до 10 лет

\* решения вопросов формирования муниципальной собственности

ТЕЗИС СНИЖЕНИЕ (ИСКЛЮЧЕНИЕ) НАЛОГА НА НЕСУЩЕСТВУЮЩУЮ ПРИБЫЛЬ НЕ ПРИВЕДЕТ К РЕАЛЬНЫМ ПОТЕРЯМ ДЛЯ ГОСУДАРСТВА ПО КРАЙНЕЙ МЕРЕ В ПРЕДЕЛАХ ИНВЕСТИЦИОННЫХ ПЕРИОДОВ ДЛЯ КАЖДОГО ПРОЕКТА, НО СФОРМИРУЕТ ПОЛОЖИТЕЛЬНЫЙ ИНВЕСТИЦИОННЫЙ КЛИМАТ В РЕГИОНЕ

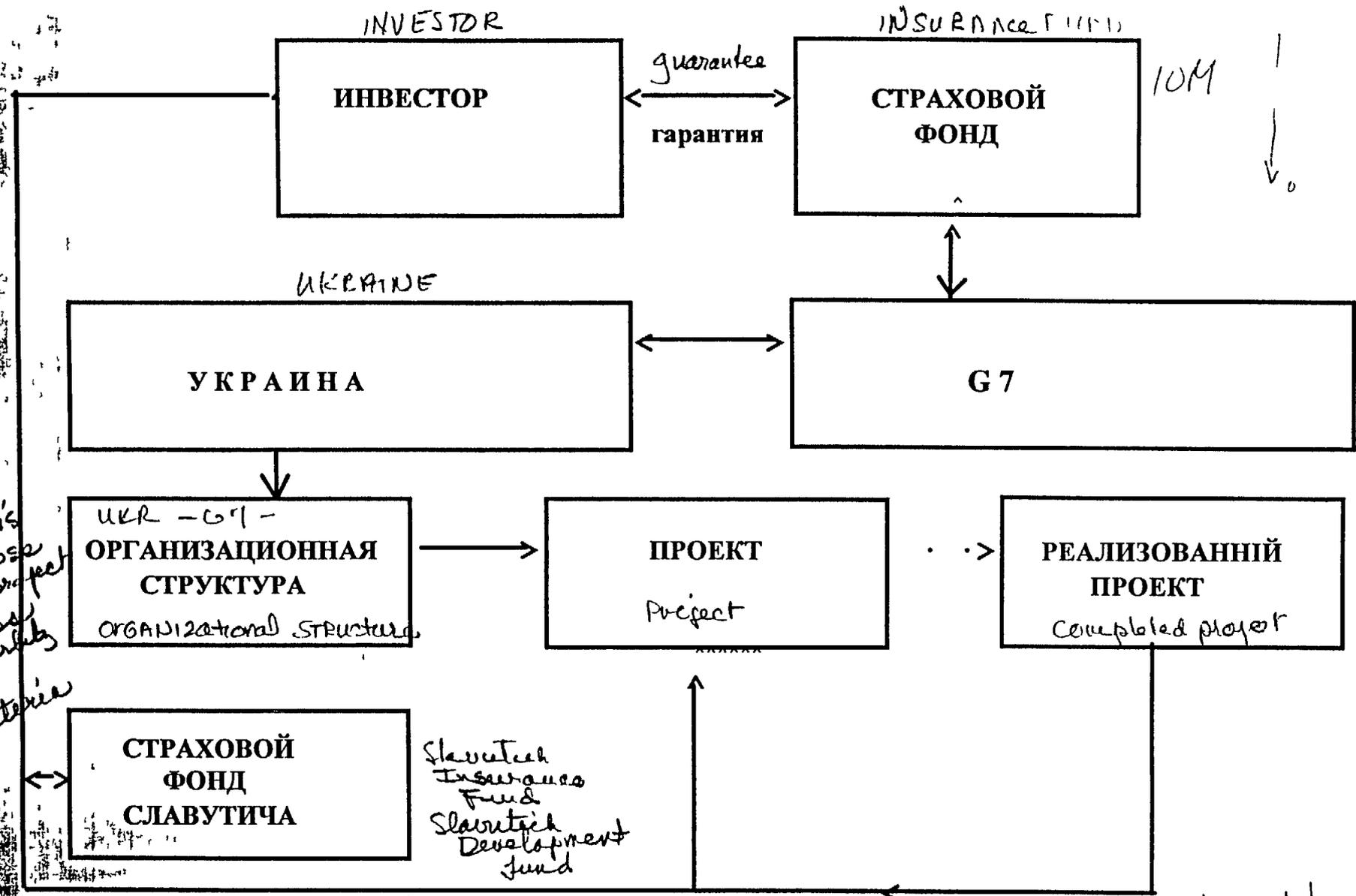
3 На уровне города Славутич

3.1. Создать структуру для отбора и контроля за выполнением инвестиционных проектов

3.4. Создать структуру для организационного, правового, экономического и маркетингового обеспечения инвестиционных проектов

ТЕЗИС ЦЕЛЬЮ ЯВЛЯЕТСЯ УВЕЛИЧЕНИЕ НАДЕЖНОСТИ И СНИЖЕНИЕ РИСКА ПРИ ВЫПОЛНЕНИИ КРЕДИТНЫХ ПРОЕКТОВ

Credit is returned to complete G7 project



Task is  
to chose  
the project  
assess  
viability  
ROI  
criteria

Slavutich  
Insurance  
Fund  
Slavutich  
Development  
Fund

Credit Resources + fee for insurance + interest on fund - returned to project

**ПРИЛОЖЕНИЕ 4**

**ПРИЛОЖЕНИЕ 5**

# Social Problems of CNPP and Slavutich

## **STRUCTURE OF ACTION PLAN**

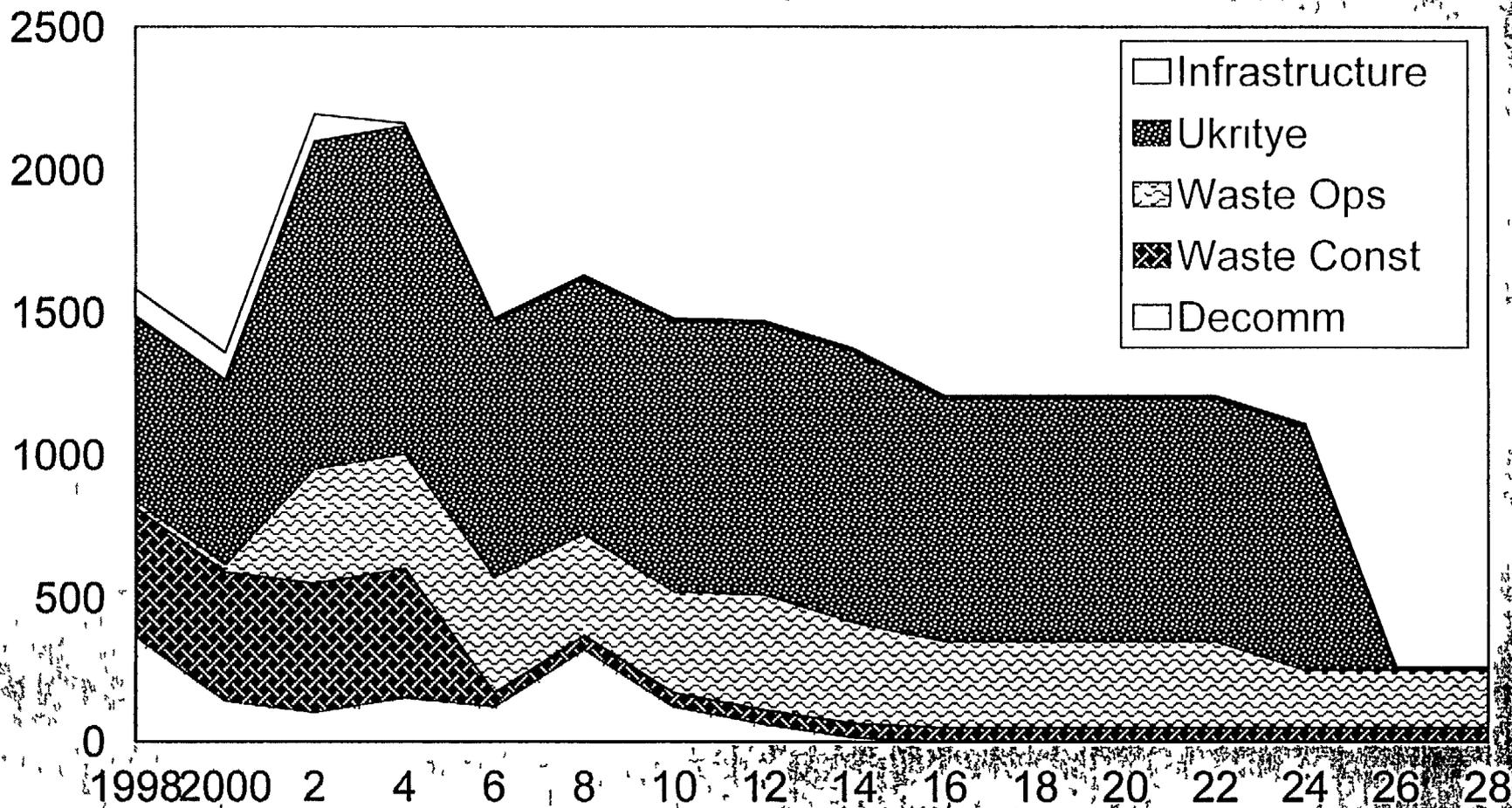
Joint EU-Ukraine-US Project

# Structure of Action Plan

- ◆ Introduction/Background
- ◆ Plans for ChNPP Workforce
  - ◆ MOU Employment Projections
  - ◆ Retraining for MOU projects
  - ◆ Service support for MOU projects
  - ◆ Training for alternative employment
- ◆ Plans for Slavutich
  - ◆ Situation in 1996
  - ◆ Vision for 2001 and beyond
  - ◆ Economic diversification
- ◆ Detailed Actions
  - ◆ Local participation in MOU projects
  - ◆ Transitional Community Service Fund
  - ◆ Development/Loan Guarantee Fund
  - ◆ Human Resource Development
  - ◆ Economic Development

# EMPLOYMENT PROJECTIONS

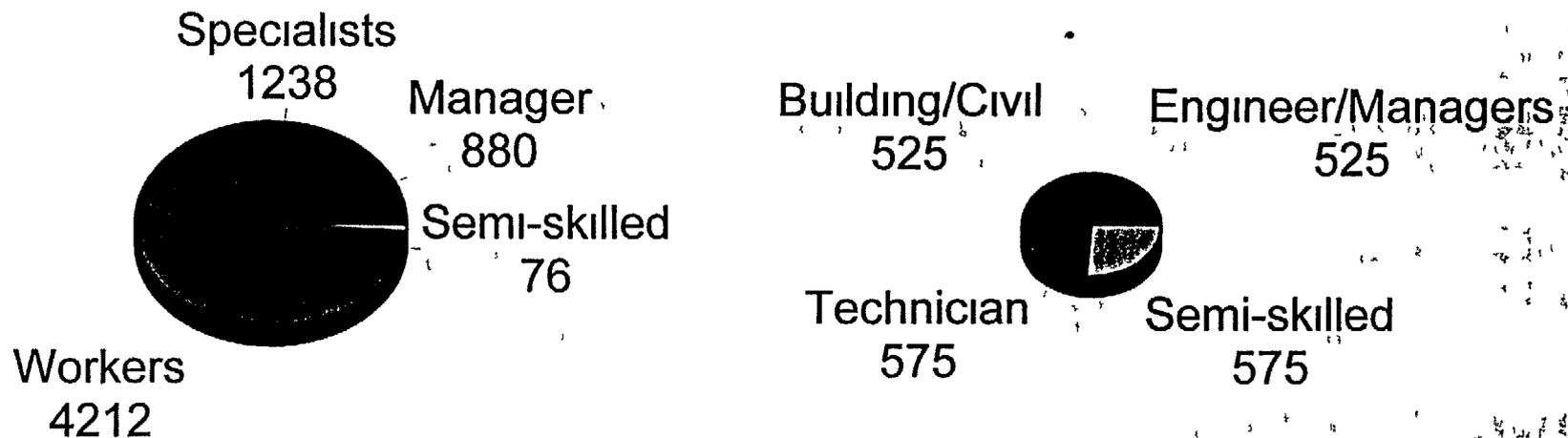
"G-7 MOU" Projects



Note: These are estimates. Actual figures will be determined by bidding process.

# CNPP Workforce

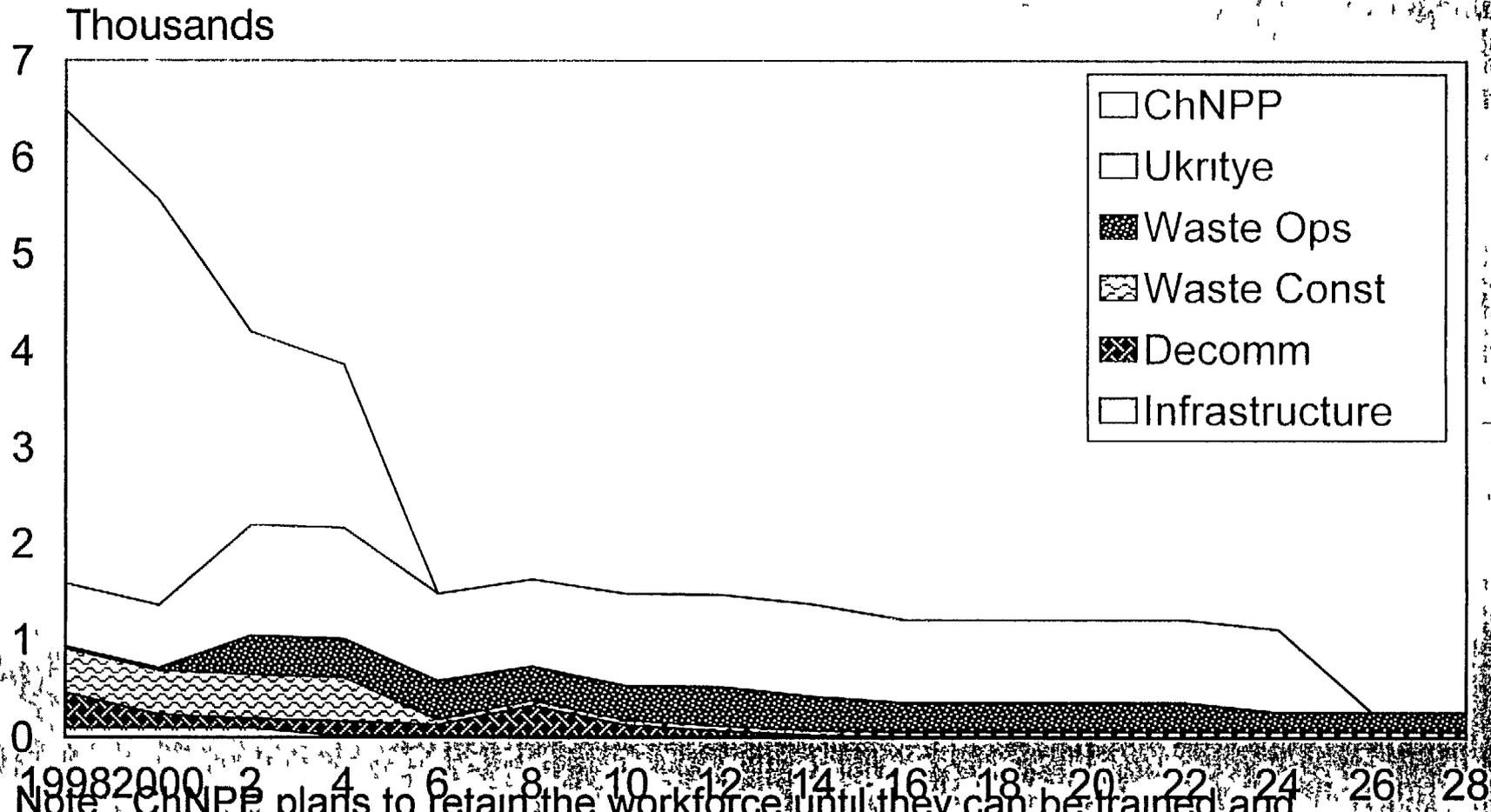
1996 Energy Production compared to 2001 G-7 Projects



In 2001, includes decomm, waste management & EU Ukrytiye program, however skill mix is unknown at this time for all projects

# EMPLOYMENT PROJECTIONS

## ChNPP Operations and "G-7 MOU" Projects



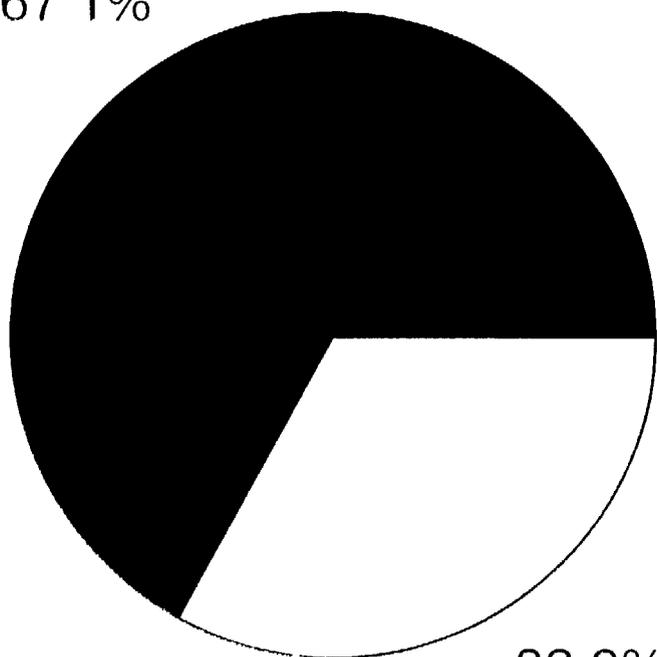
Note: ChNPP plans to retain the workforce until they can be trained and transferred to work on MOU projects

# Занятость Славутича

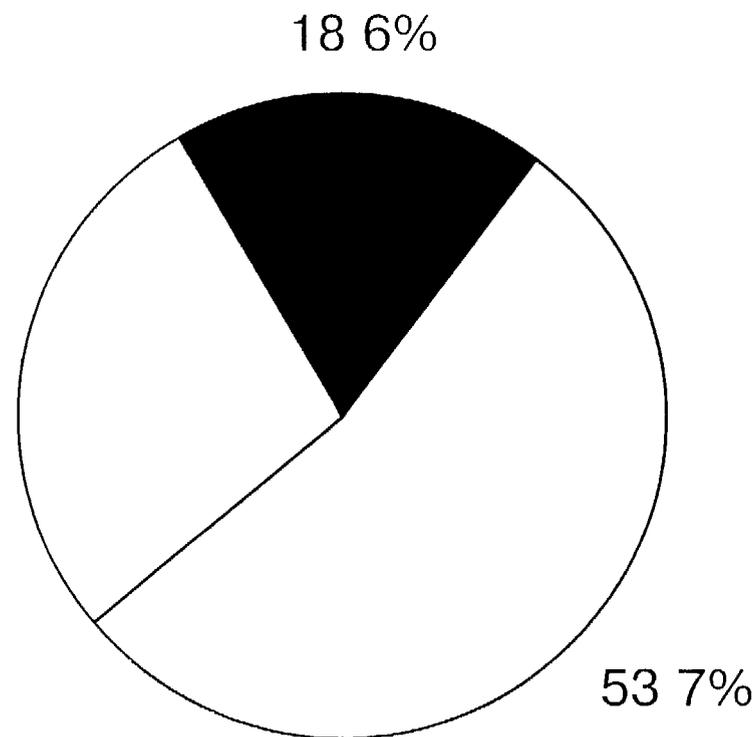
1996

2001

67.1%



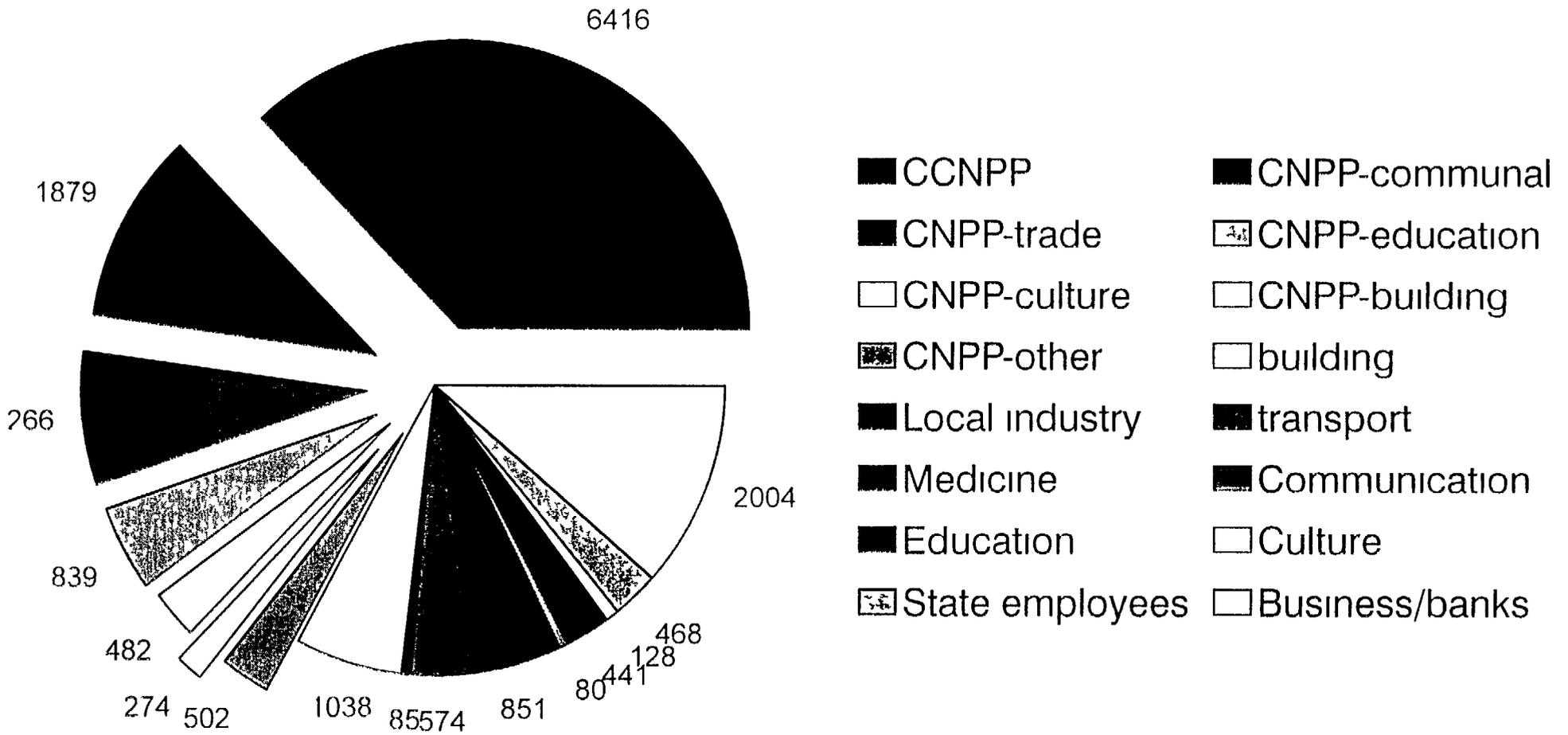
27.7%



■ ЧАЭС □ Славутич ■ Потенциально безработные

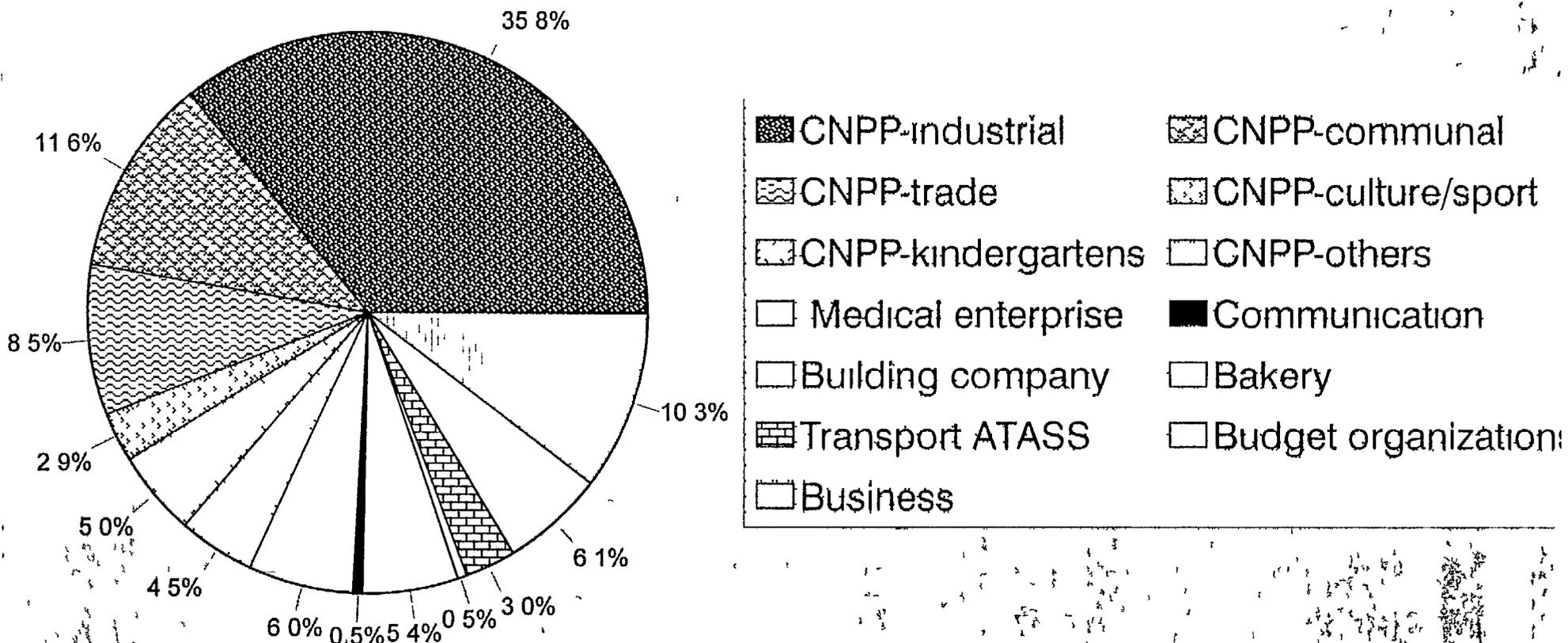
3/12

# Slavutich Employment 1996

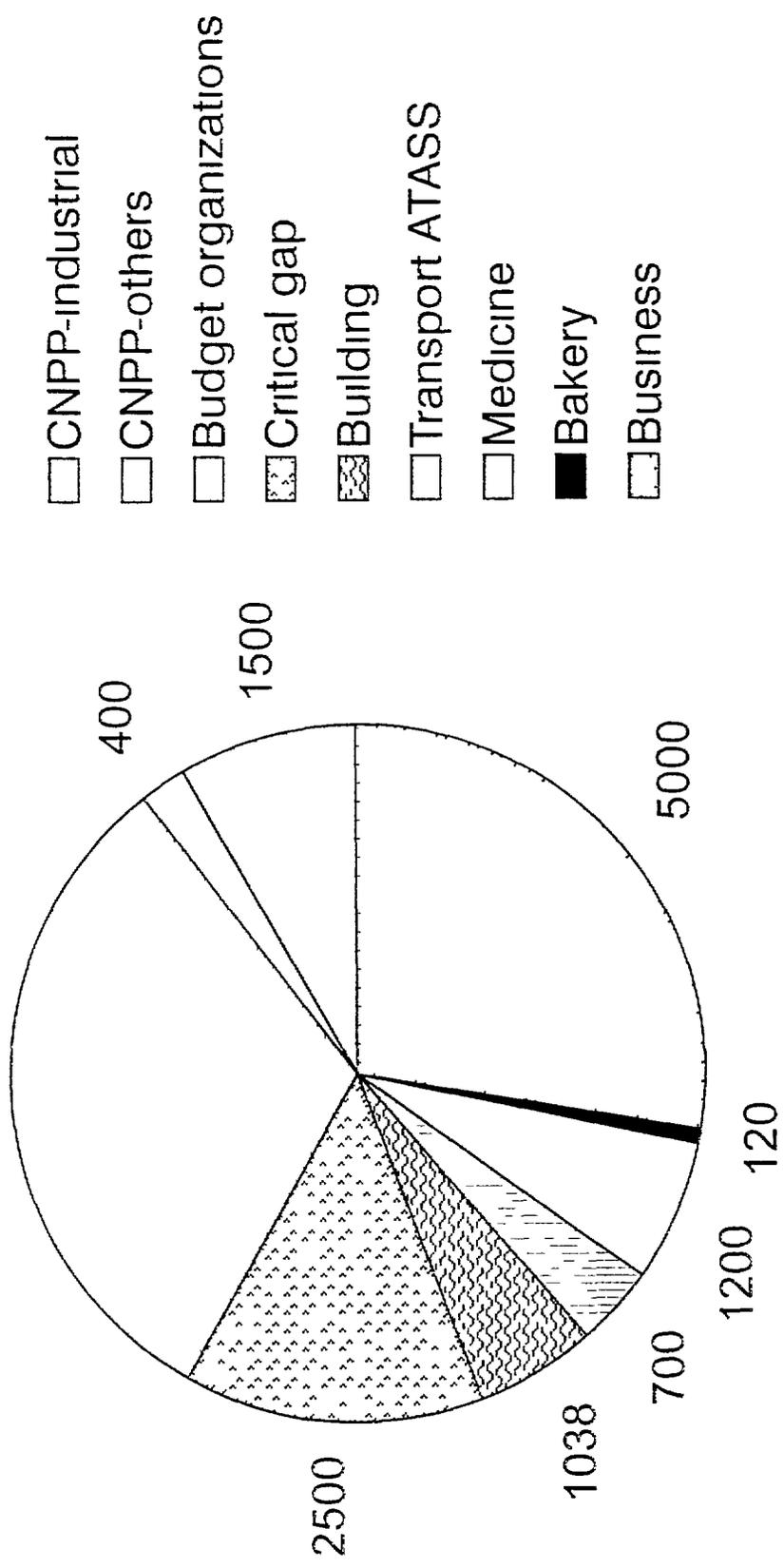


*Handwritten signature or mark*

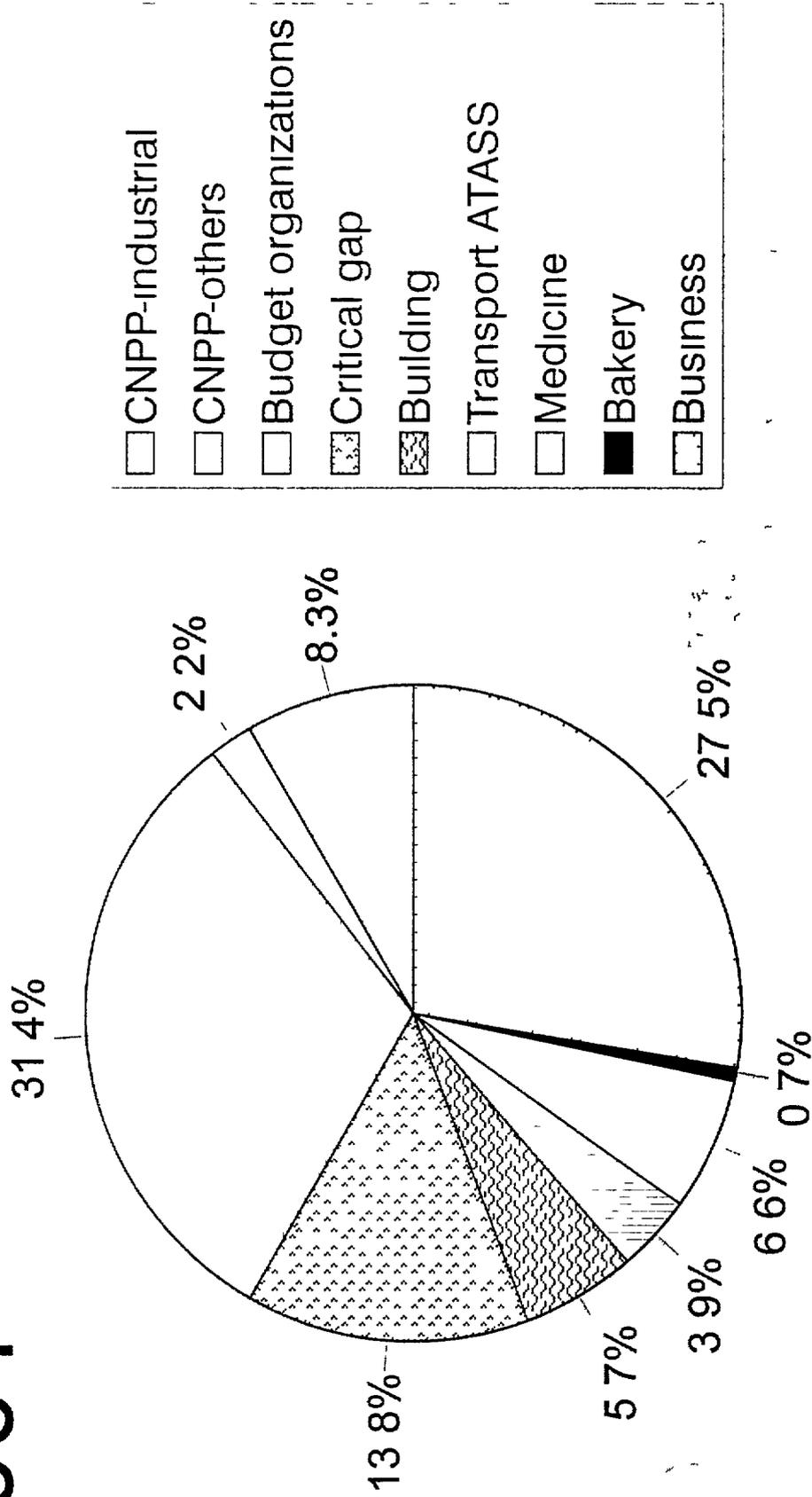
# Slavutich Workplaces 1996



# Slavutich Workplaces forecast 2001

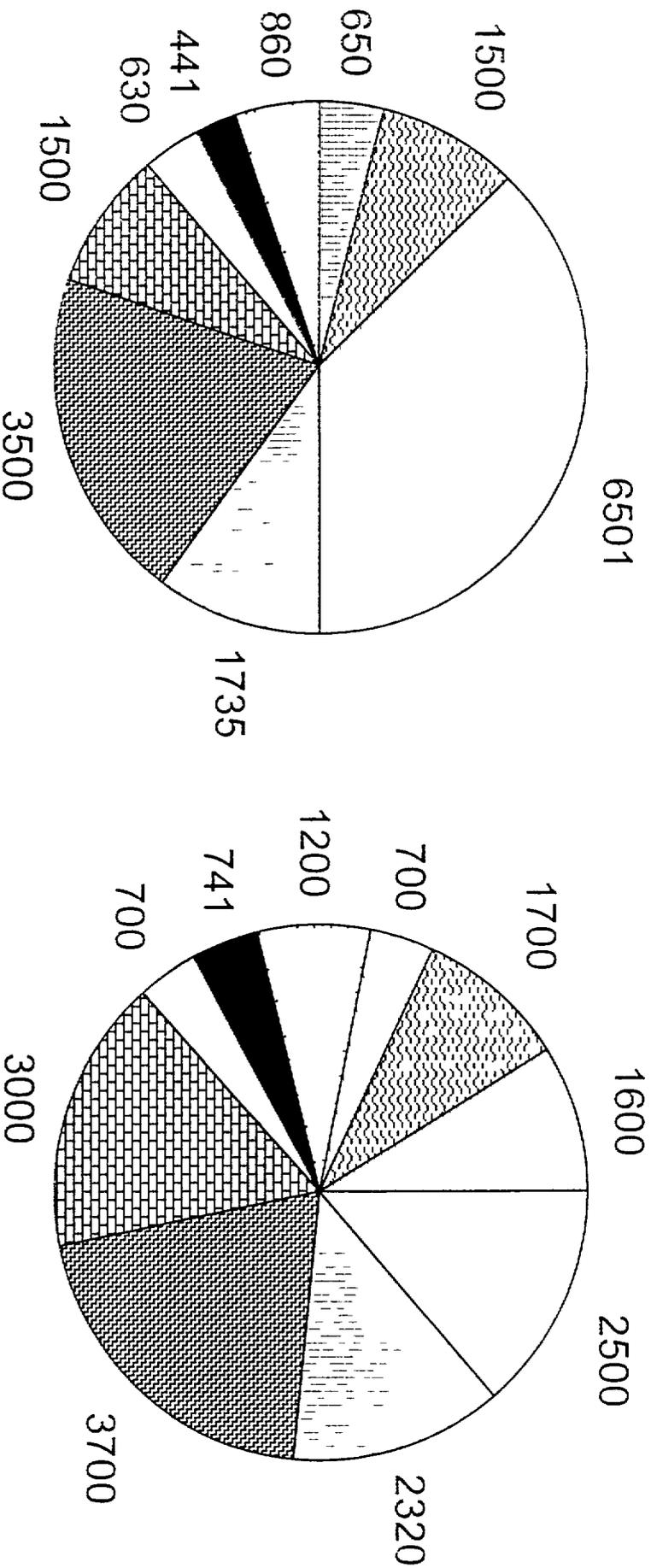


# Slavutich Workplaces forecast 2001



# Slavutich Employment

1996 and 2001 forecast



# ACTION PLAN

## Social Development of ChNPP and Slavutich

- ✓ ACTION Timeframe
- ✓ Immediate 1997
  - ✓ Create infrastructure (International Research Center Development Fund)
  - ✓ Strengthen institutions (Slavutich Employment Service, ChNPP, NGOs)
  - ✓ Educate population (Business Development Agency, MOU Job Training)
  - ✓ Sustain social standard (EBRD access, Transition Communal Service Fund)
- ✓ Near Term 1997-2001 (Retraining - 5000 new jobs, Replace \$30M services)
  - ✓ Privitize assets (real estate, new service companies)
  - ✓ Grow Small & Medium business (MOU "labor" firms, loan guarantee fund)
  - ✓ Promote innovation (other training, IRC, Energy Efficiency, Ecology)
  - ✓ Attract investment/new workers (Economic Development, Ecologic Image, Maintain living standard)
- ✓ Future 2001-2010 (Continue to attract enterprises, create jobs, sustain city)
  - ✓ Export products and services (radiology, ecology, energy)
  - ✓ Stimulate local investment (replace local imports)
  - ✓ Diversify economy (arts, tourism, consumer products)

• •

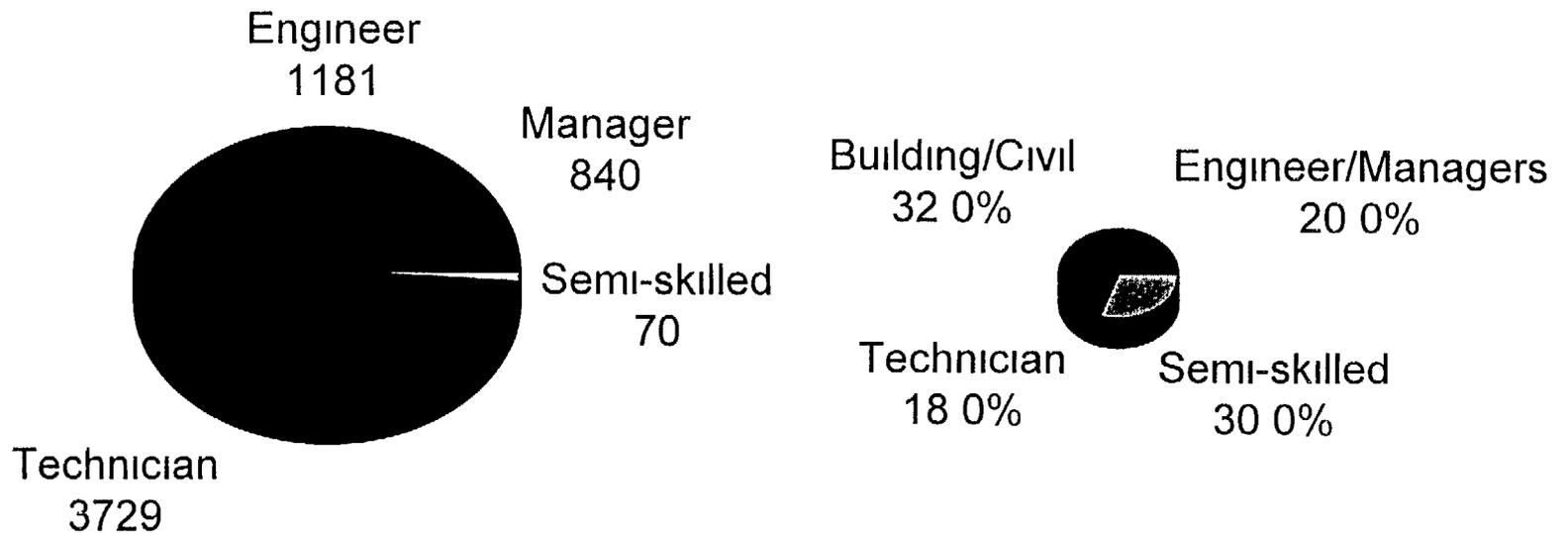
# Social Development of CNPP and Slavutich

## **ACTION PLAN**

Joint European Union-Ukraine-United States  
Project

# CNPP Workforce

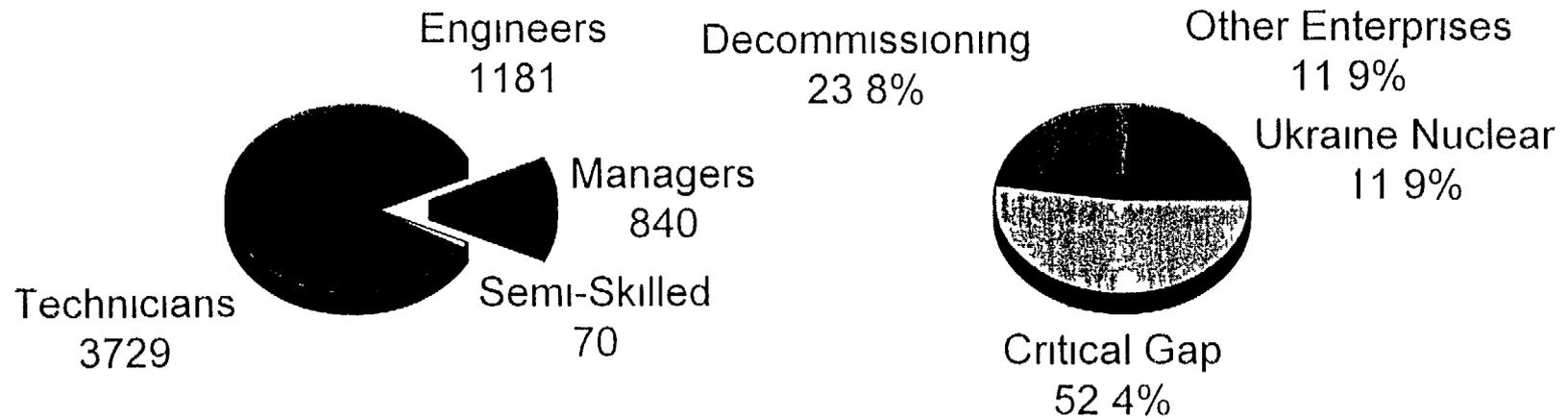
1996 Energy Production compared to 2001 Decommissioning



In 2001, does not include waste management or Ukrytiye program

# CNPP Workforce

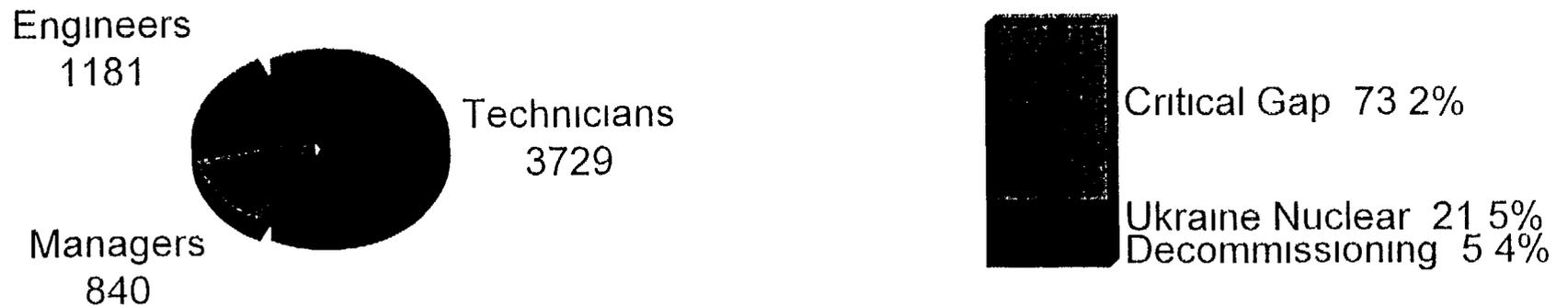
Estimated Transition of Production Workers - 2001  
Where will managers work?



In 2001, decommissioning may require less than 25% of station managers

# CNPP Workforce

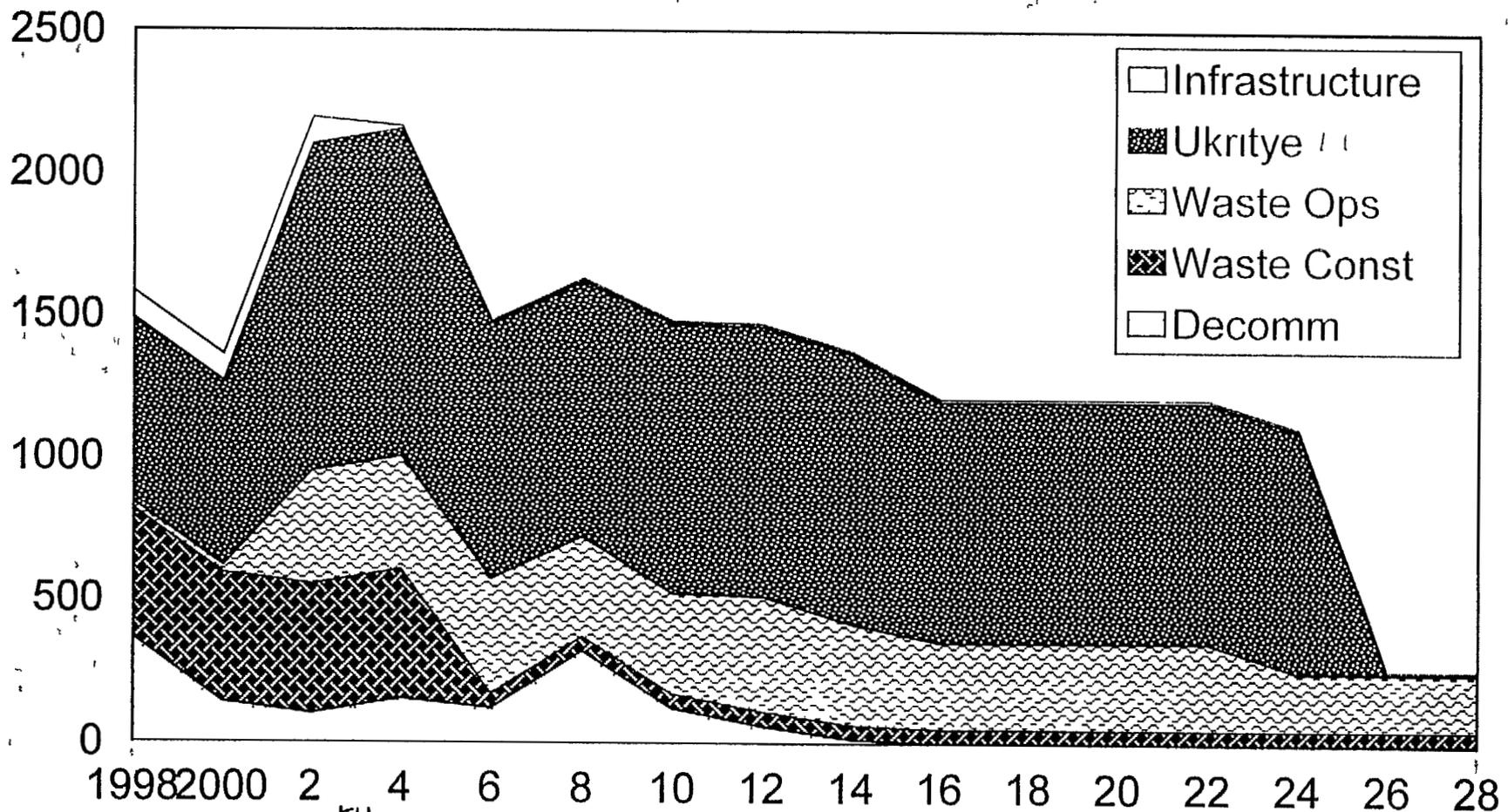
Estimated Transition of Production Workers - 2001  
Where will technicians work?



The technician workforce may require the most attention

# EMPLOYMENT PROJECTIONS

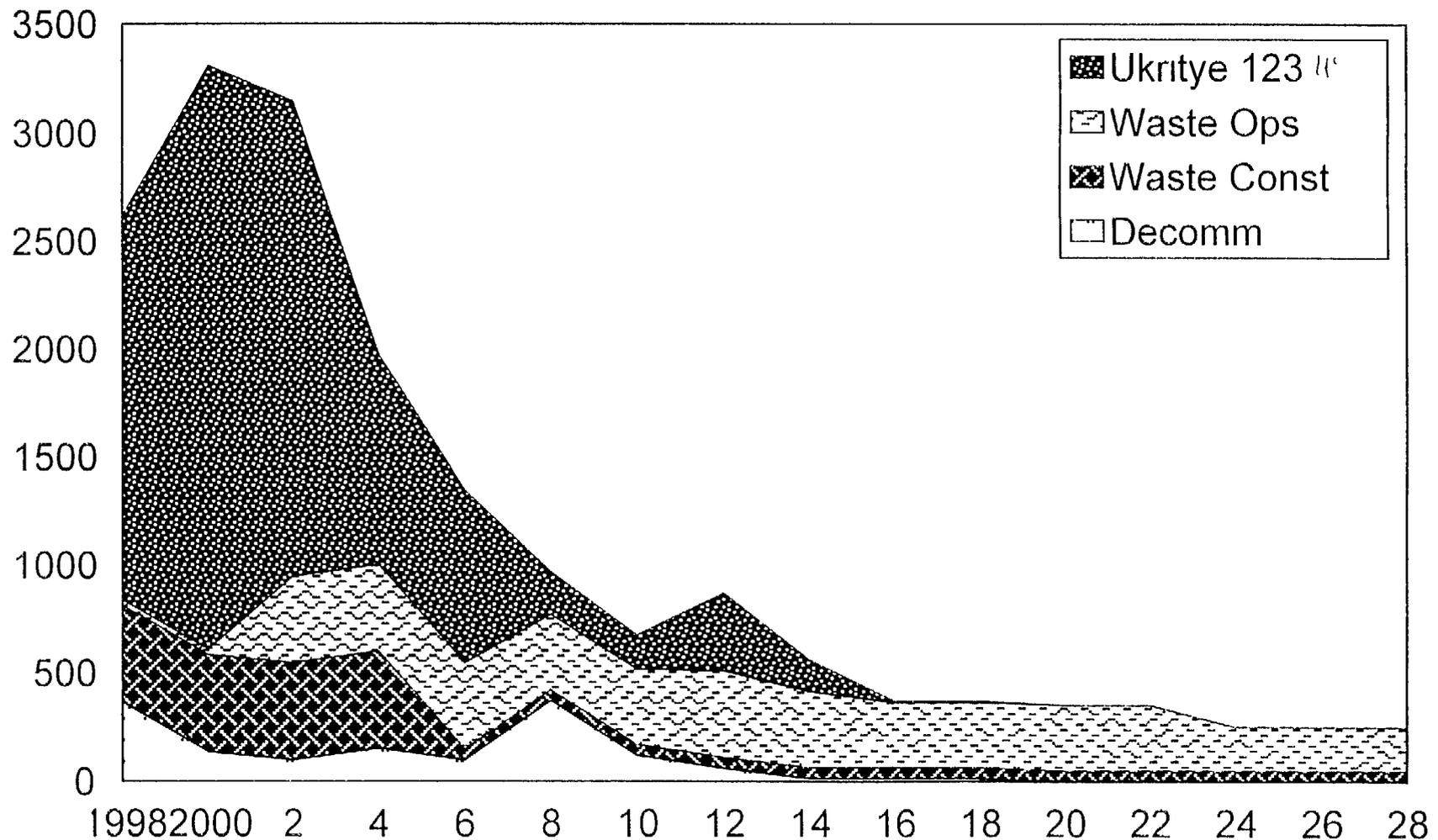
## "G-7 MOU" Projects



Note: These are <sup>EU</sup> estimates. Actual figures will be determined by bidding process.

# EMPLOYMENT PROJECTIONS

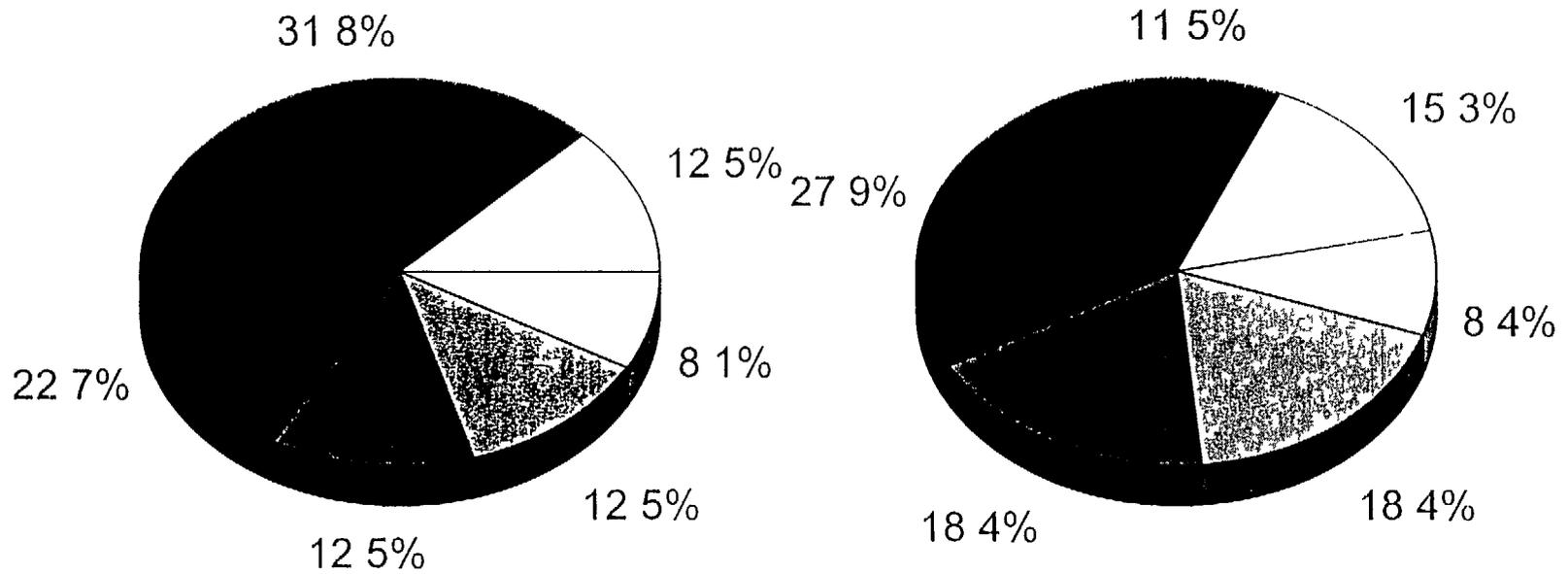
## "G-7 MOU" Projects



Note These are US estimates Actual figures will be determined by bidding process

# Slavutich Workforce

1996 Workplaces compared to 2001 Workplaces

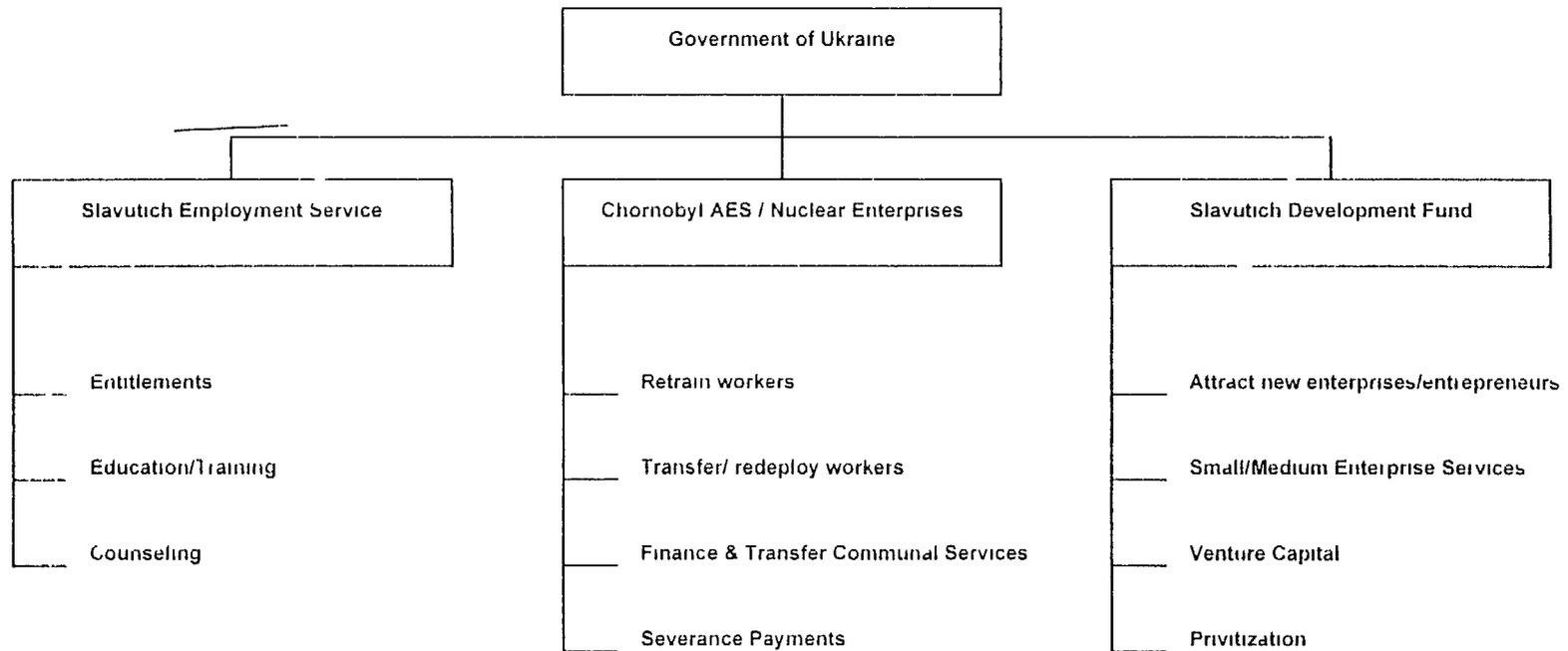


Workplaces

- CNPP Station    ■ Services    ■ Housekeeping/Farming
- Trade            □ Transport/Comm    □ not Slavutich

# Social Development of Slavutich

## Responsibility Structure



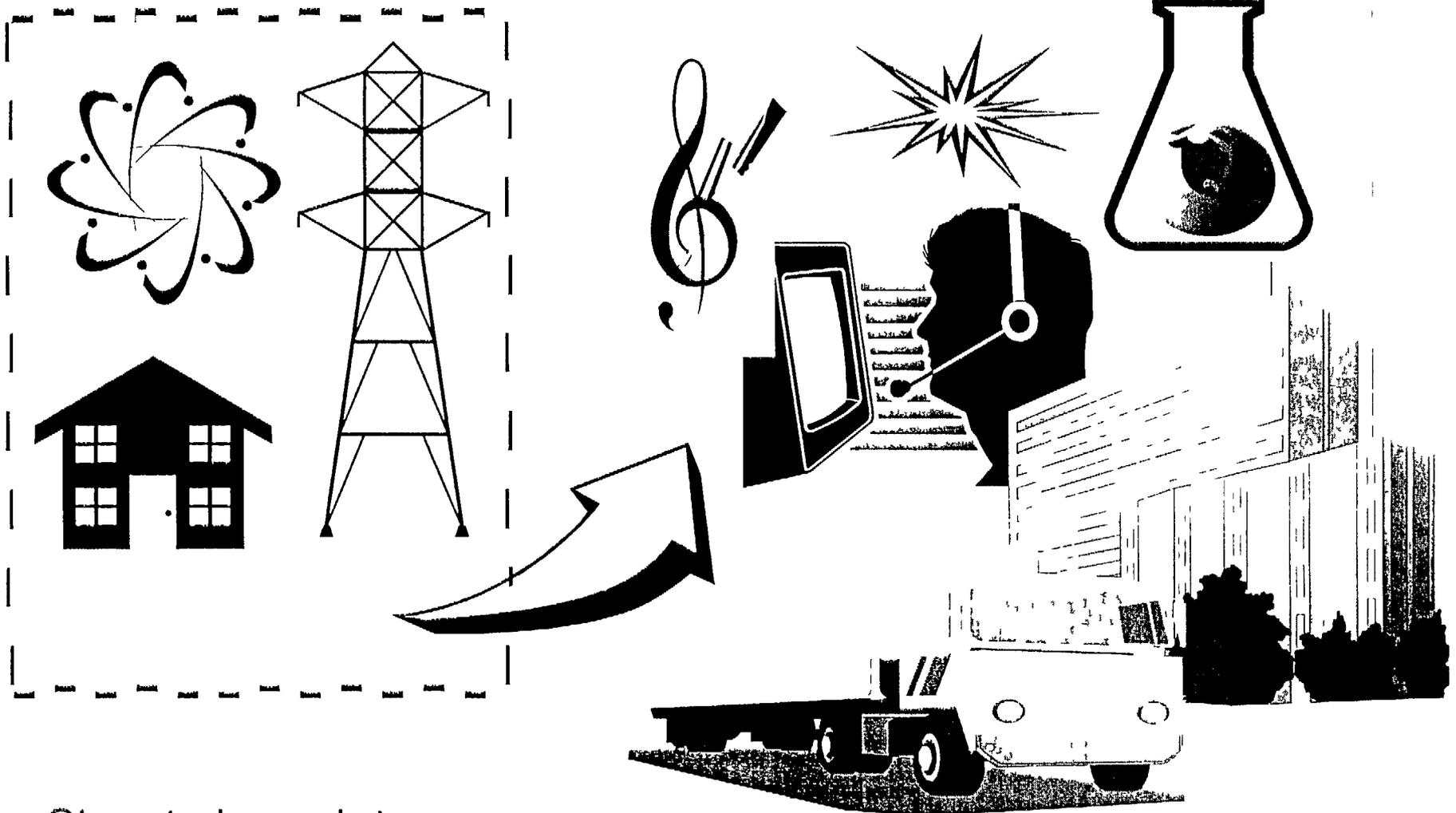
# ACTION PLAN

## Social Impacts of ChNPP and Slavutich

- √ PLAN OF ACTION
  - √ Immediate 1997
    - √ Create infrastructure (Experimental Base /International Research Center , Development Fund)
    - √ Strengthen institutions (SES, ChNPP, NGOs)
    - √ Educate population (Business, Job Training)
    - √ Sustain social standard (culture, kindergartens)
  - √ Near Term 1997-2001
    - √ Privitize assets (real estate, housing, communal)
    - √ Grow Small & Medium business (joint stock, entrepreneurs)
    - √ Promote innovation (IRC, "Zone", Universities)
    - √ Attract investment/ new workers (Kiev, Russia, Europe, Asia, US)
  - √ Future 2001-2010
    - √ Export products and services (radiology, ecology, energy)
    - √ Stimulate local investment (replace imports of food, printing)
    - √ Diversify economy (arts, tourism, consumer products)

# Slavutich Workforce

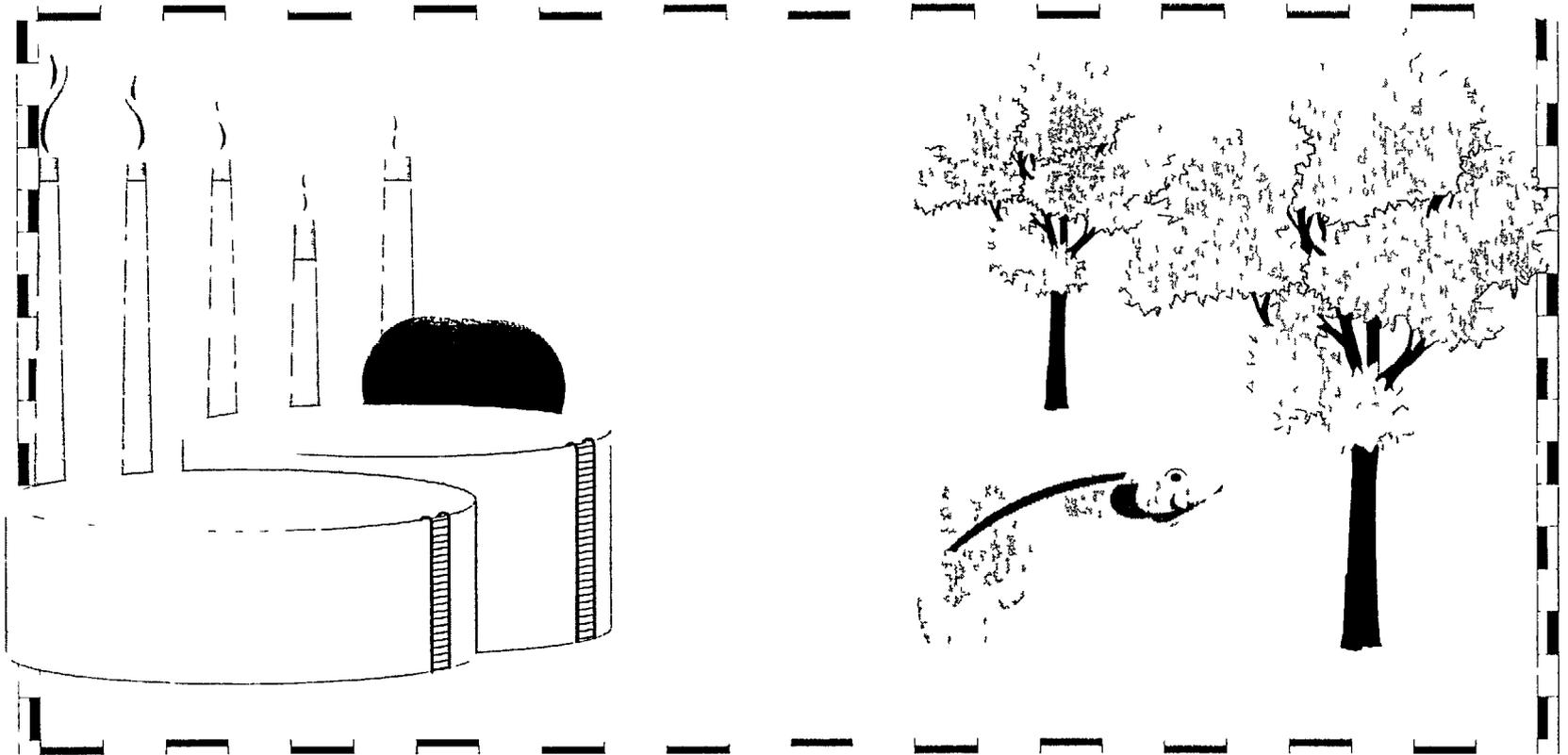
2001 compared to 2015



Slavutich evolution

# CHORNOBYL - YEAR 2015

## An Ecologically Safe Area



Соціальний розвиток  
Чорнобильської АЕС та міста  
Славутича

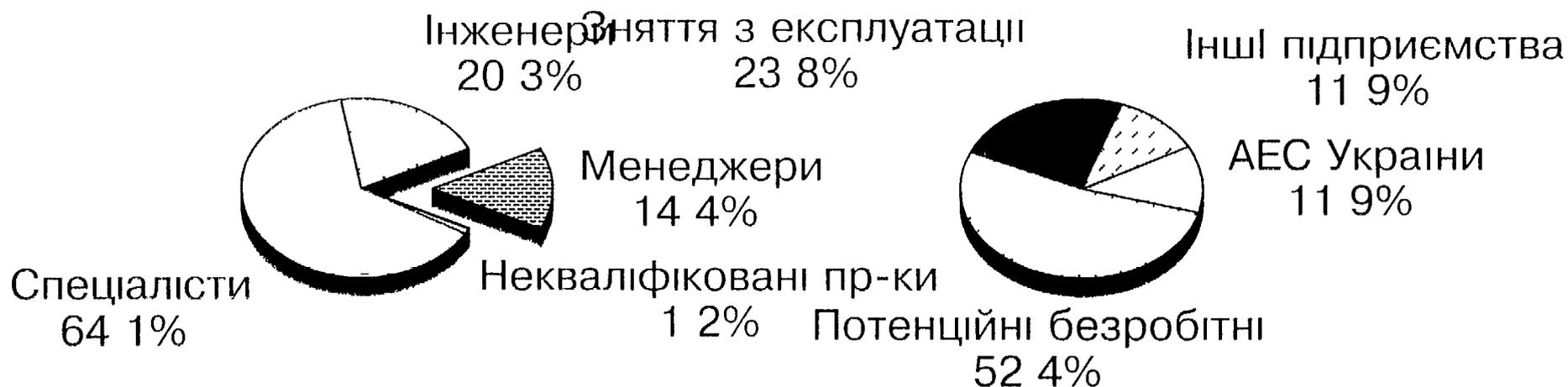
# ПЛАН ЗАХОДІВ

Спільний проект ЄС - Україна - США



# Працівники ЧАЕС

Приблизна оцінка зайнятості працівників виробництва на 2001  
Де будуть працювати менеджери?

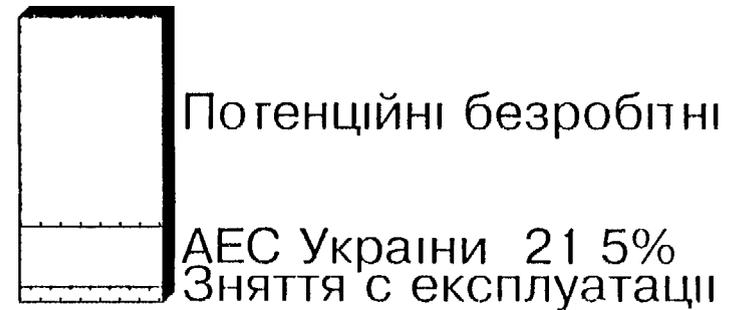
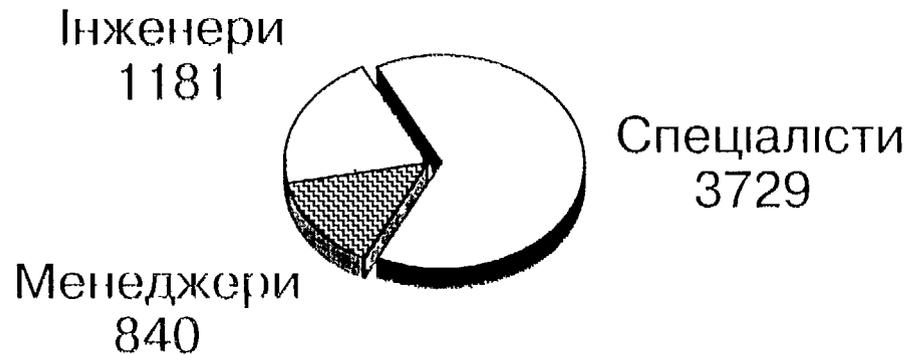


У 2001, зняття з експлуатації зможе зайняти менше 25% менеджерів станції



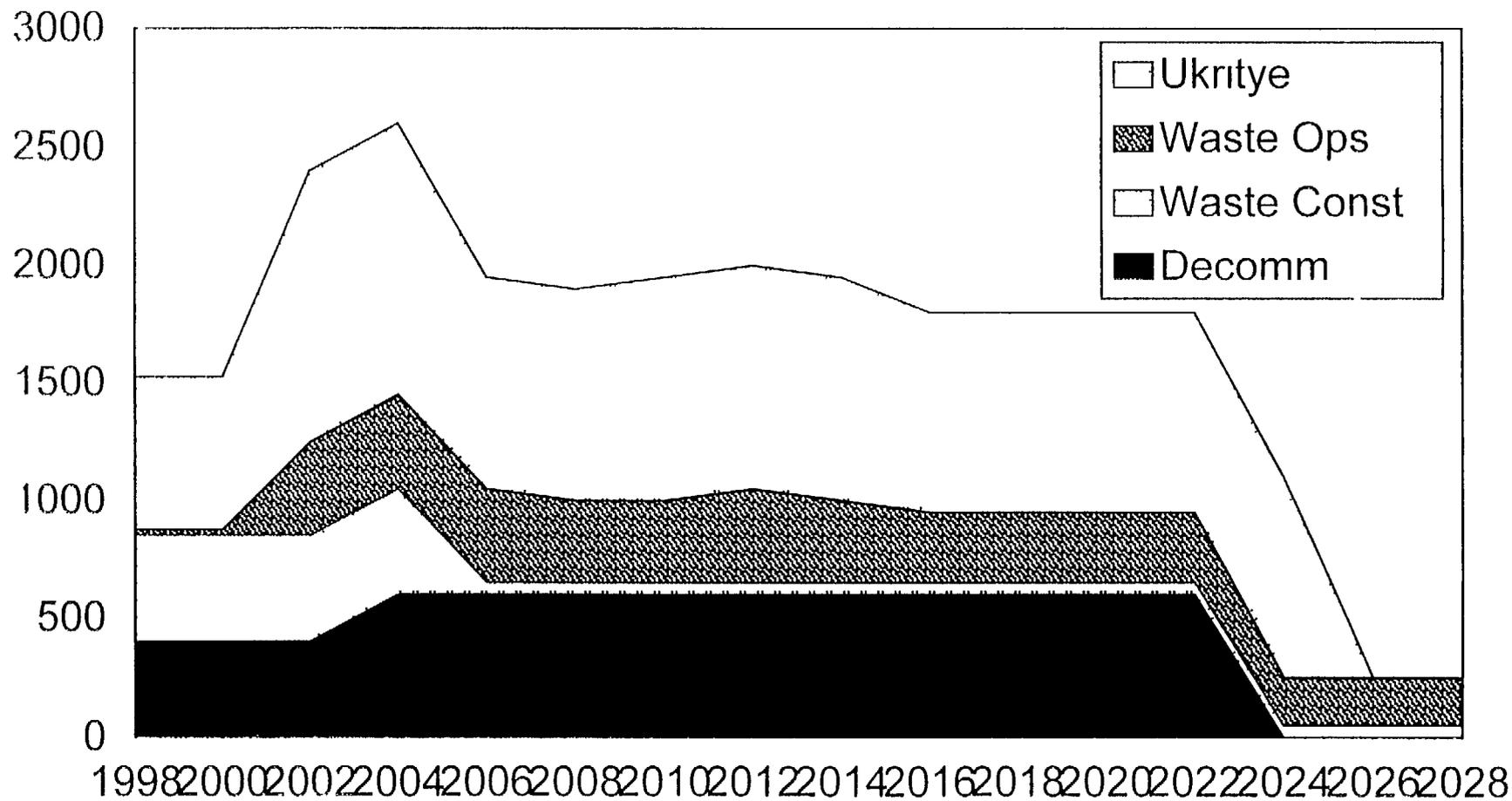
# Працівники ЧАЕС

Приблизна оцінка зайнятості працівників виробництва на 2001  
Де будуть працювати технічні спеціалісти?



# ПРОЕКТИ ЗАЙНЯТОСТІ

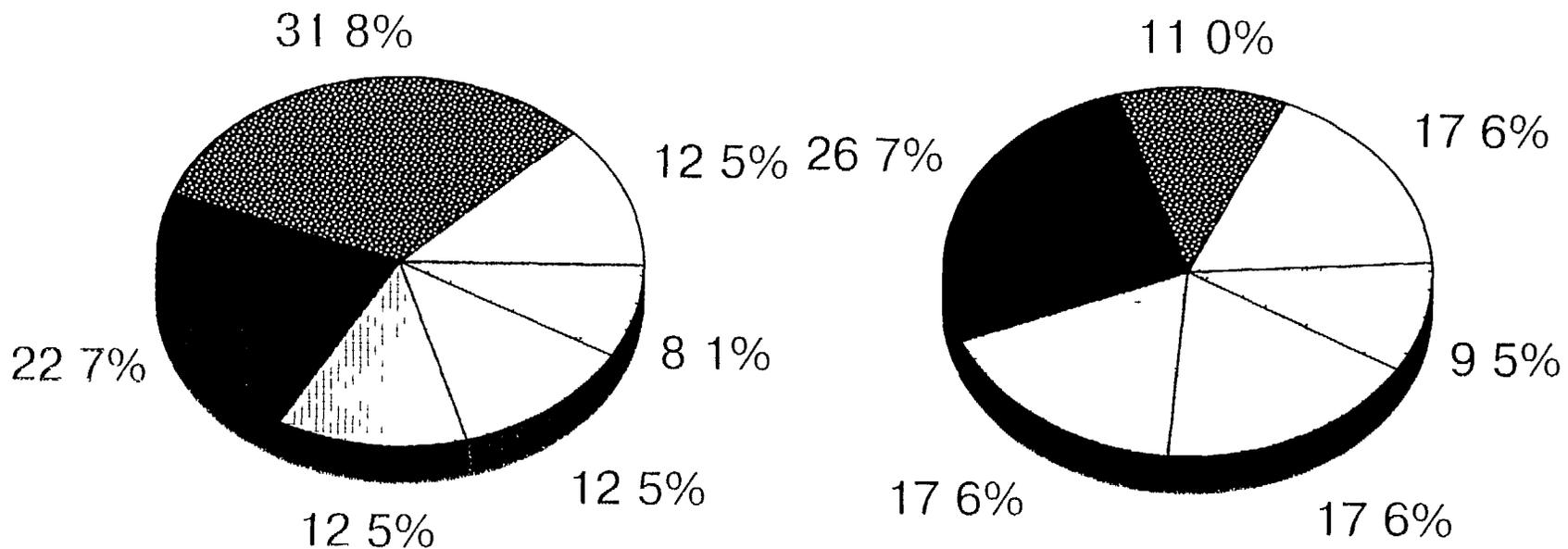
Проекты "G-7 MOU"



Це приблизна оцінка. Реальні цифри буде визначено в процесі розгляду пропозицій.

# Працівники Славутича

Робочі місця 1996 у порівнянні з 2001

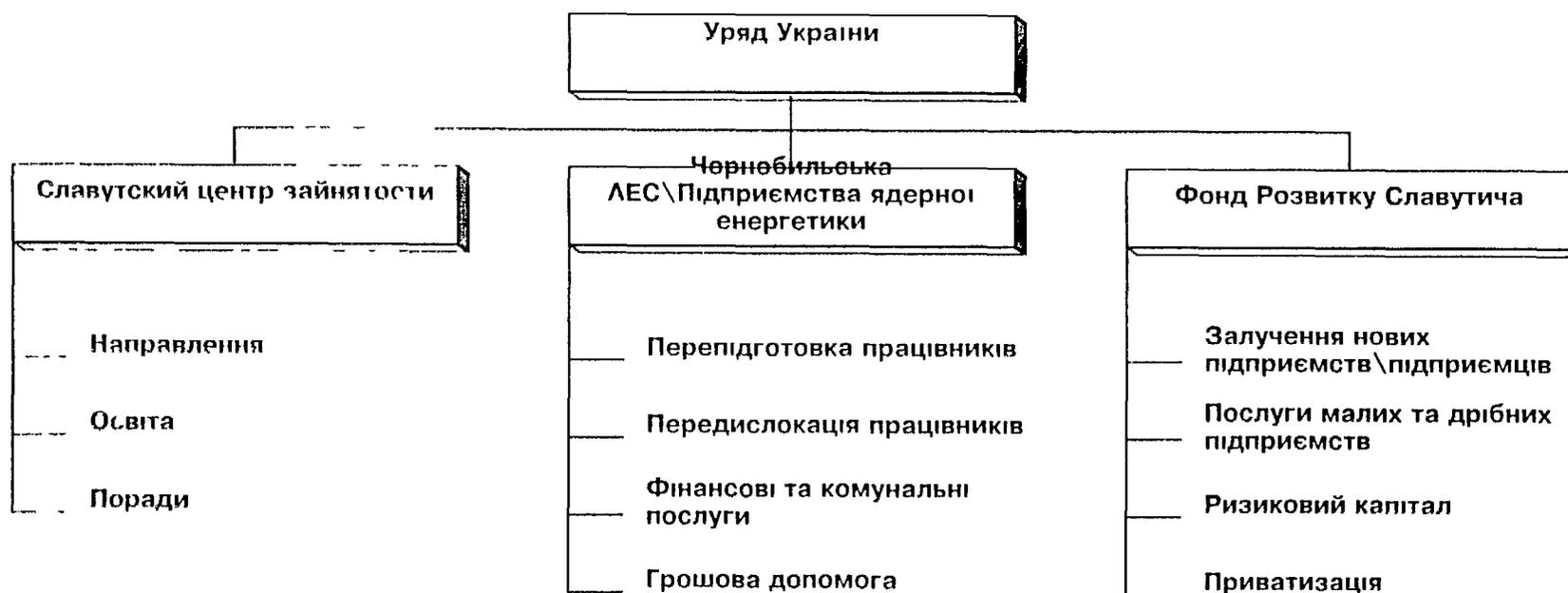


Робочі місця

- ЧАЕС
- Комунальні послуги
- Дом господарство, с\г
- Торгівля
- Транспорт\зв'язок
- Поза Славутичем

# Соціально́ний розвиток Славутича

## Структура відповідальності



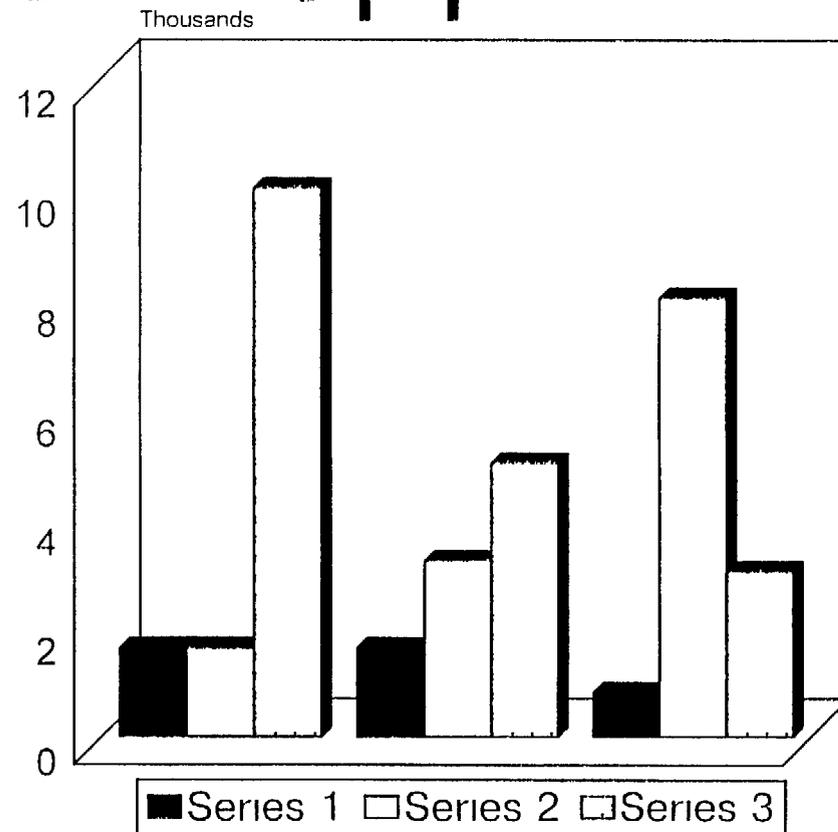
# ПЛАН ЗАХОДІВ

## Соціальний вплив ЧАЕС та Славутича

- ✓ План заходів
- ✓ Сучасність 1997
  - ✓ Створити інфраструктуру (Експериментальна база \ Міжнародний Дослідницький Центр
  - ✓ Впливові організації (SES, CNPP, NGOs)
  - ✓ Освіта населення (Бізнес, Підготовка кадрів)
  - ✓ Підтримка Соціальних стандартів (культура, дитячі садки)
- ✓ Найблищим часом 1997-2001
  - ✓ Приватизація майна ( земля, житло, комунальні послуги)
  - ✓ Підтримка малого та середнього бізнесу (акціонерні товариства, підприємці)
  - ✓ Сприяти нововведенням (МДЦ, "Зона", Університети)
  - ✓ Приваблювати інвестиції \ нових працівників (Київ, Росія, Європа, Азія, США)
- ✓ Майбутнє 2001-2010
  - ✓ Експорт товарів та послуг (радіологія, екологія, енергетика)
  - ✓ Стимулювати інвестиції на місцях (замінити імпорт продовольчих товарів, видавництво)
  - ✓ Різні напрямки економіки (мистецтво, туризм, товари споживання)

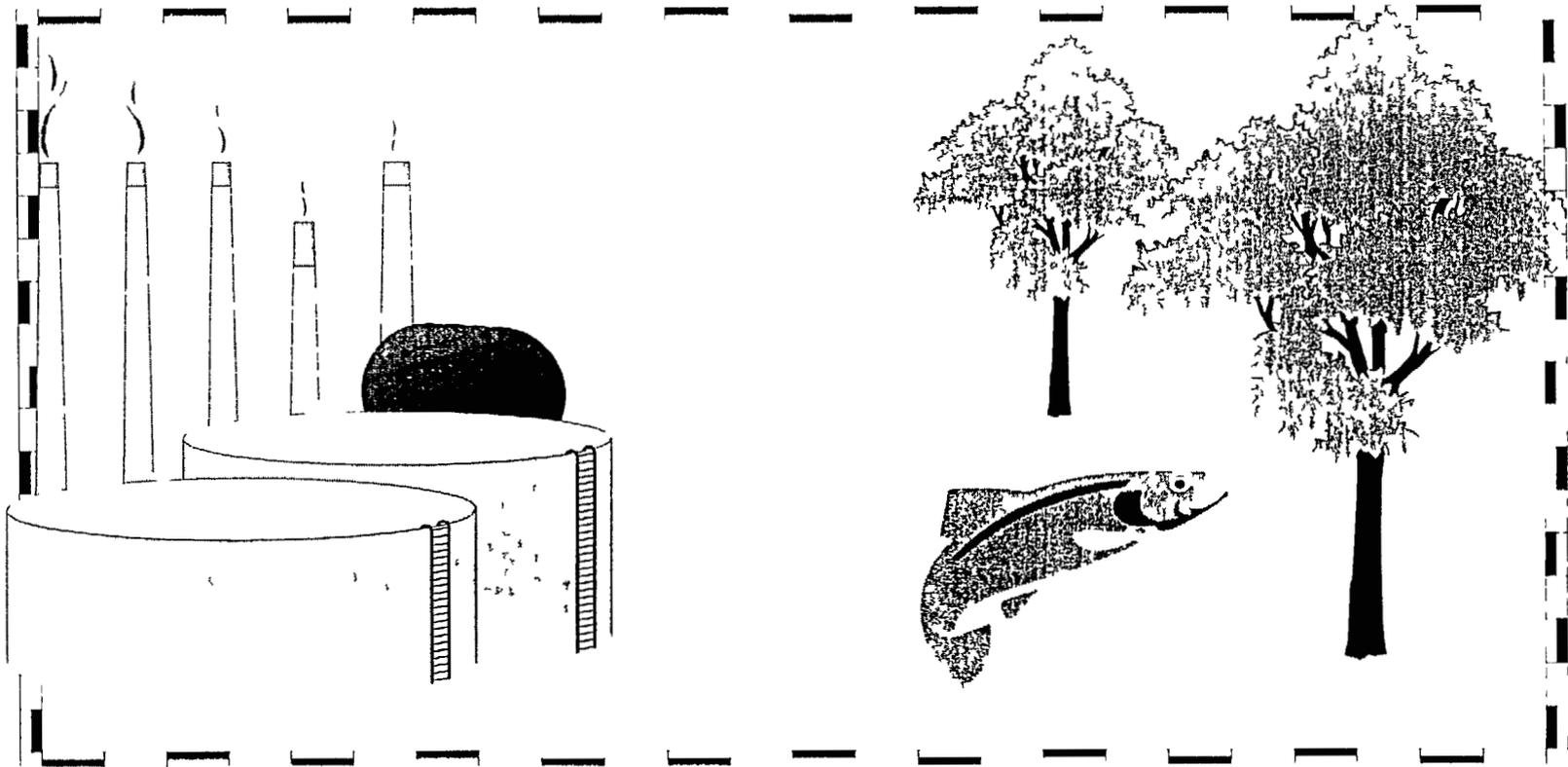
# ЗАЙНЯТІСТЬ НА ОСНОВІ ПЛАНУ ЗАХОДІВ

- 1996 -1999
  - Створити інфраструктуру
  - Посилити інститути
  - Освіта населення
  - Підтримка соціальних стандартів
- 1998-2001
  - Приватизувати майно
  - Збільшувати регіональні підприємства
  - Сприяти нововведенням
  - Приваблювати інвестиції \ нових жителів
- 2002-2010
  - Експорт місцевих продуктів
  - Стимулювати місцеві інвестиції
  - Різні напрямки економіки



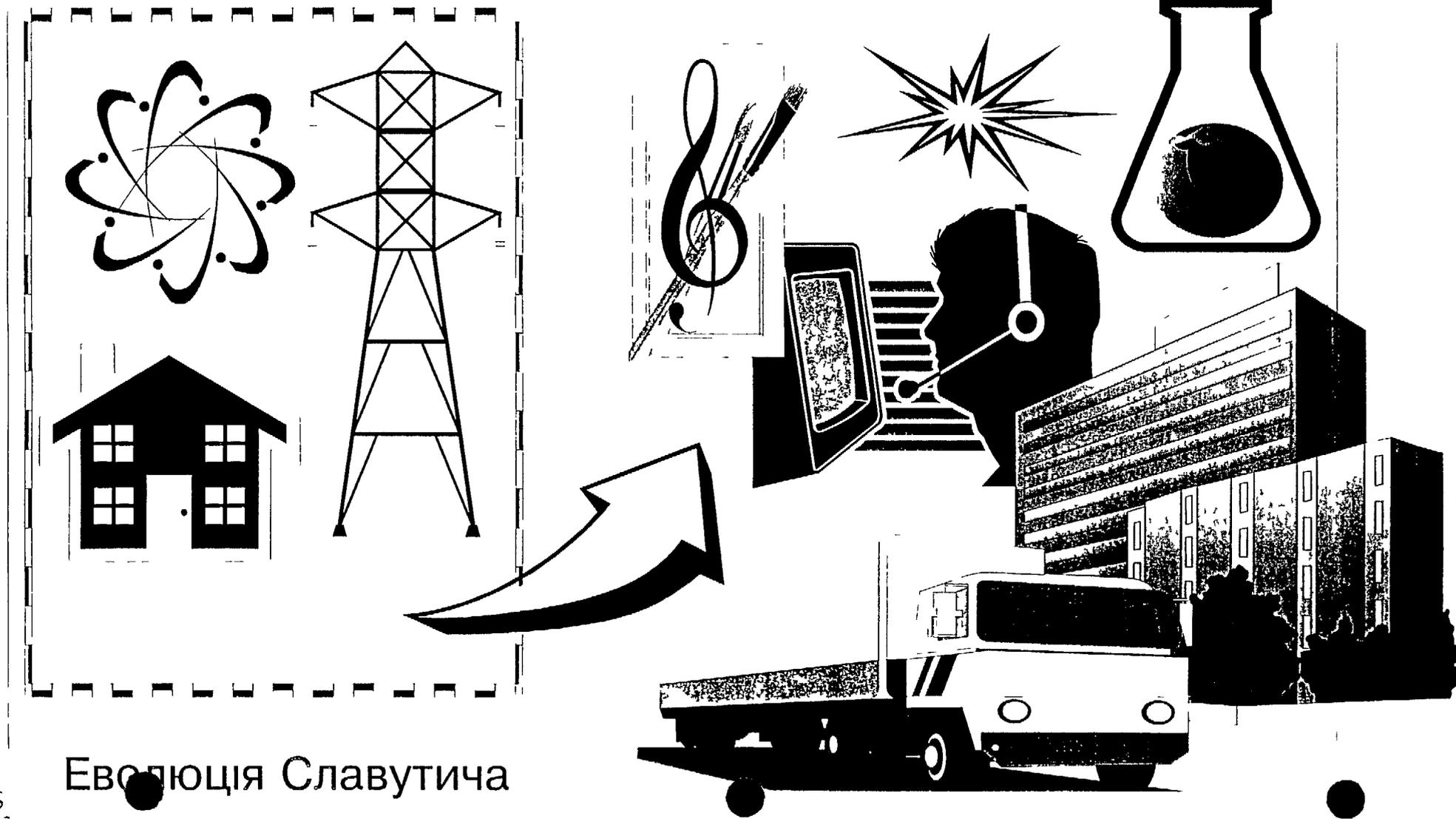
# Чорнобиль - 2015

## Екологічно безпечний район



# Працівники Славутича

2001 у порівнянні з 2015



Еволюція Славутича

DRAFT  
Summary of Meeting

Joint Coordinating Committee for

Joint Project to Address the Social Issues related to Closing CNPP by 2000

The meeting was held on Thursday, September 25, at 2 00 PM at Chernobyl NPP Information Center in Kiev. The meeting was called at the encouragement of the US and EU members to provide the Joint Working Group some feedback and direction on the Interim Action Plan which was presented in June and officially transmitted to the JCC on July 27, 1996.

Members in attendance

Parashin, S I	Director General of Chernobyl Nuclear Power Plant
Udovichenko, V P	Head of the Slavutich City Council of People's Deputies (Mayor)
Vegera, Svetlana	Deputy Minister of Social Protection
Humphreys, Michael	Deputy Director, EU TACIS Ukraine Mission
Sprague, David	Deputy Director, US AID Ukraine Mission

Absent

Demidyuk, Boris	Deputy Minister of Goscomatom and Chairman of JCC
Primachenko, M	Deputy of Kiev Regional (Oblast) Administration

Also in attendance

Gavrilin, V V	Deputy Director of CNPP, Chairman of Joint Working Group
Prokopenko, I	Director, Goscomatom Department of Staffing & Social Issues (JWG) Representative, Ministry of Labor, Department of Social
Bogota, Viktor	Kiev Oblast Regional Administration, Employment Services (JWG)
Slavis, Alexander	Information Officer, CNPP Information Center
Steinberg, Nicolai	Joint Project expert, consultant to EUTACIS
Swanson, Lea	Environment Director, USAID/Kiev
Short, Roger	Joint Project Coordinator, consultant to EU TACIS
Harris, Mary	Joint Project expert, consultant to USAID
Sansier, Frederick	EU TACIS Employment Services Project/ Slavutich

The meeting was started by Mr Gavrilin, Chairman of the JWG. He summarized the progress of the JWG including the transmission of the Interim Action Plan to the Joint Coordinating Committee in late July. He said he participated in study tours to the US and Europe and was

ready to report his findings. He also noted that the timetable for completion of the Group's work is currently October 31, 1996, and the JWG needed support or direction from the JCC. He asked that the JCC work out a joint resolution on the matters presented by the Joint Working Group. He introduced Roger Short to discuss the needs of the Project at this time.

Short stressed the need for feedback from both the JCC and also the G-7 on the directions discussed in the Interim Action Plan. Work on a final Action Plan has not continued until the JWG is sure they are going in the right direction. Without feedback, there can be not be full speed on the Action Plan.

Mayor Udovichenko addressed these issues first. He reminded the Committee that the Government has only been in office 100 days. Prime Minister Lazarenko has only spoken of energetics not of social concerns regarding CNPP. He noted that it is worth holding in mind that the Government has not made up its mind about CNPP and whether closing unit #1 will hurt the country this winter. He reported that Mr. Durdinyets will travel to CNPP and Slavutich at the end of October or early November to assess the situation and make a report to the Prime Minister. Although this is important, it should not affect the JCC's work today. The focus should be on the loss of 2,000 jobs when unit #1 closes.

Udovichenko stressed that one of the proposals to address this issue should be a "concrete program of jobs for CNPP workers and Slavutich residents." A proposal to request a "special fund for decommissioning to handle both technical and social aspects is needed." This should be financed in cooperation with the Government of Ukraine by "grants" and "credits available on special terms" from the West. Then a program of actions connected to the timetable of CNPP closing can be prepared to solve each group of problems. He noted that comments on the IAP from the US' Mrs. Kessler, the Rada and the International Agency for Financial Assistance (check) is a basis for these programs.

Gavrilin added that the Government of Ukraine should also consider the proposal of the IAP to create "an experimental zone." Regardless of the term (10 or 15 years), the main issue is whether Government will provide favorable terms for private investment.

Parashin commented that the IAP did not address the appropriate role of the West in solving the social problems. After reading the documents, he did not get an idea of where such responsibility lies. He noted that if it is a totally Ukrainian responsibility then a Joint Project is not necessary. The crisis in Ukraine is such that determining the qualifications of 2000 workers for jobs that do not exist may be useless. He asked for a clarification from the West.

Humphreys responded that the plan under discussion was a result of the request from the Government of Ukraine to deal with social aspects during the negotiation with the G-7 on the MOU to close CNPP by 2000. It was agreed that the West would work with Ukraine to define the social impact and identify what actions are required. The plan will define the investments that are needed and is not a commitment of funds. The plan will provide the detail and justification.

for what should be done next. The financing will come from the Ukraine and from some G-7 countries but there are no firm commitments. What is needed is agreement on the Interim Action Plan so we can go to a Final Action Plan. Some support from Government of Ukraine is needed before the G-7 nuclear safety working group meeting in October. Roger Short will make a report on the need for support at that meeting. He is convinced but he needs to convince others.

Parashin said he would like to introduce a proposal for the IAP to include a Fund for the City of Slavutich. The fund should specify the volumes of financing, the mechanisms of management and each country's contribution. It would cover training as well as other actions.

Sprague reinforced Mr. Humphreys' comments. He noted that the JWG had done a good job in preparing the IAP but that a lot of work needs to be done to focus and elaborate final actions. He stressed that a unified position from the Government of Ukraine ministries, not only the local government, is needed at this point on which options they want to pursue. The G-7 will be looking for a unified opinion as to what to do. He commented on the US role in this Project. The US commitment is to assist Ukraine with the preparation of this Action Plan and the US will continue this commitment.

Short noted, on behalf of the EU, that TACIS is starting some new interventions in Slavutich based on the local priorities. One is to fund a Business Development Agency in Slavutich which was a recommendation of the IAP. This shows there is follow-up already to the plan. He noted that his role is that of a broker between Ukraine and the West, but there is a need to know that Ukraine is committed at the national level to solving these problems as well.

Mrs. Vegara entered the discussion. She observed that 2,000 persons jobless in one location is a very serious problem. She understood that the work of this Project is to prepare detailed characterization of the nature and scale of actions needed to deal with this problem and to give concrete answers to what this will cost. She noted that Ukraine does not have money for new plans nor for old ones. But, the JCC must adopt a serious attitude to work out precise measures of what to do, how to do it, who is responsible and what are the costs. She noted that the problem must be examined from all angles -not only the City of Slavutich because people can be transferred. The social, financial and political aspects of actions must be addressed. (She also noted that in dealing with many of these problems in Ukraine with the West, there is too much talk and too little action.) She urged the JCC to seek permission of the Cabinet of Ministers to act.

Mr. Prokopenko spoke on behalf of Goscomatom. He noted that his agency maintains the nuclear plants on a day to day basis. Closing one reactor will have a hard effect on Ukraine economy this winter. He did not see that 2000 jobless workers will have any prospects in Slavutich or the region. Before steps are taken to close the reactor, he felt that the staff must be convinced that they will have other jobs. He said most staff would be interested in a Fund that has precise figures and support. This would remove the uncertainty in their lives.

Gavrulin asked the Committee to consider one item in the IAP of principle importance and that is the future of the City of Slavutich. The IAP mentions three variants: 1) People are relocated and Slavutich dies, 2) the city gradually winds down due to lack of employment and financing, or, 3) Slavutich restructures and diversifies its employment base and continues to grow. The IAP recommendations dealt with this third variant. However, there is uncertainty among the G-7 that this is the most suitable path for Ukraine because there is no official position of the national government on this matter. He asked Mrs. Vegara of the Ministry of Social Protection to express her view.

Vegara responded that there was support. She added that everything that deals with people's lives is important. Parashin added that Slavutich must survive and that the national government response is a weak point right now.

Udovichenko offered a proposal to the Committee as its vice chairman. He recommended that the JCC adopt the IAP that has been presented by the JWG noting the comments provided by various parties. The action of the JCC and the plan will be officially transmitted to Mr. Durdinyets within one week.

Humphreys asked for a clarification of his proposal and whether the JCC will specify which variant they support. He noted that there are really only two variants: 1) the continued existence of Slavutich or 2) the reduction after closure. Economic realities and possibilities will affect the city's growth if option 1 is selected. If option 2, the plan must deal with the dispersal of Slavutich residents throughout Ukraine. This is not addressed in the IAP.

Udovichenko endorsed the direction dealt with in the IAP for continued existence and diversification of Slavutich. There was no disagreement.

Ms Swanson of USAID asked whether this action might receive a response before the G-7 meeting in Paris in October. Udovichenko responded that the letter would be prepared to ask for a response only if there are problems at the national level with the directions of the JCC, but he could not predict.

At this point, Mr. Steinberg, an expert consultant for the Project, asked to address the JCC. He felt that the action proposed by Mr. Udovichenko was unrealistic in light of the comments received from Mrs. Carol Kessler of the US. In his opinion, Mrs. Kessler requires detailed estimates which are not possible to make in this time frame. He stated that this was an obstacle to proceeding as proposed.

Mr. Udovichenko warned against accepting Mrs. Kessler's proposals. He felt that concrete actions are needed on the Ukraine side to get the attitude of national government. The submission of the IAP to Durdinyets will provide an introduction to the problem and the philosophy for solving it. Concrete examinations will take place once the JCC gets a reaction from government level.

Sprague pointed out that Mrs Kessler's comments were not an obstacle for the JCC to give its opinion to government level. These comments are meant to help create a final plan. The first item of importance is to get a reaction from GOU on our direction.

Mr Boguta of Kiev Oblast urged the JCC to proceed with getting a position of government so that the JWG can proceed to concrete calculations.

Udovichenko proposed to prepare a letter to the Vice Prime Minister Durdinyets from the JCC for all members to review and sign by Monday, September 30th. The members agreed and the meeting adjourned.

*(Summary prepared by Mary Harris on September 26, 1996)*

## ЗВІТ ПРО ЗБОРИ

Об'єднаного координаційного комітету  
по спільному проекту щодо соціальних проблем, пов'язаних  
з закриттям Чорнобильської атомної електростанції до 2000 року

Збори відбулися у четвер, 25 вересня 1996 року о 14 годині у  
Чорнобильському інформаційному центрі. Збори були скликані за  
ініціативою представників США та ЄС, які побажали ознайомити членів  
Об'єднаної робочої групи зі своїми поглядами та рекомендаціями щодо  
Тимчасового Плану Заходів, який був презентований у червні та офіційно  
переданий до ОКК 27 липня 1996 року

Були присутні члени Комітету

С І Парашин	Генеральний директор ЧАЕС
В П Удовиченко	Голова Ради Народних Депутатів м Славутич (мер)
Світлана Вегера	Заступник міністра соціального захисту населення
Майкл Хемфріс	Заступник директора Європейської місії з програми TACIS в Україні
Девід Спраг	Заступник директора української місії USAID

Відсутні

Борис Демидюк	Заступник голови Держкоматому та голова ОКК
М Примащенко	Представник Київської обласної адміністрації

Також були присутні

В В Гаврилін	Заступник директора ЧАЕС, голова ОРГ
І Прокопенко	
Віктор Богота	Київська обласна адміністрація, служба зайнятості (ОРГ)
Александр Славів	Представник Інформаційного центру ЧАЕС
М Штейнберг	Експерт з питань спільного проекту, консультант EUTACIS
Лі Свонсон	Голова відділу охорони навколишнього середовища, USAID, Київ
Роджер Шорт	Координатор спільного проекту, консультант EUTACIS
Мері Харріс	Експерт з питань спільного проекту, консультант EUTACIS
Фредерік Сансьє	EU TACIS, Проект працевлаштування мешканців міста Славутич

Збори відкрив голова ОРГ В Гаврилін. Він підбив підсумки діяльності ОРГ,  
частиною якої була передача Об'єднаному Координаційному Комітетові  
Тимчасового плану заходів наприкінці липня. Він сказав, що брав участь в  
ознайомчому турі по США та Європі і готовий повідомити про свої  
знахідки. Він також згадав, що строк завершення роботи Групи зараз  
планується на 31 жовтня 1996, і ОРГ потребує вказівок з боку Об'єднаної

робочої групи Він запропонував ОРГ розробити спільну резолюцію по питаннях, які висунула робоча група Він також відрекомендував Роджера Сміта, який хотів би обговорити поточні проблеми Проекту

Шорт наголосив необхідність у зворотному зв'язку як від ОКК, так і від Великої сімки по директивах, які увійшли до Тимчасового плану заходів Робота над остаточним варіантом Плану заходів не продовжувалась, оскільки ОРГ не була впевнена в тому, що рухається у вірному напрямку Без зворотного зв'язку не може бути повноцінної роботи над Планом заходів

Першим відгукнувся на ці питання мер Удовиченко Він нагадав Комітетові, що Уряд працює тільки 100 днів Прем'єр-міністр Лазаренко у своїх промовах торкався енергетики, але не у зв'язку з соціальними проблемами, пов'язаними з ЧАЕС Варто пам'ятати, зауважив він, що уряд ще не визначився з питань ЧАЕС, та чи не призведе закриття першого блоку до негативних наслідків цієї зимою Він повідомив, що Дурдинець відвідає ЧАЕС та Славутич наприкінці жовтня чи на початку листопада для оцінки становища, про що потім доповість Прем'єр-міністрові Не зважаючи на важливість цієї події, вона не може впливати на поточну роботу ОКК Увагу треба зосередити на втраті 2000 робочих місць внаслідок закриття блоку No 1

Удовиченко підкреслив, що серед заходів по вирішенню цієї проблеми могла би бути "цільова програма створення робочих місць для чобітників ЧАЕС та мешканців Славутича" Необхідно вимагати створення "спеціального фонду припинення експлуатації, який був би спрямований на вирішення технічних та соціальних аспектів цього процесу" Цей фонд повинен фінансуватись у співробітництві з Урядом України за допомогою "грантів" та "кредитів, наданих на особливих умовах" від Заходу Потім може бути підготовлено програму дій, пов'язаних з розкладом закриття ЧАЕС і спрямованих на вирішення кожної групи проблем Він додав, що основою такої програми можуть бути коментарі ТПЗ з боку місис Кесслер з США, Ради та Міжнародного Агентства з Фінансової Допомоги

Гаврилін додав, що Уряд України повинен також розглянути пропозицію ТПЗ по створенню "експериментальної зони" Незалежно від строків (10 чи 15 років), головним питанням є чи зробить Уряд пільгові умови для приватних інвестицій

Парашин сказав, що в ТПЗ не надано відповідної ролі Заходу у вирішенні соціальних проблем Після ознайомлення з документом він не зміг збагнути, хто несе за це відповідальність Якщо це цілком обов'язок України, тоді не треба ніяких Спільних Проектів Україна зараз переживає таку кризу, що немає раці у визначенні кваліфікації 2000 робочих для роботи, якої нема Він зажадав пояснень з боку Заходу

Хемфріс відповів, що план, який обговорюється, є результатом прохання Уряду України вирішити соціальні аспекти під час переговорів з Великою сімкою по Меморандуму про взаєморозуміння з питань закриття ЧАЕС до 2000 року Тоді було узгоджено, що Захід буде працювати разом з Україною

по визначенню соціальних наслідків та дій, яких вони потребують Цей план повинен визначити потреби в інвестиціях, і не є гарантією створення фонду Здійснення плану забезпечить нас напрямками для наступних кроків та їх обґрунтуванням Фінасуватись вони будуть Україною та деякими странами Великої сімки, але з цього приводу не було ніяких суворих зобов'язань Найважливіше зараз - це погодження з Тимчасовим Планом Заходів, так щоб ми мали змогу працювати над Остаточним Планом Певна підтримка з боку Українського Уряду необхідна перед зустріччю Робочої групи по ядерній безпеці Великої Сімки, яка відбудеться в жовтні Про необхідні підготовчі заходи до цієї зустрічі доповість Роджер Шорт Він упевнений у цьому, але він має переконати інших

Парашин сказав, що хотів би ввести до Плану пропозицію створення Фонду міста Славутич Цей фонд визначав би обсяги фінансування, механізми управління та вклад кожної країни Фонд повинен також займатись підготовкою спеціалістів та іншими справами

Спраг підтримав коментар Хемфріса Він зауважив, що ОРГ зробила важливу роботу , підготувавши ТПЗ але ще більше роботи залишається для розробки плану остаточних дій, а також наголосив, що зараз дуже потрібна спільна позиція щодо засобів вирішення проблеми з боку міністерств, а не тільки з боку місцевої влади Велику сімку буде цікавити єдина думка з приводу наступних кроків Зупинившись на ролі США у Проекті, він сказав, що США бажають допомогти Україні у підготовці цього Плану Заходів і будуть твердо виконувати свої зобов'язання

Шорт додав від імені Європейського Союзу, що у рамках TACIS почався новий етап діяльності у Славутичі, яка сфокусована на місцевих проблемах Одна з задач - це заснування у Славутичі Агенції сприяння розвитку бізнесу, що вона є однією з рекомендацій ТПЗ Це свідчить про те, що план вже починає виконуватись Він зауважив, що його роль в цій справі - це роль брокера між Україною та Заходом, але він має знати, що Україна також тверда в бажанні вирішувати ці проблеми на національному рівні

До дискусії вступила С Вегера Вона зауважила, що 2000 безробітних в одному місці це дуже серйозна проблема Вона розуміє, що завданням Проекту є детальна оцінка природи та масштабів заходів, яких потребує вирішення цих проблем, та відповідь на питання, скільки це коштуватиме Вона також сказала, що у України немає грошей ні на нові плани, ні на старі Але ОКК має серйозно поставитись до розробки конкретних заходів, конкретних засобів і вартості їх здійснення та визначення відповідальних Проблему треба вивчати з усіх точок зору, не тільки з боку міста Славутич, тому що люди можуть переселятись в інші місця Треба розглядати соціальні, фінансові та політичні аспекти усіх заходів (Вона також додала, що у вирішенні усіх цих проблем Україною за допомогою Зоходу дуже багато слів і дуже мало справ ) Вона наполягає, щоб ОКК запросив у Кабінету Міністрів дозволу дяти

Прокопенко виступив від імені Держкоматому Він сказав, що його відомство слідує за роботою атомних станцій на щоденній основі Зупинка одного реактору буде мати тяжкі наслідки для української економіки цієї

зимою Він не бачить ніяких перспектив для 2000 безробітних як у Славутичі, так і в цілому регіоні. Перед пропиненням експлуатації реактору його персонал має бути впевнений, що у нього буде інша робота. Більшість персоналу була б зацікавлена у Фонді, який має конкретні цифри і джерела фінансування. Це позбавить їхнє життя невизначеності.

Гаврилин запропонував Комітету розглянути один з пунктів Плану, який має неабияке значення, а саме питання про майбутнє міста Славутич. У ТПЗ згадано три варіанти: 1) люди відселяються і Славутич вмирає, 2) місто поступово деградує через відсутність роботи та фінансування, чи 3) Славутич перебудовується і поширює номенклатуру своєї бази робочих місць, і таким чином подовжує зростати. Рекомендації ТПЗ зосереджені на третьому варіанті. Проте, немає визначеності серед країн Великої сімки в тому, що це є найкращий для України варіант, тому що з цього приводу немає чіткої офіційної позиції Уряду. Він запросив висловитись по цьому питанню С Вегеру з Міністерства соціального захисту населення.

Вегера відповіла, що підтримка була, і зауважила, що все, що стосується людського життя є важливим. Парашин додав, що Славутич має вижити, і слабким місцем в цьому питанні є позиція Уряду.

Удовиченко, на правах віце-голови, запропонував Комітетові прийняти ТПЗ, висунутий ОРГ, разом з зауваженнями усіх сторін. Доповідь про діяльність ОКК разом з планом буде офіційно передано Дурдинцю впродовж тижня.

Хемфріз зажадав пояснень цієї пропозиції, та чи вкаже ОКК, який варіант він підтримує. На його думку, є тільки два варіанти: 1) Продовження існування Славутича чи 2) його зменшення після закриття станції. При виборі першого варіанту, на зростання міста будуть впливати економічні реалії та можливості. В разі дій за другим варіантом план має зважати на розселення мешканців Славутича по усій території України. Але це не відбито в Плані.

Удовиченко підтвердив напрямок розвитку, зафіксований у Плані, який пов'язаний з подальшим розвитком і диверсифікацією міста Славутич. Тут не було незгоди.

Лі Свонсон із USAID спитала, чи могли б ці дії одержати відгук до зустрічі Великої сімки у Парижі в жовтні. Удовиченко відповів, що лист з проханням про відгук звичайно готується тільки в разі виникнення проблем з директивами ОКК на державному рівні, але зараз він не може прогнозувати.

У цей момент попросив слова Штейнберг, спеціаліст та консультант з питань Проекту. Він вважає, що пропозиція Удовиченка нереалістична у світі коментарю, одержаного від Керол Кесслер з США. На його думку, місє Кесслер вимагає докладних оцінок, які неможливо зробити у цей відрізок часу. Він заявив, що це є перешкодою для дій за запропонованим планом.

Удовиченко попередив проти прийняття пропозицій Кесслер. Він вважає, що від української сторони зараз вимагаються конкретні дії для того, щоб

сформувані ставляння до цієї проблеми уряду Подання ТПЗ Дурдинцю дасть змогу познайомитись з проблемою та забезпечить матеріал для її вирішення Конкретну перевірку можна буде провести після того, як ОКК отримає відповідь на рівні уряду

Спраг вказав, що коментар Кесслер не є перешкодою для того, щоб ОКК повідомив про свою думку уряд держави Цей коментар був спрямований на те, щоб допомогти створити остаточний план Поперше, ми повинні здобути реакцію Українського Уряду на наші директиви

В Богота з Обласної адміністрації наполягає на тому, аби ОКК продовжив спроби отримати позицію Уряду з тим, щоб ОРГ могла продовжити роботу над конкретними розрахунками

Удовиченко запропонував підготувати листа до Віце-Прем'єр Міністра Дурдинця від ОКК, який всі члени Комітету повинні перевірити та підписати до понеділка, 30 вересня Члени погодились, і на цьому зборі було закрито

(Звіт підготовлено Мері Харріс 30 вересня 1996 року)

**U S Agency for International Development**

**“Community/Industrial Relations”  
A NET Project Training Program**

Conducted August 17-31 1996



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## Community/Industrial Relations

### Foreword

The study tour program described in this report is part of the effort of the USAID to assist Ukraine to plan for the social impacts of the closure of the operating nuclear reactors at Chernobyl. It was undertaken at the initiative of the Kiev mission office of the US Agency for International Development (USAID). The program supports the efforts of a joint working group that is developing an action plan under article four of the Memorandum of Understanding between the G-7 and the Government of Ukraine. In that article, the G-7 agreed to help develop a plan to address the social impacts of closing Chernobyl's operating reactors.

USAID NET Project

1

## Community/Industrial Relations

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### Background and Program Objectives

Relations among government, industry, labor, and citizens in Ukraine today still reflect practices developed during the former administrative-command economy. By comparison to conditions in western Europe and North America, Ukrainian enterprises are larger and more dependent upon central government policies, trade unions have more limited autonomy, organized community action groups are less common, and near-term economic issues are central concerns of most citizens. In efforts to restructure Ukraine's economy, the Government is establishing new legal bases for the role of citizens and the functioning of businesses within a market-oriented economy. These are widely regarded as important elements in mitigating the social and economic impacts of the planned closure of the Chernobyl Nuclear Power Plant (CNPP).

The city of Slavutych, with a population of about 27,000, depends heavily on CNPP. About one-third of the city's employed population works at CNPP, and CNPP and its workers generate much of the economic activity for the remainder of the city. CNPP also finances housing, education, communal services and health care for Slavutych.

The planned closing of the two remaining reactors at CNPP therefore poses a number of socioeconomic challenges for Slavutych. For example, layoffs require consideration of compensation schemes, provision of psychological support for laid-off workers and their families, retraining and assistance in reemployment. As jobs are lost at CNPP, new jobs must be created in other sectors. A portion of CNPP workers may be retrained to participate in environmental remediation, but to provide sufficient employment, Slavutych will also need to diversify its economy and create a climate that will encourage the development of new businesses.

Massive layoffs also create challenges for those who remain at CNPP. Consideration must be given to maintaining morale so as not to jeopardize safety at the plant. Open communication with workers is needed so that they will hold realistic expectations about how long they will retain their positions. Finally, job opportunities need to be created so that displaced workers may find reemployment when their assignments at CNPP are complete. The challenges that arise from CNPP closing are added to existing psychological stresses, health impacts, and social problems that are a continuing legacy of the 1986 accident.

With these circumstances in mind, USAID designed "Community/Industrial Relations," a study tour for eighteen Ukrainian officials concerned about the future of Slavutych, and other similar towns to address the following issues:

- government-sponsored community-based approaches to economic redevelopment,
- new business creation and mechanisms to finance business start-up,
- compensation schemes for displaced workers and means to encourage voluntary separation
- public education and public participation techniques practiced by the civilian and defense nuclear sectors, and

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- functioning of private voluntary organizations and activity of citizen advocates for the health and welfare of their communities

USAID created opportunities for practitioners to explain to participants how these issues are addressed in the United States, and devoted time for discussion about which US approaches could be adapted to fit the Ukrainian context. In sessions with US Department of Energy and Department of Defense officials, Ukrainian participants were exposed to the view from Washington, DC, on these issues. Through site visits in Pennsylvania and Colorado, participants heard from state and local government officials, including industrial facility managers and community representatives, and saw community redevelopment programs put into practice. Because the Ukrainian delegation was large and diverse, USAID also arranged extracurricular meetings for individual participants to discuss issues of particular interest to them.

The following section of this report on 'Community/Industrial Relations' identifies the offices, programs, and facilities to which the Ukrainian participants were introduced during their two weeks of training. It summarizes information provided to participants about how some of the issues they face in Slavutych (and elsewhere in Ukraine) are handled in the United States. It concludes with a description of a simulation exercise that was designed to help the participants synthesize the information they had received and adapt it to fit the Ukrainian context.

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### Program Description

#### A Lessons in Worker Transition and Community Development from the US Department of Energy

##### Office of Worker and Community Transition

The Department of Energy's Office of Worker and Community Transition (OWCT) was established in 1993 in response to a Congressional mandate to assist workers and communities affected by the downsizing of the US nuclear weapons complex. The office works primarily with community reuse organizations established at each of the affected sites. The office funds programs and projects developed as part of the community transition planning process and activities proposed by Department of Energy field managers.

DOE employment peaked in 1992 at 150,000 contractor employees. In 1993 the department realized that it was overstaffed. In addressing this problem, DOE wanted to recognize the service of its employees, act with fairness, show concern for employees—especially for those who remained—and help separated employees retrain for new careers. In accordance with federal law, DOE needed to provide advance notice to communities of impending downsizings, involve communities in developing plans for the restructuring, provide benefits to workers, and make separations as voluntary as possible. To these ends DOE offered workers early retirements, enhanced severance pay programs to assure continuity of medical coverage, and educational assistance. In addition, DOE has helped communities develop training programs for workers to prepare them for new employment opportunities. Since its 1992 peak, DOE has reduced employment by 34,000 workers.

DOE has faced a dual challenge during this period: shedding people whose skills were no longer needed while at the same time retaining people whose skills are needed to do the work that remains. It is a common problem in such circumstances that the best people leave first, and that encouraging voluntary separations can result in a skills drain. To meet its workforce restructuring goals, DOE offered separating employees an additional incentive of from 50 to 100 percent of the US industry standard of one week's pay per year of employment service. DOE was fortunate to reduce its workforce during a period in which the national economy was strong and job availability high. Under these conditions DOE was able to achieve an 80 percent rate of voluntary separations.

The Office of Worker and Community Transition dedicates specialized staff resources to managing its relations with the communities that are undergoing major workforce reductions. OWCT's public participation strategy includes developing a community plan, defining issues of concern, communicating information widely, monitoring public opinion and needs, and training managerial staff on public participation techniques. The goal of this effort is to build public trust in the process and confidence in the office.

The authority for DOE's efforts to mitigate social and economic impacts stems from Section 3161 of the National Defense Appropriations Act of 1993. Under this act DOE may provide funds for four purposes. Grants may assist in the establishment of community reuse organizations (CROs),

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assist CROs to develop plans, provide operational assistance for CROs in their early stages of existence, and fund specific projects. Financial assistance is specifically designed to help CROs with start-up, since it is not DOE's intent to fund them indefinitely.

A common pitfall for communities is a lack of realism in developing a vision of their future. Some think of becoming new high technology centers like Silicon Valley in California without giving adequate consideration to the range and extent of preexisting assets and resources that such centers typically possess.

Key success factors for community reuse organizations are adequate initial funding and good communication between the CRO and DOE. The CRO needs to be managed well, to target its project funds wisely, and to ensure adequate return-on-investment from its activities. CROs need to establish clear goals, identify endpoints, and develop sources of funding that will make them self-sustaining. Successful CROs provide DOE with a single point-of-contact for working with communities and facilitate the Department's assistance efforts. Examples of CROs are the Eastern Idaho Development Council, TRIDEC in Washington state, and the Rocky Flats Local Impact Initiative in Colorado.

<b>Selected Facts About the OWCT</b>	
Budget in Fiscal Year 1996	\$67 000 000
Cost of program administration	4 000,000
Approximate expenditures on worker transition	42 000 000
Approximate expenditures on community transition	21 000 000

### Eastern Idaho Development Council

The commercial trade area for Idaho Falls, ID, includes approximately 250 000 people who perform nuclear energy related work at the Idaho National Engineering Laboratory (INEL), derive livelihoods from agriculture and work in recreation and tourism. Since its peak of 13 000 employees in 1993, INEL has reduced its workforce to 8 000 with more cuts anticipated in the future.

In 1992, INEL's site manager warned the community that it needed to reduce its reliance on INEL's 40 percent contribution to the local economy. For the first time since its creation, job insecurity arose among INEL workers. The best and brightest left for other opportunities. Through public participation, the community decided on a common future vision. The community used such tools as performing a community assessment, a labor market analysis, and a target opportunities analysis. Leaders established close communication with agencies of local, state, and federal government and formed partnerships to support their redevelopment efforts.

The Idaho Falls Economic Development Council started as a nonprofit organization funded by regional businesses, not the Department of Energy. Only later did it apply for DOE project funds. The council is striving to be self-sufficient. Its members base this goal on the conviction that the first step towards self-reliance should not be to ask someone else for money. The council has provided some capital funding for business development through support of industrial parks. It attempts to pursue its goal of sustainable economic development by growing local jobs and firms rather than by

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simply relocating jobs from somewhere else Results to date include 350 new private sector jobs in four new business lines and seven new start-up firms

### Tri-Cities Economic Development Council (TRIDEC)

TRIDEC was founded in the mid 1980s to support economic development in the communities of Richland, Kennewick, and Pasco, Washington These cities, known informally as the "Tri-Cities," form an urbanized area in south-central Washington State that is near the Hanford Atomic Reservation The city of Richland was established nearest Hanford in the 1940s to house workers at the plutonium production facilities there, and has been supporting the defense work (and more recently the decommissioning and cleanup mission) ever since The economic impacts of Hanford on the economy of the Tri-Cities are large 25 percent of the workforce, but 45 percent of the local payroll However, the size of the Hanford workforce is declining After reaching a peak of 19,000 jobs in 1995, Hanford has lost 6,000 jobs in the past year, and is likely to continue to lose 1,500 to 2 000 additional jobs each year as cleanup progresses

The Tri-Cities clearly need to adjust their strategic plans for economic development to accommodate the new workforce realities at Hanford Toward this end, TRIDEC devotes approximately one-third of its budget to economic conversion efforts It targets opportunities for "asset conversion," whether those assets be human or capital In this effort TRIDEC is sensitive to the marketplace What kinds of assets does industry need? In addition to marketing, TRIDEC offers start-up advice and business planning help to Hanford engineers and scientists Such entrepreneurs have developed five new companies that will employ 350 workers in the private sector

TRIDEC focuses on small and medium sized businesses rather than on "elephant hunts" for large employers Due in part to the existence of DOE contracting preference systems, it also nurtures women-owned and minority businesses through micro-loans and technical assistance However TRIDEC recognizes that economic development is an art rather than a science Proposals are subjected to independent review businesses are offered what is believed to be sound advice and good processes but outcomes are not guaranteed

### Rocky Flats Field Office

Rocky Flats is a 45-year old defense production facility that produced components for nuclear weapons primarily plutonium bomb triggers This work ended officially in 1992 The site which still stores 13 tons of plutonium contains what TV and newspapers have described as five of the nine most dangerous buildings in the United States Recent openness to workers the community and local officials is directed at communicating with the public on Rocky Flats thinking and hearing views from stakeholders about the future of the site

Workforce restructuring is necessary at Rocky Flats due to federal budget reductions and the need to restructure jobs to carry out the site's new work of decontamination decommissioning and conversion Rocky Flats has pursued a five-point process to meet restructuring needs and to comply with applicable laws and regulations The process starts with an analysis of the workforce skills that need to be retained and the number of positions that need to be eliminated From this a restructuring plan is developed and a 120-day notice is given to employees and the community Voluntary

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separation options are offered to affected employees, and a 60-day notice is given to employees who will face involuntary separation

A key issue for employees is retention of medical benefits. This has been addressed by offering separated employees one year of paid medical insurance, with coverage continuing in the second and third years at a cost to the employee of 50 and 100 percent of the premium costs, respectively. Workers seeking employment at other DOE sites are given preference. Outplacement assistance is also provided to employees seeking employment in another sector, with a relocation benefit of up to \$4,000 and a training and education benefit of up to \$5,000 annually per employee for up to two years. To date Rocky Flats has separated 4,333 employees at a cost of \$79.6 million, or approximately \$18,000 per employee. Due to budget constraints, the trend in worker benefits for separated employees is likely to be down. Rocky Flats has considered a tiered regime of benefits for employees who were hired before 1992. These designated "Cold War Warriors" could receive extra benefits.

Rocky Flats Downsizings and Related Costs		People	Cost
1994	Voluntary	1486	\$31,902,367
	Involuntary	496	5,254,203
1995	Voluntary	1137	23,429,022
	Involuntary	367	4,707,081
1996 (year-to-date, as of August)	Voluntary	586	11,861,428
	Involuntary	261	2,474,598
<b>Total</b>		<b>4,333</b>	<b>\$79,628,699</b>

Average cost per person	\$18,377
Average training cost per person	1,800
Average healthcare cost per person (over 2 years)	1,336
Average relocation cost per person	400

### National Conversion Pilot Project (NCPP)

The NCPP is a recycling project that aims to demonstrate the feasibility of reusing facilities at Rocky Flats for useful purposes. Building 883 is an example of a facility with radioactively contaminated industrial equipment such as presses and rolling mills that can be decontaminated and reused. Other materials within the building that have no further purpose can be decontaminated and recycled. The project, which started in 1994, has completed the planning stage and is currently working on the second stage of decontamination, refurbishment, and process verification. A final stage to come later will be private commercialization of the facility.

Manufacturing Sciences Corporation operates the project under contract with the Department of Energy. The project employs 180 persons who are all laid-off workers from the Rocky Flats site. The project is supplying pipe-shaped transuranic (TRU) waste containers for testing at Sandia National Laboratory in Albuquerque. In the commercial stage of NCPP operations, these containers—made from slightly radioactively contaminated metal—would be manufactured at the site for use at the Waste Isolation Pilot Project in Carlsbad, NM.

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### Rocky Flats Local Impact Initiative (RFLII)

RFLII is the community reuse organization for Rocky Flats, and is located in the adjacent community of Arvada, CO. RFLII cooperates with a variety of community organizations to help prepare for the eventual departure of the Department of Energy from Rocky Flats. Following are some examples:

The Rocky Mountain Manufacturing Academy seized an opportunity to acquire advanced machine tools from the Rocky Flats site so that it could reuse the equipment in the greater Denver area. The vision of the academy is to offer training to technicians and to give local engineering students an opportunity to develop software controls for the operation of advanced machine tools.

The Business Advancement Center at the University of Colorado operates an Entrepreneurship Resource Program. The program targets some sectors for particular emphasis, such as advanced manufacturing, medical equipment, and telecommunications. Its main service is providing information—particularly market research, business planning, and patent, legal, and accounting information—to new or expanding businesses. Coordination among different parties working in the economic development field, such as community groups, government leaders, educational institutions, nonprofits, is very important. Although initially resisted, coordination has improved and the individual efforts of institutions throughout the greater Denver area are now more productive.

The Front Range Community College in Westminster, CO, maintains a Small Business and International Development Center that serves the residents from communities surrounding Rocky Flats. The center, like many others in the United States that are supported in part through US Department of Commerce grants, provides advice to individuals who are seeking to start their own businesses. Research has shown that persons may be quite expert at a certain profession or job but not have the skills or aptitude to make a successful businessperson. Common problems for new business owners are a lack of background in business management and/or a deficit in the personal attributes needed to succeed in business. US experience has shown that successful entrepreneurs have independent personalities, like working alone, are self-motivated to schedule work and meet objectives, and have high organizational skills.

Other resources that coordinate closely with RFLII include the employment service centers operated by the State of Colorado, officials of the skilled trades unions whose members work in production jobs at Rocky Flats, regional economic development agencies, and Chambers of Commerce.

### Office of Intergovernmental and Public Accountability, Office of Environmental Management

The Department of Energy has undergone radical change in the last ten to fifteen years. Prior to the 1980s the department operated in strict secrecy and controlled access to information both internally and externally. This culture was imposed initially under the imperative of the wartime effort to produce nuclear weapons. In the 1950s and 1960s the department began to transition from strict control of information to public relations. The aim of public relations was to communicate information to the public, but with an emphasis on information that showed the agency in the best possible light. As early as the 1970s some parts of the agency began to move toward public

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participation, a direction that gathered strength in the late 1980s and became departmental policy in the 1990s. Public participation means helping the public influence decisions that the department makes.

The Department of Energy committed itself to public participation for many reasons. It supports democratic values, it helps the department make better decisions, it helps reduce controversy over decisions, it reduces litigation against the department, and it makes the jobs of managers more interesting. Not everyone in DOE has embraced public participation with the same enthusiasm or on the same schedule, and there still remain individuals who resist this direction. Reasons for resisting include lack of clear policy, which makes communicating with the public very difficult, weak support at some levels of senior management, unclear policies and procedures for making decisions, the notion held by some persons that sharing information means sharing power, and resistance to investing project time and money in public participation.

In working with DOE management to implement public participation, the department has learned that there are specific levers that will help promote behavioral change. Policy direction needs to be clear. Persons who support public participation should be recruited into the organization, and others should receive training. Senior managers must become role models, and personally attend meetings when they are the decision maker with whom the public seeks to interact. Organizations that want to promote public participation need to establish performance standards and measurements for managers and staff and highlight successes. And they must grant license to make mistakes to employees who involve the public. Specific strategies for strengthening public participation within DOE have included identifying leaders who believe in it and are willing to act as role models working both from the top down and from the bottom up in the organization, and bringing in outside experts as consultants and trainers.

### **B Lessons in Conversion and Environmental Remediation from the US Department of Defense**

#### **Office of Economic Adjustment (OEA), Office of the Secretary of Defense**

The Office of Economic Adjustment exercises a responsibility for the Department of Defense that is similar to the role played in the Department of Energy by the Office of Worker and Community Transition. In the case of the Department of Defense, local community impacts are felt when military installations are selected for closure. Common environmental problems at bases scheduled to be closed include soil contaminated with petroleum products and industrial solvents and asbestos in buildings. Once such problems are remediated to federal and state standards, local communities are generally eager to redevelop the sites.

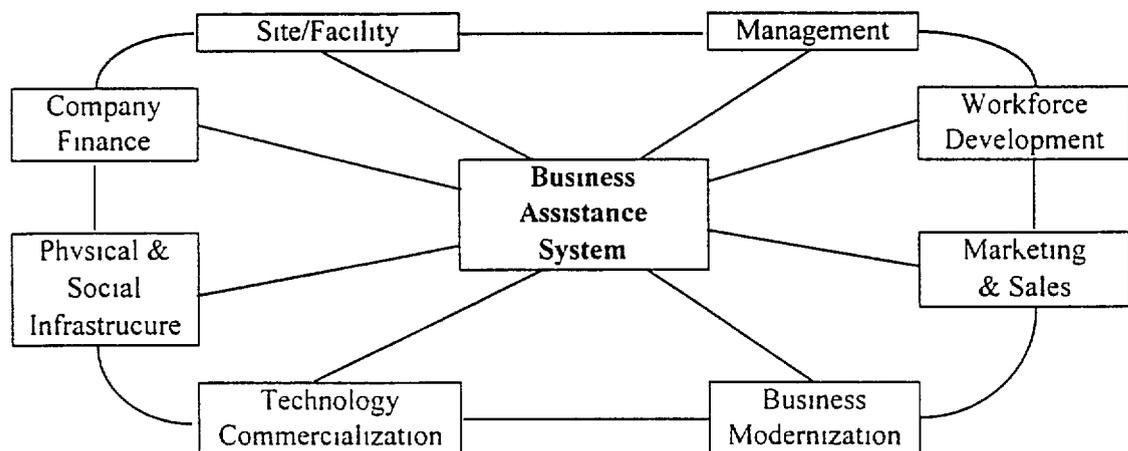
The OEA, like the Department of Energy, prefers to work with a single public-private community reuse organization that can take an active role in the decision making for a base's future reuse. These organizations should include a variety of local citizens, such as elected officials, business leaders, local community leaders, and bankers. They should know what they want and realistically analyze their community's strengths, such as manmade and natural resources, institutions, schools, and healthcare facilities. They should also take into account the community's

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weaknesses when analyzing the feasibility of redevelopment options. Selected future uses should make sense in both local and global competitive terms.

The experiences of two different communities that faced redevelopment of former military bases are illuminating. One community, which incorporated three local jurisdictions in Massachusetts surrounding the US Army's Fort Devlin, overcame traditions of going separate and independent ways to coalesce around a common redevelopment strategy. Using a highly interactive process with members from all three communities, reuse project leaders identified issues, proposed plans, and developed a consensus that passed popular scrutiny in all three communities. By contrast, the former Rickenbacker Air Force Base in Columbus, OH, fared much more poorly. The vision for reusing the site was piecemeal and fragmented, strong redevelopment leadership was absent, and private developers were allowed to pursue options without adequate control over the property or sufficient financing. After the property languished for ten years, community leaders decided to try again, but by then some key parcels of land had been sold, and the site was found unattractive for redevelopment.

In the experience of the OEA, there are many interconnected challenges that communities face when redeveloping large tracts of land from one use to another. These can be illustrated in the following diagram.



### Lowry Redevelopment Authority

The Lowry Redevelopment Authority (LRA) presently manages the base conversion of the former Lowry Air Force Base in Denver, CO. The base had employed 7,000 persons until 1991 when the closure was announced. After initial feelings of shock and disbelief, local residents expressed concerns about traffic, future site use, environmental problems, among others. Because the site touched two communities—Denver and the city of Aurora, the Air Force asked both communities to cooperate on a joint planning effort. The result was a jointly administered Citizens Advisory Group and a redevelopment authority which coordinated the efforts of federally funded planners, consultants, and engineers. After an eighteen-month process with hundreds of meetings and much debate, a reuse plan emerged with substantial public support. The plan included development of new

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residential property and reuse of existing residential units, a new education center, business reuse of a portion of the base, and the retention and expansion of existing open space and recreation sites

The task of the LRA to sell land for new construction was helped by the good economic condition that Denver has experienced since the early 1990s. The timing and sequence of redevelopment would have been much different under different economic conditions. In several years, when redevelopment is completed, the LRA hopes to have replaced the 7,000 Air Force jobs with employment for that number or more. To achieve that LRA is targeting firms specializing in telecommunications, biomedical services, computer software, financial services, and continuing education for business. The completed community will result in an urban mixed-use, master planned community where residents can "live, learn work, and play," all within a self-contained urban setting in the heart of metropolitan Denver.

### Rocky Mountain Arsenal

The Rocky Mountain Arsenal (RMA) near Denver posed a different kind of conversion challenge after the US Army recognized that it faced major environmental remediation responsibilities there in the early 1980s. The site was used by the Army for the production of chemical warfare agents from 1942 to 1969, and portions of the site were used for industrial chemical operations from 1952 to 1982. In 1989 the Army's cleanup operations—which had begun in 1984—became subject to administration under the Comprehensive Environmental Response, Compensation, and Liability Act. Although that law provided for a thorough cleanup and then decision making about future reuse, Congress preempted that process when it passed a special act in 1992 that designated the RMA as a future wildlife refuge. Subsequent negotiations with the US Environmental Protection Agency, state government, local communities, and other interested parties resulted in a decision signed in 1996 that specifies the steps that the US Army and the Shell Oil Company will take to protect human health and make the site fully suitable as a wildlife refuge.

Serious environmental problems at the arsenal have included contaminated groundwater migrating off the site and affecting local landowners and a highly contaminated former waste containment basin. The final environmental remediation strategy provides for treatment consolidation and capping with boundary barriers to prevent further off-site migration of contaminated groundwater.

In the case of RMA, public involvement has led to increased public education about the issues related to cleanup and has helped RMA technical staff more clearly understand community concerns. These concerns have been accommodated where possible within the general framework of the federally approved cleanup strategy. Examples are the decision to utilize an on-site incinerator only for the destruction of liquids removed from Basin F and then to dismantle it. Other accommodations have included enhanced health monitoring of some remediation activities. On some of the larger questions the impact of public participation has been more limited. This occasionally caused friction among stakeholders during parts of the process. For example, in 1989 the State of Colorado for certain technical and legal reasons chose not to sign the Federal Facility Agreement that prioritized work at the site and provided for scientific studies for the final cleanup plan. Instead the agreement was implemented without the formal approval of Colorado by the US Army, Shell, EPA and other

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federal parties. Later in the process, other future uses for the site were effectively precluded by the decision of Congress to use the arsenal solely as a wildlife refuge.

The history of the cleanup and reuse effort at the RMA demonstrates that decisions will be made at the highest political level of interest and concern. In the case of RMA, Congress weighed the options and made choices based upon national priorities and interests as well as on inputs received from affected parties in Colorado. Public involvement at the site has contributed to greater public understanding of complex technical issues, and to adjustments to the implementation strategy. Ultimately the process was sufficiently inclusive to achieve a public consensus on the terms of the final cleanup and reuse plan.

### C Lessons in Economic Development from Pennsylvania

The State of Pennsylvania has gained considerable experience working with communities that have lost jobs and income from declining dominant industries. The restructuring of the steel industry, for example, hit many communities in western Pennsylvania hard. Some of them coped with change better than others. A key ingredient for the more successful ones was that they had a well-articulated vision of the future that they wanted to work toward. All had to consider available economic development options: transfer existing jobs into the community from the outside, increase employment at existing industries within the community, and create new enterprises within the community. The latter option sustains community development best, but takes the longest to achieve. Experience also shows that while planning is desirable, governments or agencies also need to permit entrepreneurs enough freedom to move forward on their own.

Many communities that have faced sudden economic hardship turn to higher levels of government for assistance. In the United States, offers of assistance, when made, frequently come in the form of public works, often for infrastructure improvement. These efforts may sometimes be misguided, since they may not by themselves enhance a community's competitive advantage. As an example, the Harrisburg area after the Three Mile Island accident in 1979 was given an opportunity to apply for some federal assistance. Local leaders could not agree among many proposals, one of which was to seek the endowment at the local university of a professor's chair in advanced materials science. The assistance, when it came, appeared in the form of two new lanes across a bridge over the Susquehanna River. Ten years later the extra lanes meant very little to the community, which lost the opportunity to build local expertise in a scientific discipline that could have attracted investment in research and development and the creation of high wage jobs.

The TMI accident resulted in the closure of one reactor and the loss of corresponding jobs. Some laid off employees recognized the application of neutron embrittlement in reactors to non-invasive testing techniques on advanced materials. As a result they founded a new business that partially compensated for the economic loss to the community.

A more distressed community in western Pennsylvania found an innovative solution to its development needs. After the departure of its dominant employer, Shenango Valley had a 25 percent unemployment rate, skyrocketing crime, net outward migration, and no economic growth. Seizing upon the offer of state grant money, the community established a revolving development fund for the purpose of making loans to local businesses. After receiving \$5 million in grant money from the

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state, the community reuse organization created a \$4 million development fund and then sought matching contributions from a private foundation and finally the federal government. To administer the fund, the community reuse organization formed a committee to make decisions about participating in lending to businesses that were locating or expanding in their area. Working in conjunction with other lenders, such as banks, the fund typically would take a secondary collateral position and adjust its interest rate to match the ability of the borrower to repay. The fund's lending committee required that one job had to be created or retained for each \$15,000 of loan principal and that the job had to be "high quality." By that they meant full-time, with a living wage and benefits such as medical care. Excluded by this criterion were loans to create jobs in retail or local services. Specifically sought after were jobs that exported product outside the region and that created net cash inflows to the community. The fund is now bigger than when it started, and achieves about the same default rate as good quality banks. Moreover, the community, which united around its redevelopment strategy, now has an unemployment rate less than the state average, an exceptionally low crime rate, and net in-migration.

### **D Lessons in Emergency Management and Public Health from TMI and Rocky Flats**

#### **Pennsylvania Bureau of Radiation Protection**

The accident at Three Mile Island in 1979 had a major impact on the future of the civilian nuclear industry in the United States. Three major lessons resulted in changes in federal regulations as well as in emergency management preparation at the state level. The first lesson was that power stations at that time had very confusing human-machine interfaces with far too many alarms. Regulations and practices adopted since the accident have improved control room systems significantly, reducing the potential for confusion. Second, operators were poorly trained. They were told to blindly follow procedures without thorough understanding of what they were doing and the possible consequences. Third, emergency preparedness needed improvement.

The State of Pennsylvania acted on the third lesson by instituting new procedures. It learned that it needed to understand the status of the nuclear plants at all times and thus assigned each to a state employed nuclear engineer. It also learned that it needed better communications systems such as dedicated phone lines. Finally, it learned that it needed all involved parties to communicate with the public with one voice, which has led to the creation of a joint media center at the state emergency response command center.

Apart from its role in monitoring the state's nuclear facilities, the Bureau of Radiation Protection has responsibility for Pennsylvania's participation in the Appalachian Regional Compact on low-level radioactive waste disposal. The compact<sup>1</sup> was authorized by Congress in a policy act passed in 1980. Each compact is expected to establish one or more sites for low-level radioactive waste disposal. Because of public perception and a legacy of poorly managed waste sites, this has proven to be far more difficult than Congress imagined. More than fifteen years after the passage of the act, Pennsylvania is still engaged in its site selection process. It is now hoping that a newly initiated 'Community Partnering Plan' will overcome local resistance to unwanted land uses. The new plan

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<sup>1</sup> a 'compact' is an agreement among several states to act together to solve a problem. The Appalachian Compact includes states of Pennsylvania, West Virginia, Maryland and Virginia.

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offers communities substantial economic incentives for hosting a site, along with many protections against economic, and health harm

### Colorado Department of Public Health and Environment

The Colorado Department of Public Health and Environment (CDPHE) has undertaken historical studies of public exposure to radioactivity from Rocky Flats in order to create a public record of releases, assess public exposures and risks, and determine the possible need for epidemiological studies. These studies are funded by the US Department of Energy but conducted by private contractors under the supervision of the State of Colorado.

In the first phase of study, CDPHE identified several radioactive isotopes and industrial solvents plus beryllium as the major substances of concern. Source terms were found to be caused by routine releases, accidents, and improper waste storage. The three largest were routine releases of carbon tetrachloride, a 1957 fire that released plutonium, and a 1969 airborne dispersion of dust from the excavation of leaking containers of liquid plutonium-contaminated waste. Estimates of exposures have been created from multiple sources of information, but wide uncertainties remain. Risk assessment is used to determine whether additional epidemiological studies are warranted. Current estimates of releases from the site are relatively small.

From the outset CDPHE has emphasized public involvement in order to gain public trust and credibility for the results of the studies. CDPHE has used second contractors to test the results reported by earlier contractors and routinely creates briefing books before public meetings so that information is available and the process is transparent. CDPHE has realized that it would not be difficult for the public to accept findings that indicated large releases but that the public is more skeptical of findings that indicate low releases. As a consequence CDPHE produces extensive written materials including a quarterly newsletter and periodical booklets, operates a speakers bureau, and posts information on the World Wide Web.

The Radiation Control Division of CDPHE closely monitors radiation levels in Colorado. The division has observed that radiation levels increase in soil as one approaches the Rocky Flats site upwind from east to west. However, there are some spots on the site where the detectable plutonium contamination is no higher than the background one normally finds in the United States due to fallout from worldwide atmospheric testing of nuclear weapons. Overall, off-site levels are relatively low.

### E Ukrainian Participants' Synthesis—the Simulation Exercise

The Ukrainian delegation participated in a simulation exercise near the end of the study tour. The purpose of the exercise was to practice using the information they had gained and to provide a basis for discussion about these lessons and their applicability to real situations in Ukraine.

Participants received materials about the simulation exercise soon after their arrival in the United States to allow them time to familiarize themselves with the materials well in advance of the exercise which was scheduled for their last full program day. The materials included a statement of

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the exercise's purposes, information about how it would be conducted, a description of the scenario and the five Russian characters, and a balance sheet for the (fictitious) enterprise under discussion.

### The Roles and the Scenario

Thirteen participants played themselves—Ukrainian officials who had received training in the United States on worker transition and community development. The remaining five participants played Russian officials visiting Ukraine to receive advice from the Ukrainian group. The Russian officials were: the General Director of a nuclear facility in the Chelyabinsk oblast that was to be closed, the Chief Financial Officer of that facility, a Deputy Minister of Medium Machine Building from Moscow, the Deputy Regional Administrator responsible for environmental management in the Chelyabinsk oblast, and a trade union representative, representing worker and public concerns. Each character's background, concerns, and relationships with the other members of the delegation was described as part of the exercise materials.

According to the scenario, the Government of Ukraine had agreed to a Russian Government request to conduct a workshop for Russian officials on worker transition and community development. Ukrainian experts conducting the workshop had recently returned from a study tour in the United States on the subject. The Russian delegation was seeking advice on managing transition in a city in the Chelyabinsk oblast which faced the imminent shut down of a nuclear enterprise. The city is dependent on the plant as an employer and provider of social services. Attempts to privatize drew no bidders. The plant has also been plagued by problems with waste management, and releases of radiation and hazardous chemicals. The Ministry of Medium Machine Building and the Ministry of Finance have requested that the enterprise develop a proposal for managing worker transition and community development.

### Description of the Exercise

Participants split into two groups—one with those representing Russian officials and the second with those representing the Ukrainian advisory group. Each group spent about 30 minutes preparing for the workshop. The Russian delegation used this time to get into character; each official made a statement and identified the issues on which he/she sought advice from the Ukrainian group. The group also chose the format for their presentation: the Deputy Minister of Medium Machine Building, as the most senior official, would serve as head of delegation, make opening remarks, introduce the delegates and give each an opportunity to speak. Meanwhile, the Ukrainian delegation used the 30 minutes to organize their presentations. They identified four issues that should be addressed and selected a spokesperson for each topic. The topics were: (1) strategic planning, (2) economic development and creation of new enterprises, (3) environmental conditions, and (4) public involvement.

All participants then came together for the workshop. The Russian delegation presented their concerns, and the Ukrainians asked for clarification on several points. The Russians sought advice from the Ukrainians on the following issues:

- What do you do with highly trained workers displaced from jobs? How do you finance retraining?

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- How do you approach the government for support in worker transition? What kind of a plan do you need?
- How do you find investors to support first steps to help new enterprises get on their feet?
- How do you acquire a comprehensive view of environmental damage in a region? Can Ukraine assist with computer modeling of pollution and contamination?
- People attribute health problems to nearby facilities, while the official medical community says that their problems are not attributable to those facilities. How do you resolve whether health problems can be attributed to a particular facility, in a way that will satisfy the public?
- How do you deal with the psychological burdens associated with loss of work?
- How do you prevent disaffection among youth, as they see their parents lose their jobs, their education and training no longer needed?

The Ukrainian side then took the floor. The speakers expressed lessons learned from the US experience and applied them to the Russian delegation's situation (for instance, doing an impromptu analysis of the strengths, weaknesses, opportunities, and threats facing the enterprise in question). Ukrainian speakers elaborated on the following:

- A community has to actively participate in its own salvation. It cannot expect endless assistance from government. The regional and local levels are paramount in the transition.
- Government may have a role in helping to establish business, but once on its feet, business must eliminate its dependence on government.
- The interests of businesses must be aligned with the residents of the region in which they operate.
- A legal foundation is necessary to support conversion of facilities and worker transition. Resources must be allocated to support the process.
- A strategic plan that analyzes strengths, weaknesses, opportunities and threats is a useful tool to establish directions for development.
- Open communication with the public is essential. All levels of government should be mindful of cooperating with the public.

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### Concluding Discussion Applicability of US Experience to Ukraine

In the final part of the exercise, participants shed their identities as Russian officials or Ukrainian advisers, and discussed the applicability of proposals that emerged in the exercise to the situation in Ukraine. The following thoughts were expressed:

- SWOT analysis (strengths, weaknesses, opportunities, and threats) is a useful tool in Ukraine as it is in the United States
- Ukraine knows what to do and how to do it, but the key problem is always how to finance it
- While the public in Ukraine has the same concerns and questions as does the American public—about health, employment, the environment—the Ukrainian public's level and type of activity is different. The Ukrainian public is less organized, and though Ukraine has many activists, cooperation and trust between government and public groups is weak
- Ukraine's information technology is a limiting factor
- American approaches to community development presuppose a market economy and a healthy environment for business. Ukraine still lacks the foundation of laws it needs to encourage the development of business. However, the adoption of the new constitution assures that there will be no turning back, that Ukraine is on the road to a market economy
- Relocating workers in the United States means finding jobs for them elsewhere. In Ukraine there are added problems of housing shortages and the *propiska* system
- In some instances situations are simply not comparable. For example, when Margaret Thatcher closed coal mines in the UK a few thousand persons were affected and the government was able to provide generous compensation. In the Donbas those affected could number in the millions, and here, as everywhere, Ukraine faces the problem of financing compensation, retraining, and relocation

## Appendix B Faculty Qualifications

### John C. Shideler, PhD, Program Director

John Shideler has fifteen years experience in policy analysis, business and project management, public participation, and education and training. He has consulted to federal agencies, state governments, and private industry, and has a broad background in environmental and natural resource issues and in domestic and international politics. His clients include the US Department of Energy, the US Agency for International Development, and private companies.

Mr. Shideler recently assisted DOE's Office of International Health Studies with the design of an effective public involvement strategy for the bilateral US-Russia radiation effects research in the South Urals. He previously coordinated the public participation activities for the Resource Allocation Support System, a risk-based prioritization tool developed for DOE's Office of Waste Management. The methods employed in this project became the building blocks for the public participation policy adopted in 1992 by the Office of Environmental Management. He helped develop future use planning guidelines for DOE operations offices and co-wrote high-level waste repository program studies for the Office of Civilian Radioactive Waste Management.

In the past two years Mr. Shideler has designed several training programs in environmental policy, business management, and organizational development for use by the US Agency for International Development's New Independent States Exchanges and Training Project. These have included programs for Russians in public participation in environmental decisionmaking, international environmental agreements, managing businesses for economic and environmental gain, and NGO management techniques. He also collaborates with Russian and Ukrainian companies that provide overseas professional training programs.

Mr. Shideler has served as a consultant to the Office of Surface Mining on its Abandoned Mine Lands program, to the State of Washington on transportation and nuclear waste programs, and to private industry on regulatory and permitting issues. He developed the *Stormwater Permit Manual* for industrial and municipal dischargers, and has written numerous books and articles on environmental subjects and diverse topics in history.

Mr. Shideler has presented papers on public participation and citizen influence on policy change in the United States and the former Soviet Union at conferences in Prague (1993) and in Washington, DC (1994). In 1995 he presented the US experience in public involvement to a bilateral workshop of scientists meeting in St. Petersburg.

Mr. Shideler earned his PhD degree in history at the University of California, Berkeley, and MA and BA degrees at the University of Washington. He served one year as Exchange Scientist of the National Science Foundation to France. He has taught in the graduate division of the University of California, Berkeley, and at Gonzaga University in Spokane, WA. He is fluent in French, has knowledge of German, Spanish, and Catalan, and has started to learn Russian.

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### Jeanette Voas, Faculty Member

Jeanette Voas is a political scientist with more than ten years experience in Russian affairs. As a Futurepast associate she is working on the development of a public involvement strategy for the bilateral US-Russia radiation effects research in the South Urals. Previously she has written on Soviet politics for the Congressional Research Service, the International Institute for Strategic Studies, and the Center for Naval Analyses, the US Navy's think-tank. In the past two years she has consulted to the US Environmental Protection Agency and the US Agency for International Development on environmental projects in Russia and Ukraine.

Ms. Voas has experience in the establishment of working group relationships between US and Russian government and industry officials and representatives, particularly in the energy and environment fields. She has spent a total of eighteen months in cities across Russia. In addition to several visits to Moscow, her assignments have included a six-month stay in the Russian Far East for the US Information Agency. She has organized and participated in three EPA-sponsored missions to coal mining and natural gas regions of Western Siberia and two reciprocal visits by Russian energy officials to the United States.

Ms. Voas contributed to the organization and implementation of the USAID-sponsored training course, "Public Participation in Environmental Decisionmaking," conducted for sixteen Russian leaders in July 1994. She also interpreted from Russian to English and English to Russian for members of the Russian delegation, the course trainers, and visiting media representatives.

Ms. Voas is a political science PhD candidate at the Massachusetts Institute of Technology. She received her BA from University of Virginia in Russian studies and MA from University of Michigan in Soviet and East European studies. She has taught Russian at the University of Maryland and Soviet politics at MIT.

## Appendix D Program Speakers

### **Monday, 19 August Program Introduction and Hosted Reception**

John Shideler, PhD, President, Futurepast Inc  
Jeanette Voas, Associate, Futurepast Inc  
Thomas Blinkhorn, Chief, Municipal and Social Services , Department 4 Europe and Central Asia Region, The World Bank  
Sergei V Popov, Water and Environment Specialist, Municipal and Social Services Department 4, Europe and Central Asia Region, The World Bank  
Alexander Sich, Battelle Pacific Northwest Laboratory  
Mary Harris, Hagler, Bailly Inc , Chernobyl and Slavutich Social Impact Project

### **Tuesday, 20 August Site Visit to the U S Department of Energy, Office of Worker and Community Transition**

Robert W DeGrasse, Director, Office of Worker and Community Transition  
Terrence L Freese, Deputy Director, Office of Worker and Community Transition  
Deborah A Swichkow, Office of Worker and Community Transition  
Laurel Smith, Office of Worker and Community Transition  
Marilyn Balcombe, PhD, Office of Worker and Community Transition  
Daniel D Cudaback, President, Eastern Idaho Economic Development Council, Inc  
David J Dillman, Senior Vice President, TRIDEC

### **Wednesday, 21 August Site Visit to the Department of Community and Economic Development, State of Pennsylvania**

Ivan Tylawsky, Director, Office of Regional Opportunities, Department of Community and Economic Development  
Dallas A Dollase, Director, Bureau of Community Planning Department of Community and Economic Development  
David Messner, Director, Enterprise Zone Program, Department of Community and Economic Development

### **Thursday, 22 August Site Visit of the Pennsylvania Department of Environmental Protection, Bureau of Radiation Protection**

William Dornsife, Director, Bureau of Radiation Protection Pennsylvania Department of Environmental Protection  
Randy Easton Emergency Planning Coordinator Bureau of Radiation Protection Pennsylvania Department of Environmental Protection

### **Friday, 23 August Site Visits to the US Department of State, the Office of Economic Adjustment, Office of the Secretary of Defense, and the Office of Public Accountability, Office of Environmental Management, US Department of Energy**

Carol Kessler Senior Coordinator for Nuclear Safety, US Department of State  
Lawrence Mire US Department of State  
David MacKinnon Office of Economic Adjustment, Office of the Secretary of Defense  
Kenneth E Poole, Director Domestic Business Development National Association of State Development Agencies  
Donald Beck, PhD, Deputy Director, Office of Public Accountability, Office of Environmental Management, US Department of Energy

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### **Saturday, 24 August Hosted Reception**

Terry Lash, Assistant Secretary for Nuclear Energy, US Department of Energy  
Brian Kremer, Office of Nuclear Energy, Science and Technology, US Department of Energy  
Greg Trosman, Office of Nuclear Energy, Science and Technology, US Department of Energy

### **Monday, 26 August Site Visits to the Rocky Flats Plant and the Rocky Flats Local Impact Initiative**

Keith A Klein, Deputy Manager, Rocky Flats Field Office, US Department of Energy  
Lenora Lewis, Associate Manager for Government Operations, Rocky Flats Field Office, US Department of Energy  
Jeremy Karpatkin, Director, Office of Communications & Economic Development, Rocky Flats Field Office, US Department of Energy  
Ann K Sieben, Program Manager, Operations, Kaiser-Hill Company, LLC  
Dennis Floyd, Vice President Manufacturing Sciences Corporation, National Conversion Pilot Project, Rocky Flats Environmental Technology Site  
Mark L Haupt, Project Manager, National Conversion Pilot Project, Rocky Flats Environmental Technology Site  
James P Dawson, Jr, Councilman Ward 3, City of Northglenn, CO  
Vickey Ricketts, Executive Director, Governor's Job Training Office  
Gary Horvath, Market Analyst, University of Colorado Business Advancement Center  
Michael Lenzini, Director, Small Business and International Development Center, Front Range Community College  
Dennis Richard, Labor/Management Council, United Steelworkers of America, AFL-CIO-CLC Local Union 8031

### **Tuesday, 27 August Site Visit to the US Environmental Protection Agency and the Rocky Mountain Arsenal**

Mike Holmes, US Environmental Protection Agency, Region 8  
Laura Williams Rocky Mountain Arsenal Project Manager US Environmental Protection Agency, Region 8  
Bill Thomas Chief of Public Affairs Rocky Mountain Arsenal  
Col \_\_\_\_\_ Bishop US Army, Commanding Officer Rocky Mountain Arsenal  
David R D Busby, Mayor, City of Commerce City  
Beth Gallegos, citizen-activist Commerce City  
W J (Bill) McKinney, Manager Denver Site Project, Shell Oil Company  
Debbie Long, US Fish & Wildlife Service  
Ray Rauch, Project Leader US Fish & Wildlife Service  
Barbara Nabors Geologic Engineer Colorado Department of Public Health and Environment

### **Wednesday, 28 August Site Visit to the Lowry Redevelopment Authority**

Barbara O Gradv, Colorado Department of Public Health and Environment  
Jane Blackstone, Deputy Director, Lowry Redevelopment Authority  
Bruce Kroehl, Site Manager Air Force Base Conversion Agency  
Hillary Portell, Public Affairs Manager, Lowry Redevelopment Authority

## Appendix D Program Speakers

### **Thursday, 29 August Historical Public Exposures Studies on Rocky Flats, Presented by the Colorado Department of Public Health and Environment**

Norma Morin, PhD, MPH, Project Director, Historical Public Exposures Studies on Rocky Flats, Colorado Department of Public Health and Environment

Ann Lockhart, Senior Public Information Officer, Historical Public Exposures Studies on Rocky Flats, Colorado Department of Public Health and Environment

Bob Quillan, Director, Radiation Control Division, Colorado Department of Public Health and Environment (and co-chair of the Health Advisory Panel)

Jim LaVelle, PhD, Senior Toxicologist, Camp, Dresser & McKee (and member of the Health Advisory Panel)

Robert W Terry, Health Physicist, Radiation Control Division, Colorado Department of Public Health and Environment

### **Extracurricular Meetings**

Alexander Shneckendorf, Supervisor, Arlington County (VA) Water Pollution Control Division

Prof Peter Jenkins, University of Colorado at Denver

Gary Horvath, Market Analyst University of Colorado Business Advancement Center

Mary Blue, Director, AFL-CIO Employment & Training Office, Denver

Gregory J Saunders, US Environmental Protection Agency, Denver

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## Appendix E Logistical Arrangements

In addition to designing and conducting the instructional program, Futurepast Inc made all logistical arrangements to ensure the participants' comfort while in the United States

### Hotel Arrangements

Futurepast contracted with the Key Bridge Marriott Hotel in Arlington VA for participant lodging for seven nights. The hotel is located in Rosslyn, two blocks from the metro station near several restaurants, and a Safeway grocery store. From the hotel, Georgetown is within easy walking distance across Key Bridge. The hotel also provided meeting space for two program sessions.

In Harrisburg, PA, participants lodged at the Hilton Hotel and Towers, conveniently located about four blocks from the State Capitol complex. In Denver, CO, participants stayed at the Comfort Inn Downtown. Program sessions were conducted there on the last two days of the study tour.

### Meals

Participants received per diem for meals and incidental expenses, and took most of their meals independently. Exceptions included a catered opening reception at the program director's home, and a catered lunch in Commerce City, CO, near Rocky Mountain Arsenal.

### Transportation

Futurepast chartered a bus for airport transfers to take participants to Harrisburg, and for site visits in the Denver area. Public transportation (metro and taxis) was used in Washington, DC.

**Key to Photographs on Facing Page**

**A**—On their first full day in the US, participants pause for a picture on the steps of the US Capitol. Seated from left are Iryna Opaleva, Tamara Andriychuk, Lyudmila Chmatok, and Mark Gotsdyner. Standing, from left, are Henadiy Klymenko, Yakov Zaslavsky, Julia Tretyak, Valentina Demtchenko, Jouri Kolbouchkine, Gennadiy Yaroslavtsev, Lyudmila Zabudskaya, Iryna Meleshko, Petr Slynko, Volodymyr Kryvenko, Futurepast's John Shideler, and Anatoliy Pysarenko.

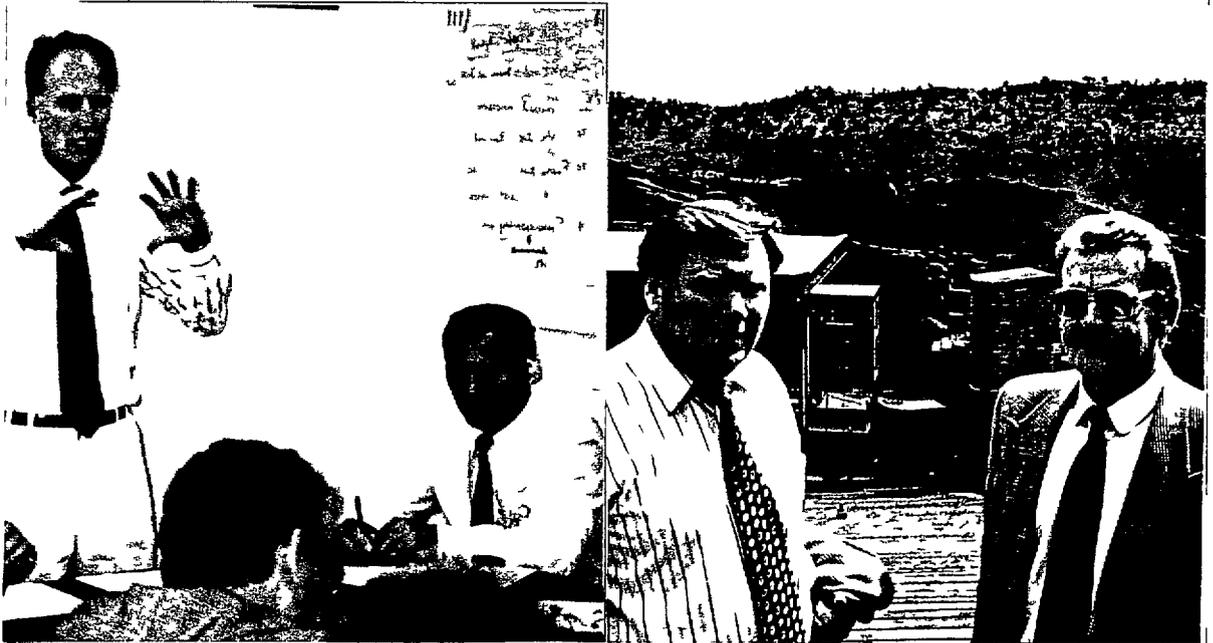
**B**—Mark Gotsdyner and Tamara Andriychuk pose in front of the deactivated cooling towers from Three Mile Island's unit 2.

**C**—Participants listen to a guest speaker at the Comfort Inn in Denver.

**D**—Gary Horvath, Market Analyst at the University of Colorado Business Advancement Center, makes a point while addressing the Ukrainian delegation at the Arvada, CO, offices of the Rocky Flats Local Impact Initiative.

**E**—Anatoliy Pysarenko and Vladyslav Gavrylin stand near the top of a natural amphitheater at Red Rocks State Park near Morrison, CO.

Appendix F Photographs





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**Агентство США по международному развитию**

**Отчет**

**об обучающем туре для украинских специалистов по вопросам взаимоотношений между промышленными предприятиями и общественностью**

17-31 августа 1996 года

Более подробную информацию Вы можете получить у  
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## 1 Предпосылки и цели создания программы

Отношения между правительством, промышленностью, рабочими и населением Украины отражают практику, существовавшую в период административно-командной системы. По сравнению с условиями Западной Европы и Северной Америки, украинские предприятия отличаются большими размерами и большей зависимостью от политики центрального правительства, профсоюзы имеют ограниченные права, менее распространены инициативные общественные группы, и главной заботой большинства населения являются экономические проблемы ближайшего будущего. В попытках преобразовать украинскую экономику правительство устанавливает новую законодательную основу для роли общественности и функционирования предприятий в условиях рыночной экономики. Решение этих вопросов поможет в значительной мере смягчить социальные и экономические последствия предстоящего закрытия Чернобыльской атомной электростанции (ЧАЭС).

Город Славутич с населением около 27 тысяч человек сильно зависит от ЧАЭС. Около трети его работающего населения занято на ЧАЭС, кроме этого ЧАЭС и ее рабочие стимулируют большую часть экономической деятельности остальных жителей города. ЧАЭС также финансирует жилье, образование, коммунальное хозяйство и здравоохранение Славутича.

Планируемое закрытие двух оставшихся реакторов ЧАЭС, таким образом, влечет за собой ряд серьезных социальноэкономических проблем для города. Например, массовые увольнения требуют продуманной схемы компенсаций, обеспечения психологической поддержки уволенных рабочих и их семей, переобучения и помощи в устройстве на новую работу. Поскольку исчезают рабочие места на ЧАЭС, то нужно создать рабочие места в других секторах экономики. Какая-то часть рабочих может быть после соответствующей подготовки привлечена к природоохранным работам, но для обеспечения занятости, Славутичу придется переориентировать свою экономику и создать обстановку, которая бы способствовала развитию новых предприятий.

Массовые увольнения представляют также трудности для тех, кто остается на станции. Необходимо уделить внимание сохранению морального климата, который бы поддерживал на должном уровне безопасность станции. Рабочие должны быть в курсе всех дел, с тем, чтобы они реально представляли себе сколько времени они смогут сохранять свои должности. Затем необходимо создать возможности трудоустройства после того, как их миссия на ЧАЭС будет выполнена. Трудности, связанные с закрытием станции, добавляются к уже имеющемуся психологическому давлению, вредному влиянию на здоровье и социальным проблемам, существующим с момента аварии в 1986 году.

Имея в виду сказанное, USAID организовало обучающий тур для восемнадцати украинских официальных представителей, связанных с

будущей судьбой Славутича, по программе "Взаимоотношения между промышленными предприятиями и общественностью", во время которого были освещены следующие вопросы

- Решение вопросов экономической реконструкции общественными группами, поддерживаемыми правительством,
- Создание новых предприятий и механизмы их финансирования на начальном этапе,
- Компенсационные программы для освобождаемых рабочих и средства стимулирования добровольного увольнения,
- Опыт государственных образовательных программ и участия общественности в гражданском и военном ядерном секторах,
- Функционирование частных добровольных организаций и деятельность гражданских адвокатов, отстаивающих программы здравоохранения и социального обеспечения для своих населенных пунктов

USAID дало участникам тура возможность узнать от практиков о том, как подобные вопросы решаются в США и совместно обсудить, в какой части американский опыт может быть адаптирован к украинским условиям. На встречах с представителями Министерств Энергетики и Обороны США украинская сторона смогла ознакомиться со взглядом на эти проблемы официального Вашингтона. Во время посещения отдельных районов в Пенсильвании и Колорадо участники пообщались с властями штатов и местными властями, в том числе руководством промышленных объектов и представителями общественности, а также увидели, как программы реструктуризации регионов внедряются в жизнь. Поскольку украинская делегация была большая и отличалась разнообразием интересов, USAID также организовало факультативные встречи для обсуждения вопросов, интересующих отдельных участников.

В следующем разделе данного отчета о "взаимоотношениях между промышленными предприятиями и общественностью" приводятся учреждения, программы и объекты, с которыми познакомилась украинская сторона во время двухнедельного обучения. В нем подытожена информация, которую получили участники о том, как проблемы, аналогичные стоящим перед ними в Славутиче (и в других регионах Украины), решаются в Соединенных Штатах. Завершает отчет описание модели, которая в учебных целях была предложена участникам для помощи в обобщении полученной информации и применения ее к украинским условиям.

## 2 Описание программы

### А. Занятия по реорганизации рабочей силы и региональному развитию в Министерстве Энергетики США.

#### Отдел Реорганизации Рабочей Силы и Населенных Пунктов

Отдел Реорганизации Рабочей Силы и Населенных Пунктов Министерства Энергетики США был организован в 1993 году в ответ на требование Конгресса помочь рабочим и населенным пунктам, которых коснулось значительное сокращение ядерного оборонного комплекса США. Этот сектор работает напрямую с комитетами по использованию трудовых ресурсов, организованными на каждом затронутом сокращениями объекте. Отдел финансирует программы и проекты, разработанные в рамках планирования реорганизации населенных пунктов, а также деятельность представителей Министерства Энергетики на местах.

Штат МЭ достиг максимума в 1992 году, когда в нем по контракту работало 150000 человек. В 1993 году в министерстве ощутили избыток сотрудников. Решая эту проблему, МЭ старалось действовать справедливо, со всей признательностью относясь к работе своего персонала, проявляло о нем заботу, особенно о тех, кто оставался, помогало увольняемым в переобучении на новые профессии. В соответствии с федеральным законом, МЭ должно было заблаговременно сообщить всем о грядущих сокращениях, привлечь общественность к разработке планов реорганизации, обеспечить стимулирование рабочих с тем, чтобы максимально увеличить количество добровольно уволенных. Для этого МЭ предложило рабочим программу раннего выхода на пенсию, увеличенных выходных пособий, сохранения медицинских страховок и выплат на образование. Кроме этого, МЭ помогло разработать программы переподготовки рабочих для приобретения ими новых специальностей. Со времени своего пика в 1992 году, персонал МЭ уменьшился на 34000 работников.

В этот период перед МЭ стояла двойная задача: избавиться от людей, в чьих услугах оно больше не нуждалось, и в то же время оставить работников с квалификацией, необходимой для дальнейшей деятельности. Обычно в таких условиях первыми уходят лучшие сотрудники, и такое стимулирование добровольных увольнений приводит к потере квалифицированных кадров. Для достижения своих целей, МЭ предлагало увольняющимся от 50 до 100 процентов стандартной для промышленности США выплаты из расчета недельное жалование за каждый отработанный год. Удачей было то, что МЭ проводило сокращения в то время, когда экономика страны была на подъеме и существовало достаточное предложение рабочих мест. При этом МЭ достигло 80% -ного уровня добровольных увольнений.

Отдел Реорганизации Рабочей Силы и Населенных Пунктов выделил специальный персонал для организации своих отношений с общественностью населенных пунктов, где происходили существенные

сокращения. Осуществляемая Отделом стратегия представительства на местах включала разработку плана развития региона, определение важнейших проблем, широкое оповещение общественности, опросы общественного мнения и выяснение его нужд, а также подготовку руководящего состава для работы с широкими массами общественности. Целью данной стратегии было добиться поддержки общественностью происходящих процессов и ее доверия к Отделу.

Законодательной базой для деятельности МЭ по смягчению социальных и экономических последствий сокращений является Статья 3161 Закона о финансировании национальной обороны в 1993 году. По ней МЭ может выделять средства по четырем направлениям. Субсидии могут выделяться для помощи в организации Комитетов по использованию трудовых ресурсов (КИТР), для помощи КИТР в создании планов, для обеспечения оперативной помощи КИТР на ранней стадии их существования и финансирования отдельных проектов. Финансовая помощь планировалась именно под разворачивание деятельности КИТР, так как МЭ не хотело финансировать их нецелевыми грантами.

Обычно, общественности не хватает реализма в видении своего будущего. Некоторые думают о развитии новых центров современных технологий, как "кремниевая долина" в Калифорнии, забывая о масштабах и разнообразии фондов, которые лежат в их основе, и ресурсах, которыми обычно обладают такие центры.

Ключевыми моментами для успешной деятельности КИТР являются адекватные первичные ассигнования и взаимодействие с МЭ. КИТР нуждаются в хорошем менеджменте для разумного распределения средств по проектам и обеспечения необходимого уровня их рентабельности. КИТР должны четко определить свои цели, наметить конечные рубежи и найти источники финансирования, которые бы позволили перейти на самоокупаемость. Хорошо работающий КИТР является для МЭ единым пунктом, координирующим работу в регионе и направляющим финансовую помощь. Примерами КИТР могут послужить Совет по развитию Восточного Айдахо, TRIDEC в штате Вашингтон и Инициативная группа компании "Роки Флэтс" в Колорадо.

Избранные факты деятельности Отдела Реорганизации	
Бюджет в 1996 финансовом году	\$67 000,000
Расходы на управление	\$4 000,000
Примерные затраты на рабочих	\$42 000,000
Примерные затраты на населенные пункты	\$21 000,000

#### Совет по развитию Восточного Айдахо

В торгово-экономическом районе Айдахо-Фолс проживает около 250 тысяч человек, которые работают в области энергетики в Национальной Технической Лаборатории Айдахо (INEL), заняты сельским хозяйством, а

также в сфере отдыха и туризма. Имея максимальную численность рабочих в 1993 году на уровне 13000 человек, INEL снизила их состав до 8000 и предполагает дальнейшие сокращения в будущем.

В 1992 году представитель Министерства в INEL предупредил население, что вклад предприятия в местную экономику уменьшится на 40%. Первый раз с момента создания предприятия, среди его рабочих возникла неуверенность в будущей работе. Наилучшие стали уходить на другие фирмы. Тогда, с привлечением общественности, были выработаны совместные планы на будущее. В регионе проводились оценки местных ресурсов, анализ рынка труда и анализ вариантов будущего развития. Лидеры установили тесное сотрудничество с представительствами местного и федерального правительства, а также властей штата, и заручились их поддержкой в своих усилиях по реорганизации экономики.

Совет по экономическому развитию Айдахо-Фолс начал работать как некоммерческая организация, финансируемая местным капиталом, а не Министерством Энергетики. И только потом они подали заявку на получение субсидий от МЭ. Совет стремится быть самокупаемым. Его члены убеждены, что первым шагом к самообеспечению не может быть просьба о предоставлении денег. Совет обеспечил капитальные фонды для развития предприятий через помощь в создании промышленного парка. Он пытается достигать свои цели долговременного экономического развития за счет увеличения численности рабочих мест и компаний путем их создания, а не простого перемещения из других регионов. К настоящему моменту это принесло 350 новых рабочих мест в частном секторе по четырем направлениям деятельности и семь новых фирм.

#### **Совет экономического развития трех городов (TRIDEC)**

TRIDEC был основан в середине 80-х годов для помощи в экономическом развитии городов Ричленд, Кенневик и Паско, штат Вашингтон. Эти города, в обиходе называемые "Три-город" образуют урбанизированную зону на центральном юге штата Вашингтон, рядом с Ханфордской Атомной Охраняемой Зоной. Ричленд был основан в 40-х годах для размещения рабочих, занятых на производстве плутония, и с тех пор тесно связан с военными заказами (а в последнее время с выводом из эксплуатации и очисткой объектов). Влияние Ханфорда на экономику Три-города огромно: там занято 25 процентов местной рабочей силы, которые получают 45 процентов общей зарплаты. Однако, занятость в Ханфорде сокращается. После максимума, 19000 работающих в 1995 году, в прошлом году было сокращено 6000 рабочих мест, и сокращение, вероятно, продолжится темпами от 1500 до 2000 рабочих ежегодно, по мере продолжения вывода мощностей из эксплуатации.

Несомненно, Три-город нуждается в корректировке своих стратегических планов хозяйственного развития, чтобы отразить в них новые реалии Ханфорда. Для этого TRIDEC выделяет примерно треть своего бюджета на экономическую конверсию. Он создает новые возможности для "конверсии фондов", при этом под фондами подразумевается как рабочая сила, так и капиталы. Здесь TRIDEC внимательно следит за рынком. В каких фондах

нуждается промышленность? Кроме маркетинга, TRIDEC предлагает консультации по планированию и созданию новых предприятий в помощь Ханфордским инженерам и ученым. Такие предприниматели уже создали пять новых компаний, которые обеспечат занятость 350 человек в частном секторе.

TRIDEC отдает предпочтение малому и среднему бизнесу, вместо "монстров" с большим количеством рабочих. Отчасти, благодаря существованию в МЭ системы предпочтений при трудоустройстве, он также заботится, путем предоставления небольших кредитов и оказания технической помощи, о создании предприятий, владельцами которых являются женщины и представители национальных меньшинств. Несмотря на это, TRIDEC понимает, что экономическое развитие - это искусство, а не наука. Предложения проверяются независимыми экспертами, деловые предложения отвечают здравому смыслу, но результат не гарантируется.

### **Представительство в Роки Флэтс**

Роки Флэтс это оборонное предприятие, основанное 45 лет назад и специализирующееся на производстве компонентов ядерного оружия, в первую очередь, взрывателей для плутониевых бомб. Эта работа официально закончилась в 1992 году. На территории, где до сих пор хранится 13 тонн плутония, находится то, что телевидение и пресса называют пятью из девяти самых опасных зданий Америки. Гласность в отношениях с рабочими, населением и местными властями направлена на то, чтобы общественность в Роки Флэтс могла знать мнение акционеров о будущем объекта.

Роки Флэтс нуждается в реструктуризации рабочей силы из-за сокращений федерального бюджета и необходимости выполнять новую работу по дезактивации, выведению из эксплуатации и конверсии. Для достижения своих целей и в соответствии с текущим законодательством, Роки Флэтс прошла пятиэтапный процесс. Сперва был проведен анализ рабочих квалификаций, которые необходимо сохранить, и определено количество должностей, подлежащих сокращению. Исходя из этого, был разработан план реорганизации, после чего рабочим и населению было объявлено о предстоящем через 120 дней сокращении. Для стимулирования служащих были предложены программы добровольного увольнения, а тем, кто увольнялся принудительно, было вручено 60-дневное уведомление.

Ключевым для работников вопросом было сохранение за ними медицинских льгот. Увольняемым была предложена оплаченная годовая медицинская страховка, которая действует второй и третий год при оплате работником соответственно 50 и 100 процентов страхового взноса. Рабочим, желающим устроиться на других объектах МЭ, предоставлялось преимущество. Помощь в трудоустройстве оказывается также тем, кто пожелал устроиться в других секторах экономики, при этом субсидии на переселение достигали 4000 долларов, а расходы на обучение - до 5000 в год на человека в течение двух лет. К настоящему времени Роки Флэтс уволило 4333 сотрудников, затратив на это 79,6 миллионов долларов, или примерно 18000 долларов на человека. Из-за бюджетных ограничений выплаты

увольняемым будут, вероятно, уменьшаться Рассматривается введение многоступенчатой системы выплат для тех, кто пришел на предприятие до 1992 года Получившие статус "солдат холодной войны" смогут получить дополнительные льготы

Сокращение производства на Роки Флэтс и связанные с этим затраты		Сотрудники	Стоимость
1994	Добровольно	1486	\$ 31,902,367
	Принудительно	496	\$ 5,254,203
1995	Добровольно	1137	\$ 23,429,022
	Принудительно	367	\$ 4,707,081
1996 (по состоянию на август)	Добровольно	586	\$ 11,861,428
	Принудительно	261	\$ 2,474,598
Всего		4333	\$ 79,628,699

Средние затраты на человека	\$18377
Средняя стоимость обучения	\$1800
Средние затраты на медицинскую страховку (за два года)	\$1336
Средняя помощь на переселение	\$400

#### Государственный экспериментальный проект конверсии (NCPP)

NCPP это программа повторного использования, призванная продемонстрировать техническую и экономическую возможность полезного применения производственных объектов Роки Флэтс Здание 833 - пример объекта с радиоактивно загрязненным промышленным оборудованием, таким как прессы и прокатные станы, которое может быть дезактивировано и использовано в дальнейшем Другие материалы внутри здания, которые не могут быть использованы, должны быть очищены и пройти переработку Проект, который начался в 1994 году, прошел стадию планирования и сейчас находится на второй стадии - очистка, восстановление и проверка процессов Впереди финальный этап - приватизация и коммерческое использование объекта

Проект ведет Manufacturing Sciences Corporation по контракту с Министерством Энергетики На нем занято 180 человек, уволенных с Роки Флэтс В рамках проекта трубчатые контейнеры с отходами трансурановых элементов отправляются на проверку в Национальную лабораторию Сандиа в Альбукерке На коммерческой стадии проекта NCPP эти контейнеры, выполненные из незначительно радиоактивного металла будут изготавливаться на месте для использования в Экспериментальном проекте по выделению материалов из отходов в Карлсбаде, Нью Мексико

### **Инициативная группа по изучению влияния Роки Флэтс на местную экономику**

Инициативная группа - организация в составе Роки Флэтс, которая занимается вопросами перепрофилирования местной экономики и базируется в прилегающем к предприятию городе Арвада, Колорадо. Группа сотрудничает с разнообразными общественными организациями, подготавливая их к окончательному уходу Министерства Энергетики из Роки Флэтс. Ниже приводятся некоторые примеры.

Производственная Академия Роки Маунтин воспользовалась возможностью приобрести у Роки Флэтс современные обрабатывающие станки и теперь использует это оборудование в районе большого Денвера. Академия намеревается предложить программу обучения для инженеров и техников и дать местным студентам возможность разрабатывать программное обеспечение для управления современными станками.

Центр предпринимательства при университете Колорадо ведет программу развития предпринимательских ресурсов. Программа нацеливает отдельные отрасли на наиболее важные задачи, такие, как высокотехнологичное производство, медицинская аппаратура и телекоммуникации. Главная задача программы - предоставление информации, в частности, исследования рынка, планирование, патентный, юридический, бухгалтерский анализ, для новых или расширяющихся предприятий. Также важным элементом программы является координация усилий разных участников процесса экономического развития: общественных групп, правительственных чиновников, образовательных учреждений и некоммерческих организаций. Несмотря на первоначальное сопротивление, такая координация расширяется, и индивидуальные усилия в зоне большого Денвера сейчас стали более эффективными.

Городской колледж "Фронт Рэйндж" в Вестминстере, Колорадо, имеет центр содействия малым предприятиям и международному развитию, который обслуживает жителей городов, расположенных вблизи "Роки Флэтс". Этот центр, как и многие другие аналогичные центры США, существующие частично за счет грантов Министерства Торговли, дает консультации тем гражданам, которые собираются открыть свое дело. Исследования показывают, что человек может быть хорошим специалистом в определенной области или ремесле, но у него нет навыков и склонностей для того, чтобы стать хорошим бизнесменом. Обычная проблема для начинающих свое дело - недостаток управленческого опыта и отсутствие личных качеств, необходимых для успеха. Опыт США показывает, что удачливые бизнесмены имеют независимый характер, любят работать самостоятельно, проявляют инициативу при составлении планов и достижении целей, имеют хорошие организаторские способности.

Среди других организаций, которые тесно сотрудничают с Инициативной группой Роки Флэтс, можно назвать центры занятости штата Колорадо, власти профсоюза квалифицированных рабочих, члены которого заняты на производственных участках Роки Флэтс, местные агентства экономического развития и Торговую Палату.

**Отдел межправительственных связей и связей с общественностью, Отдел природоохранных работ**

Министерство Энергетики за последние 10 - 15 лет прошло путь радикальных изменений. До 80-х годов министерство работало в обстановке строгой секретности и контролировало доступ к информации как внутри министерства, так и извне. Такая практика была установлена еще при работах над ядерным оружием в военное время. В 1950 - 1960 годах Министерство начало переходить от строгого контроля за информацией к связям с общественностью. Целью этой работы было информирование населения, подчеркивая те сведения, которые показывали организацию в наиболее выгодном свете. Уже в 70-х годах некоторые отделы министерства начали переходить к практике общественного участия, движению, которое набрало силу в конце 80-х годов, а в 1990-х годах стало официальной политикой министерства. Общественное участие означает содействие общественности в ее усилиях повлиять на принимаемые министерством решения.

Министерство энергетики поощряет общественное участие по многим причинам. Оно укрепляет демократические ценности, помогает министерству быстрее принимать решения, уменьшает противоречия вокруг принимаемых решений, снижает количество судебных тяжб против министерства и делает работу управленческого персонала более интересной. Не все в министерстве восприняли общественное участие сразу и с одинаковым энтузиазмом, и до сих пор некоторые сотрудники сопротивляются этой идее. Среди их аргументов - отсутствие четкой политики, что серьезно затрудняет связи с общественностью, слабая поддержка на некоторых уровнях руководства, неопределенная политика и процедуры принятия решений, убежденность отдельных сотрудников в том, что делиться информацией значит делиться властью, нежелание тратить на это деньги и время, отпущенные на осуществление проектов.

Во время работы с менеджерами министерства по внедрению системы общественного участия, в министерстве были найдены специальные рычаги, которые помогают преодолеть инерцию. Необходимо четко определять направления политики. В организацию необходимо набрать специальный персонал по работе с общественностью, остальные должны пройти соответствующий курс. Высшее руководство должно стать образцом для подражания и лично посещать собрания, если они являются теми ответственными за принятие решения лицами, с которыми общественность ищет встречи. Организации, которые желают продвигать систему общественного участия, должны установить исполнительские нормы, а также требования к квалификации руководства и персонала, и отбирать наиболее успешных. Затем они должны определять круг сотрудников, которые будут иметь право совершать ошибки, работая с общественностью. Особая стратегия МЭ в расширении общественного участия включала поиск лидеров, которые верили в эту систему и были готовы служить образцом, работу на всех уровнях организации и приглашение в качестве консультантов и преподавателей специалистов извне.

## **Б Занятия по конверсии и восстановлению окружающей среды в Министерстве Обороны**

### **Отдел перепрофилирования экономики (ОПЭ), Управление Министра Обороны**

Отдел перепрофилирования экономики выполняет в Министерстве Обороны примерно те же функции, что и Отдел реорганизации рабочей силы и населенных пунктов в Министерстве Энергетики США. В случае Министерства Обороны воздействие на населенные пункты ощущается, когда закрываются ставшие ненужными военные объекты. Обычные экологические проблемы в местах закрываемых военных баз - это почва, загрязненная нефтепродуктами и промышленными растворителями и асбест, содержащийся в зданиях. Если эти проблемы решаются на уровне федеральных стандартов и стандартов штатов, местное население, как правило, с энтузиазмом участвует в экономическом развитии этих объектов.

ОПЭ, так же как Министерство Энергетики, предпочитает работать с одной государственной или частной организацией по территориальному развитию, которая может взять на себя активную роль при принятии решений по будущему использованию военных баз. В эти организации должны входить представители различных слоев общественности, в частности, выборные представители, лидеры деловых кругов, представители населения и банкиры. Они должны хорошо представлять свои цели и реально оценивать сильные стороны своих территорий, такие как промышленные и природные ресурсы, предприятия, школы и учреждения здравоохранения. При технико-экономическом обосновании вариантов хозяйственного развития они также должны учитывать свои слабые места. Принятый вариант должен быть выгодным как в плане местной, так и глобальной конкуренции.

Рассматривается опыт двух различных местностей, которым предстояло реформирование местной экономики. Население одной территории, в которую входили три административные единицы штата Массачусетс, расположенные вокруг военной базы Форт Девин, преодолело традиции изолированности и независимости и объединилось вокруг общей стратегии экономического развития. В процессе тесного взаимодействия со всеми тремя городками, организаторы переходной экономической программы определили направления, предложили планы и создали общий документ, который получил одобрение населения всех трех пунктов. Для контраста, на бывшей базе ВВС Рикенбэкер, Оагйо, дела обстояли намного хуже. Видение развития территории было фрагментарным, отсутствовало сильное руководство всего процесса возвращения территории в хозяйственный обиход. К выполнению программы были допущены частные застройщики без соответствующего контроля за собственностью и за уровнем финансирования. После того, как собственность простояла без дела десять лет, местные лидеры решили попробовать снова, но к тому времени некоторые ключевые участки земли были проданы и место было признано неподходящим для повторного развития.

В практике деятельности ОПЭ существует много связанных задач, стоящих

перед территориями, занятыми переводом больших участков земли от одного вида хозяйственной деятельности к другому Это можно проиллюстрировать на следующей диаграмме



### Администрация развития района Лоури

Администрация развития района Лоури (АРЛ) в настоящее время руководит конверсией на бывшей базе ВВС США Лоури, Колорадо На базе, до 1991 года, когда было объявлено о ее закрытии, работало 7000 человек После первоначального шока и разочарования, местные жители выразили озабоченность по поводу будущего движения автотранспорта, будущего использования земли и ее экологического состояния Так как территория затрагивала два населенных пункта, Денвер и город Аврора, руководство ВВС пригласило представителей обоих городов к сотрудничеству при планировании В результате была создана Консультативная Гражданская Группа, находящаяся под совместным управлением, и Администрация развития региона, которая координировала работу проектировщиков, консультантов и инженеров, финансирующуюся из федерального бюджета После 18 месяцев работы, сотен встреч и многочисленных дебатов, появился план развития региона, который нашел поддержку у населения План предусматривал застройку района частными жилыми домами и дальнейшее использование существующего жилого фонда, строительство нового образовательного центра, деловое использование части базы, а также сохранение и расширение существующей территории общего пользования и рекреационных зон

Задача АРЛ по продаже земли под новое строительство облегчалась общим экономическим подъемом, который переживал район Денвера с начала 90-х годов Время и последовательность действий по реформированию региона были бы совсем другими при других экономических условиях региона Через несколько лет, когда развитие завершится, АРЛ надеется заменить 7000 рабочих мест на авиабазе таким же, или даже большим количеством мест в других секторах Для этого АРЛ нацелена на деятельность,

связанную с телекоммуникациями, биомедицинским оборудованием, программным обеспечением, финансовыми услугами и обучением, ориентированным на деловую активность. В завершённом виде эта территория будет урбанизирована, иметь смешанное использование и продуманное планирование. Её жители смогут там "жить, учиться, работать и отдыхать", - все это в пределах автономной урбанизированной территории в центре большого Денвера.

### **Арсенал Роки Маунтин**

Арсенал Роки Маунтин (АРМ) в районе Денвера поставил отличную от других задачу конверсии после того, как в начале 80-х военные осознали, что им придется взять на себя огромные природоохранные мероприятия в данном районе. Объект использовался Вооруженными Силами для производства элементов химического оружия с 1942 по 1969 год, а часть территории использовалась для промышленных химических работ с 1952 по 1982 год. В 1989 году работы, которые армия проводила по очистке территории, стали регулироваться Законом о полной природоохранной ответственности и компенсации нанесенного природе ущерба. Несмотря на то, что закон предусматривал полную очистку территории, а затем уже принятие решения по ее дальнейшему использованию, Конгресс взял этот процесс на себя и принял в 1992 году специальный закон, по которому АРМ должен в будущем стать природным заповедником. Последующие переговоры с Национальным Агентством по охране окружающей среды, правительством штата, местной общественностью и другими заинтересованными сторонами закончились подписанием в 1996 году решения, которое определяет шаги военных и компании Shell Oil Company по защите здоровья населения и подготовке территории объекта для организации там заповедника.

Среди экологических проблем на арсенале выделялись загрязнение грунтовых вод, которые, вытекая за территорию объекта, портили почву местным землевладельцам, а также чрезвычайно загрязненный бывший бассейн с отходами. Стратегия окончательного оздоровления территории предусматривает обработку, отверждение и закупоривание отходов с сооружением барьеров, препятствующих дальнейшему распространению загрязненных грунтовых вод.

В случае с АРМ, участие общественности привело к росту среди населения заинтересованности в знаниях, связанных с очисткой территории, и помогла техническому персоналу АРМ лучше понять пожелания населения. Эти пожелания, там где возможно, были включены в общую стратегию очистных работ, одобренную на федеральном уровне. В качестве примеров можно привести решение использовать имевшуюся на объекте муфельную печь только для уничтожения жидкостей, извлеченных из бассейна F, а затем демонтировать ее. Или предложение расширить медицинский контроль при некоторых видах природоохранных работ. В решении некоторых крупных вопросов влияние общественности было более ограниченным. Это иногда вызывало трения между акционерами. Например, в 1989 году администрация штата Колорадо, по ряду технических и правовых причин решила не подписывать Договор об объектах

федерального подчинения, по которому работам на данной территории отдавалось предпочтение, а также предусматривались научные исследования для планирования финальной стадии работ по очистке. В результате, договор выполнялся армией, компанией Shell, EPA и другими федеральными организациями без формального утверждения властей штата. Позже, в процессе работ, другие варианты будущего использования земли были надежно заблокированы решением Конгресса об использовании арсенала только в качестве природного заповедника.

История деятельности АРМ по очистке и повторному использованию объектов показывает, что решения должны приниматься на самом высоком уровне политических интересов и устремлений. В случае с РМА Конгресс взвесил варианты и сделал выбор, исходя из общенациональных приоритетов и интересов, а также основываясь на мнении заинтересованных сторон в Колорадо. Привлечение местной общественности позволило населению лучше понять сложные технические вопросы, а также привело к ряду существенных поправок к стратегии выполнения работ. В конечном итоге, процесс оказался достаточно всеобъемлющим, чтобы добиться одобрения населением условий выполнения окончательной очистки и плана дальнейшего использования региона.

### **В Занятия по экономическому развитию на примере штата Пенсильвания**

Штат Пенсильвания приобрел значительный опыт, работая с населенными пунктами, потерявшими работу и доходы из-за сокращений в основных отраслях промышленности. Реструктуризация сталелитейной промышленности, например, существенно затронула много городов в западной Пенсильвании. Одни справились с изменениями лучше других. Ключевая составляющая успеха более удачливых из них - то, что они хорошо представляли, ради какого будущего работают. Всем пришлось рассмотреть возможные варианты экономического развития, переносить к себе рабочие места извне, увеличивать масштабы рабочей силы на существующих в городах предприятиях или создавать новые предприятия. Последний вариант лучше отвечает задачам развития территории, но требует наибольшего времени. Опыт также показывает, что несмотря на желательность планирования, правительство или соответствующие агентства должны дать предпринимателям достаточно свободы действовать самостоятельно.

Много городов, столкнувшихся с внезапными экономическими трудностями, начинают обращаться за помощью к высоким правительственным инстанциям. В Соединенных Штатах, предложение о помощи, если такое бывает, часто поступает в виде общественных работ, как правило для улучшения инфраструктуры. Эти работы могут иногда вестись в неверном направлении, и в результате население не получает никаких преимуществ для конкуренции. В качестве примера можно указать случай с зоной Харрисбурга после аварии на станции Тримайл Айленд в 1979 году, когда ей дали возможность подать заявку на получение государственной помощи. Местные лидеры не могли прийти к согласию по многим предложениям, одно из которых было обеспечить постоянное

финансирование кафедры современного материаловедения в местном университете Помощь пришла в виде строительства двух дополнительных полос моста через реку Саскуэханна Через десять лет эти две полосы ничего не значили для города, который потерял возможность приобрести собственный опыт в научной дисциплине, способной привлечь инвестиции на научно-исследовательскую работу и на создание высокооплачиваемых рабочих мест

Авария на Тримайл Айленде привела к остановке одного реактора и потере соответствующих рабочих мест Несколько уволенных сотрудников придумали, как использовать эффект охрупчивания в реакторе под действием нейтронного излучения для неразрушающего контроля современных материалов В результате они открыли новую компанию, которая частично компенсировала экономические потери для города

Один более бедствующий район западной Пенсильвании нашел прогрессивное решение проблем своего развития После ухода основного работодателя района, в Шенанго Вэли был 25%-й уровень безработицы, резко выросла преступность, начался отток населения и прекратился экономический рост Ухватившись за предложение о государственной субсидии, в городе основали возобновляемый фонд развития с целью предоставления займов местным предприятиям После получения 5-миллионной субсидии от штата, местная организация, отвечающая за развитие, создала 4-миллионный фонд развития и начала привлекать к участию частные фонды, а в конце концов, и федеральное правительство Для управления фондом был создан комитет, который принимал решения по поводу участия в предоставлении займов предприятиям, которые находились или расширялись в этом районе Работая совместно с другими кредиторами, такими, как банки фонд, как правило, брал на себя роль дополнительного обеспечения и поддерживал ставку на уровне, доступном для заемщика Кредиторский комитет фонда требовал, чтобы под каждые 15 000 долларов основной суммы займа создавалось или сохранялось одно рабочее место, причем работа должна быть "высокого качества" Под этим подразумевалась работа с полной занятостью с зарплатой, обеспечивающей необходимый стандарт жизни, и основными льготами, такими как медицинское обслуживание Под этот критерий не попадали ссуды для создания рабочих мест в розничной торговле и сфере услуг Особенно поощрялись работы, связанные с экспортом продуктов за пределы региона, которые таким образом создавали приток денег в населенные пункты Сейчас фонд уже больше, чем он был в начале, и достиг таких же уровней ставок за неуплату займа, какие устанавливают хорошие банки Более того, местность, которая объединилась вокруг стратегии своего экономического реформирования имеет уровень безработицы ниже, чем средний по штату, исключительно низкую преступность и ощущает приток населения

#### **Г Занятия по устранению последствий аварий и по здравоохранению на примерах Тримайл Айленд и Роки Флэтс**

##### **Пенсильванское бюро радиационной защиты**

Авария на Тримайл Айленд в 1979 году серьезно повлияла на будущее

гражданской ядерной индустрии Соединенных Штатов Три главных урока, которые преподнесла авария, были усвоены, что отразилось на федеральном регулировании и на подготовке к аварийным ситуациям на уровне штата Первый урок - то, что электростанция в то время имела очень сложную систему взаимодействия человек-машина, в которой было слишком много предупредительной аварийной сигнализации Положения и практика, принятые с тех пор, позволили существенно улучшить системы зала управления и уменьшить однотипные сообщения, которые можно перепутать Урок второй - очень слаба подготовка операторов Они были проинструктированы вслепую следовать процедурам без глубокого понимания того, что они делают и возможных последствий этих действий И третье - необходимо улучшить подготовку к аварийным ситуациям

Штат Пенсильвания извлек пользу из третьего урока, установив новые процедуры Там определили, что им нужно, чтобы всегда представлять себе состояние атомных реакторов, и за каждым реактором закрепили инженера-атомщика, находящегося на службе штата Штат также счел необходимым улучшить систему связи, например, организовать выделенные телефонные линии И наконец, там осознали, что все стороны, связанные со станцией должны разговаривать с общественностью с одного голоса, и организовали совместный информационный центр при Аварийном центре управления штата

Кроме своей задачи контроля за ядерными объектами штата, Бюро радиационной защиты отвечает за участие Пенсильвании в Аппалачском Региональном Договоре по утилизации низкорадиоактивных отходов Заключение таких договоров было оговорено решением Конгресса в 1980 году По нему каждый регион (компакт) должен был установить одно или более мест захоронения низкорадиоактивных отходов Из-за общественного резонанса и наследия, оставленного плохо функционирующими местами захоронения отходов, это оказалось намного сложнее, чем представлялось Конгрессу Теперь, более чем через пятнадцать лет, Пенсильвания все еще выбирает место захоронения Сейчас появилась надежда, что новый "План сотрудничества регионов" преодолет местное сопротивление нежелательному использованию земли По новому плану населенным пунктам или территориям предлагаются существенные экономические стимулы для организации у себя такого места, а кроме этого, предлагается защита от вредного влияния на экономику регионов и здоровье населения

#### **Отдел охраны здоровья и окружающей среды штата Колорадо**

Отдел охраны здоровья и окружающей среды штата Колорадо (далее Отдел) взял на себя ретроспективные исследования воздействия на население радиации от Роки Флэтс для того, чтобы создать открытую историю радиоактивных утечек, оценить дозу, полученную населением, и риск его здоровью, а также определить возможную необходимость в

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\* Региональный договор заключается несколькими штатами для совместного решения проблем В Аппалачский договор, или компакт входят Пенсильвания, Зап Вирджиния, Мэриленд и Вирджиния

эпидемиологических исследованиях Данные исследования финансируются Министерством энергетики США, но проводятся частным подрядчиком под наблюдением властей штата Колорадо

На первой стадии исследования, Отдел выделил в качестве наиболее опасных веществ несколько радиоактивных изотопов и промышленных растворителей, а также бериллий Исходные компоненты загрязнения, как было обнаружено, появлялись по причинам рутинных утечек, аварий или неправильного хранения отходов Наибольшие три из них - это периодические утечки тетрахлорметана, пожар 1957 года, во время которого произошла утечка плутония, и распыление в воздухе пыли при выкапывании протекающего контейнера с жидкими отходами, зараженными плутонием Оценки полученной дозы производились по различным источникам информации, но все еще оставляют большую неопределенность Определение степени риска производится для того, чтобы получить обоснования для дополнительных эпидемиологических исследований Текущие оценки утечек на данном объекте сравнительно малы

С самого начала Отдел много внимания уделял общественному участию для того, чтобы добиться доверия публики к результатам исследований Отдел привлекал второго подрядчика для проверки результатов, приведенных в отчете первого подрядчика, время от времени издает информационные бюллетени и проводит встречи с общественностью, что придает процессу открытость и гласность В Отделе пришли к выводу, что публика без труда воспринимает данные с указанием больших утечек, и очень скептически относится к сообщениям о незначительных выбросах Таким образом, Отдел издает большое количество письменных материалов, в том числе ежеквартальную газету и периодические буклеты, содержит представительское бюро и рассылает информацию через Всемирную компьютерную сеть

Сектор радиационного контроля Отдела тщательно отслеживает уровень радиации в штате Колорадо Им было обнаружено увеличение уровня излучений почвы при приближении к Роки Флэтс с востока на запад по направлению ветра Есть, однако, в этой зоне участки, где обнаруживаемые уровни плутониевого загрязнения не превосходят среднего для США фона, который является следствием атмосферных испытаний ядерного оружия во всем мире В целом, уровень радиации за пределами зоны относительно низок

#### **Д Практические занятия с украинскими участниками - экспериментальная ситуация**

Украинская делегация на заключительном этапе обучения приняла участие в ролевом ситуационном моделировании Целью занятия было освоить практическое использование информации которую получили участники, и обеспечить основу для обсуждения пройденного материала и применения его к реальной ситуации в Украине

Участники получили материалы по экспериментальной ситуации вскоре

после прибытия в Соединенные Штаты для того, чтобы у них была возможность заранее хорошо познакомиться с упражнением, которое было запланировано на последний полный день тура. В материалах содержалось изложение целей упражнения, информация о том, как их необходимо добиваться, описание сценария и пяти российских персонажей, а также баланс (вымышленного) предприятия, которое предстояло обсуждать.

### Роли и сценарий

Тринадцать участников играли сами себя - украинских представителей, которые получили подготовку по реорганизации рабочей силы и территориальному развитию. Оставшиеся пять участников играли роль представителей российского руководства, которые приехали в Украину для получения консультаций от украинской стороны. Среди российских представителей - генеральный директор подлежащего закрытию ядерного объекта в Челябинской области, заместитель директора этого объекта по экономике, заместитель министра среднего машиностроения из Москвы, заместитель главы Челябинской областной администрации, отвечающий за охрану окружающей среды, и представитель профсоюзов, который представляет интересы как рабочих, так и местного населения. Характеристики каждого представителя, его интересы и взаимоотношения с другими членами делегации приведены в материалах к занятию.

В соответствии со сценарием, Правительство Украины согласилось на просьбу Правительства России провести семинар с российскими представителями по вопросам перепрофилирования рабочей силы и территориальной экономики. Украинские эксперты, проводящие семинар, недавно вернулись из учебного тура по США по данному вопросу. Российская делегация просит дать рекомендации по проведению реорганизации экономики города в Челябинской области, который находится в ожидании закрытия ядерного предприятия. Город зависит от этого объекта как работодателя и организации, предоставляющей социальные услуги. Попытки приватизировать не привлекли покупателей. Предприятие раздирают вопросы утилизации отходов, а также утечек радиоактивных и вредных химических веществ. Министерство среднего машиностроения и Министерство Финансов потребовало разработать предложения по использованию рабочей силы и перепрофилированию местной экономики.

### Описание занятия

Участники разбиваются на две группы - одна представляет российскую делегацию, вторая - украинских консультантов. Каждая группа имеет примерно 30 минут для подготовки к семинару. Российская делегация использовала это время для того, чтобы войти в образ. Каждый представитель сделал заявление и определил тему по которой он желает получить консультацию. Группа также выбрала форму для своей презентации: заместитель министра, руководитель наиболее высокого ранга, является главой делегации, он произносит вступительное слово, представляет делегатов и дает каждому возможность высказаться. Тем временем, украинская сторона использует 30 минут для организации своего

выступления Они обозначают четыре темы, которые будут освещены, и выбирают выступающего по каждой теме Темы следующие (1) стратегическое планирование, (2) экономическое развитие и создание новых предприятий, (3) экологические условия, (4) участие общественности

Затем все участники пришли на семинар Российская делегация представила свои вопросы, а украинская попросила уточнить некоторые детали Россия желала получить рекомендации по следующим вопросам

- Как Вы поступаете с высококвалифицированными рабочими, которых приходится увольнять? Финансируете ли Вы их переобучение?
- Как Вы обращаетесь к Правительству за помощью для перевода рабочих на другие работы? Какие виды планов для этого нужны?
- Как ищутся инвесторы для поддержания новых предприятий на первом этапе их деятельности?
- Как Вы получаете исчерпывающую информацию об экологических нарушениях в регионе? Может ли Украина помочь в компьютерном моделировании загрязнений и заражений?
- Люди относят свои проблемы со здоровьем за счет находящихся рядом объектов, а официальная медицина утверждает, что эти вещи не связаны Что Вы делаете, чтобы публика удовлетворительно восприняла ваше решение о том, относится ли медицинская проблема к данному конкретному объекту?
- Как смягчается психологическая ноша, связанная с потерей работы?
- Как предотвращается недовольство среди молодежи, которая видит, что их родители теряют работу и их образование и квалификация больше не нужны?

Затем наступила очередь украинской стороны Выступающие применяли американский опыт к ситуации, описанной российской делегацией (например, сделав импровизированный анализ сильных и слабых сторон, возможностей и трудностей, стоящих перед предприятием) Выступающие сосредоточились на следующем

- Население и рабочие должны принимать активное участие в своем собственном спасении, они не могут ждать бесконечной помощи со стороны правительства Основная роль в реструктуризации принадлежит региональному и местному уровням
- Правительство может помочь в организации предприятий, но как только предприятие стало на ноги, оно должно отказаться от зависимости от правительства
- Интересы производства должны быть согласованы с населением региона, в котором оно работает

- Для помощи в конверсии предприятий и переквалификации рабочих требуется законодательный фундамент, для поддержания этого процесса необходимо ассигновать ресурсы
- Хорошим инструментом для определения направлений развития может служить стратегический план, в котором анализируются сильные и слабые стороны, возможности и трудности

Ключевым фактором является взаимодействие с общественностью. Об этом должны помнить руководители всех рангов

Заключительная дискуссия применимость опыта США к украинским условиям

В конце занятий участники вышли из роли российских представителей и украинских консультантов и обсудили применимость предложений, прозвучавших во время моделирования, к ситуации в Украине. Было высказано следующее

- Анализ сильных и слабых сторон, возможностей и трудностей является хорошим средством как в США, так и в Украине
- Украина знает, что надо делать и как делать, но главный вопрос, как всегда, откуда брать деньги?
- Несмотря на то, что население Украины волнуют те же проблемы и вопросы, что и американцев - то есть, здоровье, работа, состояние окружающей среды, - место общественности и ее активность в Украине существенно отличаются. Население Украины намного менее организовано, и хотя в Украине достаточно активистов, взаимодействие между правительством и общественными группами слабое
- Информационные технологии Украины являются сдерживающим фактором
- Американский подход к развитию регионов предполагает рыночную экономику и здоровую среду для развития предпринимательства. В Украине до сих пор нет законодательной базы, необходимой для стимулирования деловой активности. Однако, принятие новой конституции подтверждает, что поворота назад уже не будет, что Украина находится на пути к рыночной экономике
- Переселение рабочих в США означает, что они могут найти работу в любом другом месте. В Украине существуют дополнительные проблемы, такие как нехватка жилья и система прописки
- В некоторых моментах ситуации просто несравнимы. Например, когда Маргарет Тэтчер закрыла шахты в Англии, пострадало несколько тысяч рабочих, и правительство смогло обеспечить хорошую компенсацию. В Донбассе число затронутых закрытием шахт может составить миллионы, и здесь, так же как везде, Украина стоит перед проблемой финансовой компенсации, переподготовки рабочих и их переселения

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**Key to Photographs on Facing Page**

**A**—On their first full day in the US, participants pause for a picture on the steps of the US Capitol. Seated from left are Iryna Opaleva, Tamara Andrychuk, Lyudmila Chmatok, and Mark Gotsdyner. Standing, from left, are Henadiy Klymenko, Yakov Zaslavsky, Julia Tretyak, Valentina Demtchenko, Jouri Kolbouchkine, Gennadiy Yaroslavtsev, Lyudmila Zabudskaya, Iryna Meleshko, Petr Slynko, Volodymyr Kryvenko, Futurepast's John Shideler, and Anatoliy Pysarenko.

**B**—Mark Gotsdyner and Tamara Andrychuk pose in front of the deactivated cooling towers from Three Mile Island's unit 2.

**C**—Participants listen to a guest speaker at the Comfort Inn in Denver.

**D**—Gary Horvath, Market Analyst at the University of Colorado Business Advancement Center, makes a point while addressing the Ukrainian delegation at the Arvada, CO, offices of the Rocky Flats Local Impact Initiative.

**E**—Anatoliy Pysarenko and Vladyslav Gavrylin stand near the top of a natural amphitheater at Red Rocks State Park near Morrison, CO.

Appendix F Photographs



**SOCIAL IMPACT OF CLOSURE OF CHERNOBYL NUCLEAR POWER PLANT**

**SUSTAINABLE DEVELOPMENT OF SLAVUTICH  
WORKSHOP - DECEMBER, 1995  
ZELENEY MYS, UKRAINE**

**PRESENTATION: U.S. EXPERIENCE DEALING WITH SOCIAL COSTS OF CLOSING  
NUCLEAR FACILITIES.**

**PRESENTED BY: MARY HARRIS AND BERNARD KELLY, HAGLER BAILLY  
CONSULTING, INC.**

## **SUMMARY OF U.S. EXPERIENCE WITH PLANT SHUTDOWNS**

- 1. Military Base Closure and Realignment Projects**  
**Office of Economic Adjustment, Department of Defense**
- 2. Defense Nuclear Facility Downsizing and Closure Projects**  
**Office of Worker and Community Transition, Department of Energy**
- 3. Commercial Nuclear Power Plant Shutdowns**  
**private sector**

## **NUCLEAR PLANT SHUTDOWN AND CLOSURE PROCESS**

### **Experience with Social Impacts of Plant Shutdowns**

- ▶ **Number of people unemployed**
- ▶ **Community economies affected**
- ▶ **Involvement of national and state government**
- ▶ **Use of property after closure**
- ▶ **Other information**

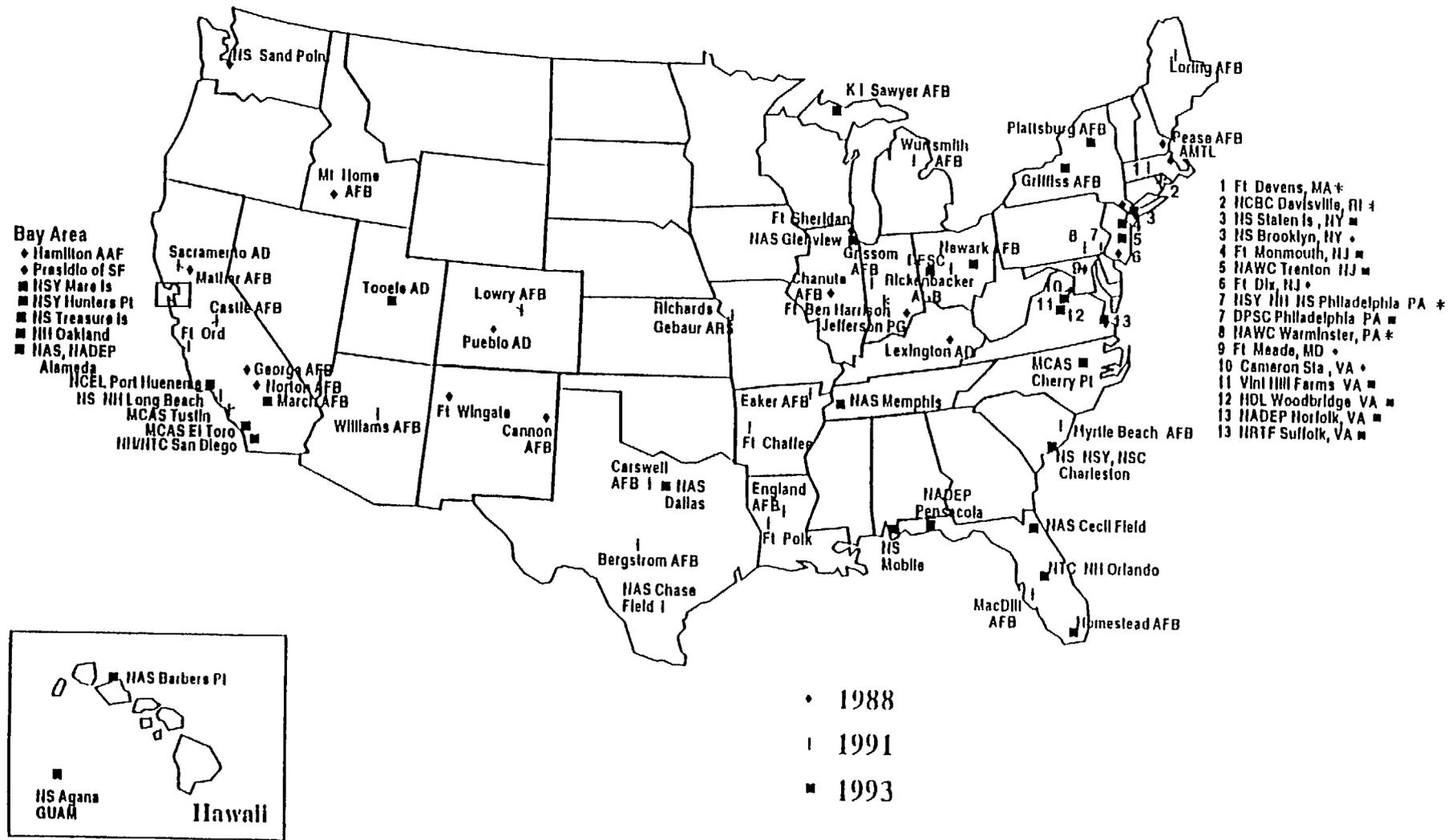
**Social Programs used in the United States to help alleviate the impact of plant shutdowns:**

- ▶ **Unemployment Compensation and Job Service**
- ▶ **Job Training and Education**
- ▶ **Pension and Welfare**
- ▶ **Company Severance Pay**
- ▶ **Local Economic Development and Reemployment**

## **U.S. MILITARY BASE CLOSURES AND REALIGNMENTS**

- ▶ **Since 1988, closing or realignments at 295 bases (70 major)**
- ▶ **Many closures make available large buildings, land, airports, docks**
- ▶ **Many bases are in remote locations**
- ▶ **Workers affected range from 70 to 10,000 at each base**
- ▶ **30% reduction in personnel and 15% reduction in budget**
- ▶ **Community and government planning is critical. Transitional and long range plans work well in many cases.**
- ▶ **Begin early to involve workers, their families, and community leaders.**
- ▶ **Accept reality**

# OEA Base Closure & Realignment Projects 1988, 1991 & 1993



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## **DEFENSE NUCLEAR FACILITY DOWNSIZING AND CLOSURES**

**More than 19,000 workers will be affected in 1995 and 1996 as the defense nuclear production decreases in various locations throughout the country.**

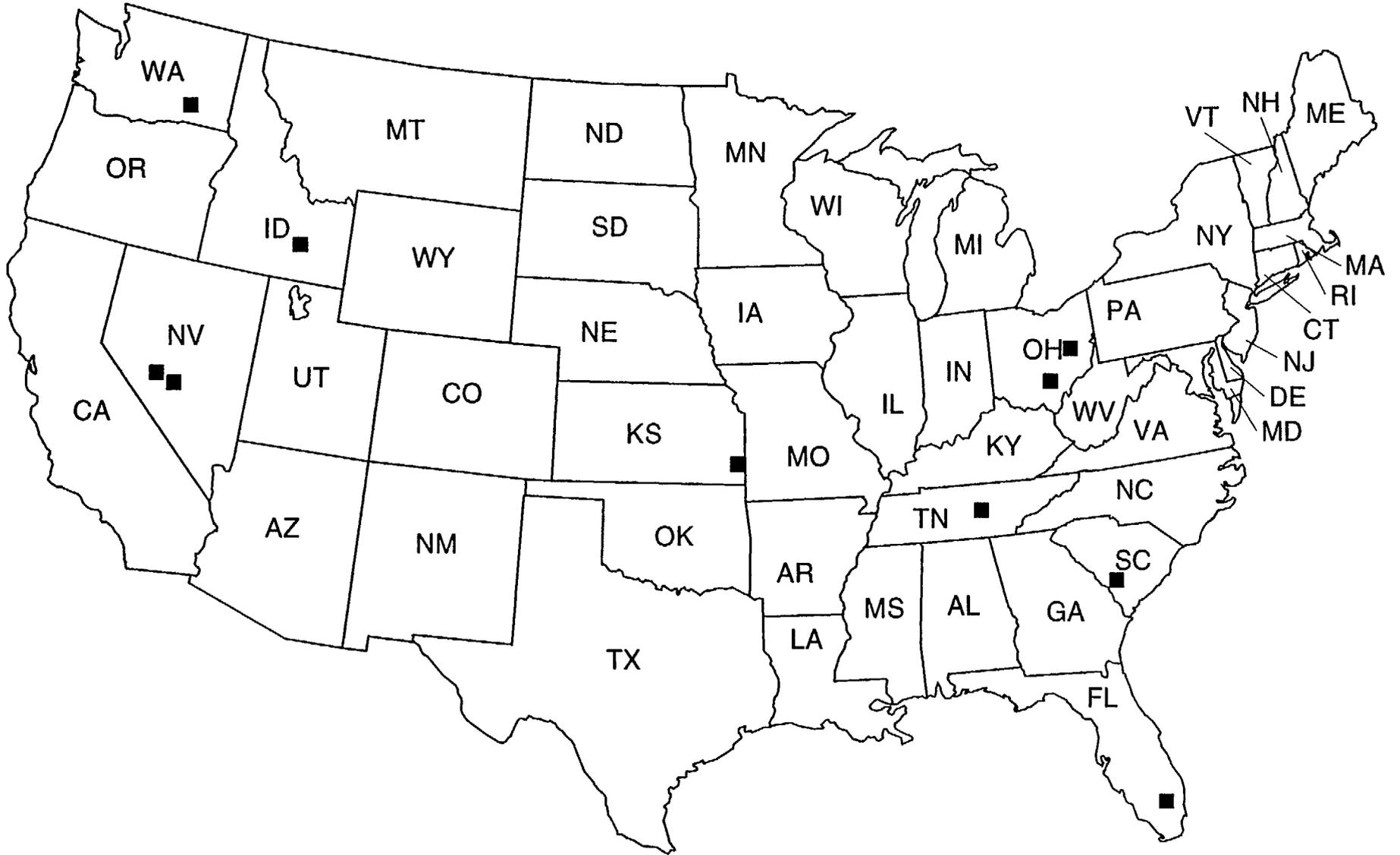
**Some of the communities which are facing large job losses are in remote areas, such as:**

<b>Richland, Washington</b>	<b>4,800 workers</b>	<b>120,000 residents</b>
<b>Aiken, South Carolina</b>	<b>4,200 workers</b>	<b>125,000 residents</b>
<b>Rocky Flats, Colorado</b>	<b>2,400 workers</b>	<b>740,000 residents</b>

## **SOCIAL PLANS FOR DEFENSE NUCLEAR PRODUCTION WORKERS**

- ▶ **All Department of Energy plants reducing workers or closing must prepare a “Workforce Restructuring Plan” which describes social impacts and the programs to alleviate them. These plans should be prepared two to three years before workers are affected.**
- ▶ **Social plans to assist affected workers and communities include both mandatory and discretionary benefits. The programs are implemented by the private company employing the workers and the Department of Energy.**
- ▶ **Mandatory benefits which must be made available to all affected workers include:**
  - **Displaced Workers Medical Benefits ( 2 year subsidy, 3+ years at cost)**
  - **Preference in Hiring at all other Department of Energy facilities.**
  - **Special Construction Workers Benefit ( up to 6 weeks base pay)**
  - **Honor collective bargaining agreement provisions with labor unions**

**U.S. Defense Nuclear Production Plants  
Workforce Restructuring Projects**



001

## **PROFILE OF U.S. NUCLEAR POWER REACTORS IN 1995**

**The United States has 109 nuclear power plants throughout the country.**

**These nuclear units generate about 10% of the country's power requirements and are located in more than 30 of the 50 states.**

**The vast majority of units operating in the U. S. are PWR type or pressurized water reactors or BWR type, boiling water reactors. They are operated by commercial electric utility companies serving customers in a regional area.**

**For example, the Pennsylvania Power and Light Company owns and operates Susquehanna units 1 and 2 located in the town of Berwick, Pennsylvania. These units are BWR, boiling water reactors, manufactured by the General Electric Company, providing 1,100 Mwe each since 1984.**

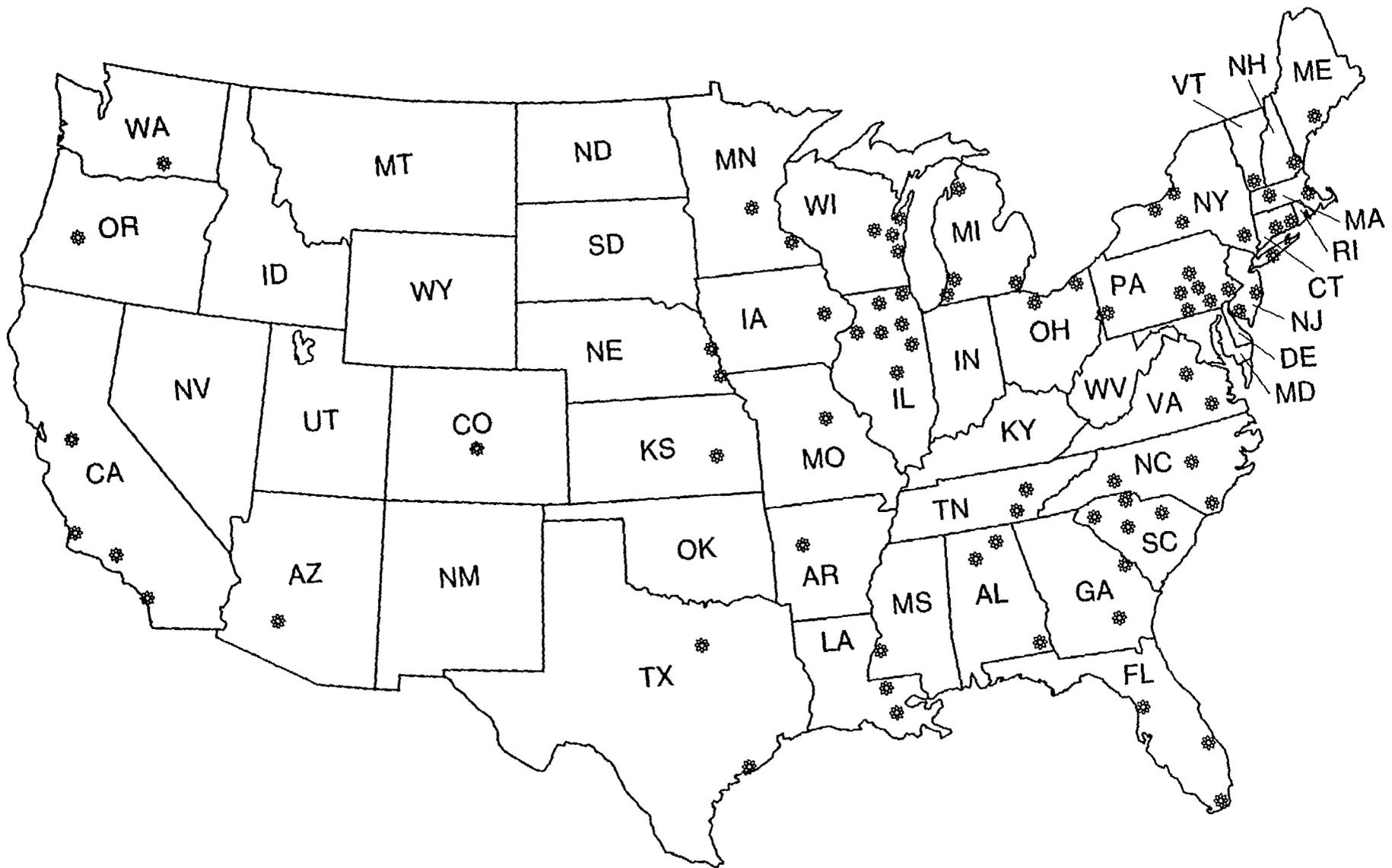
**The Susquehanna plant employs over 2,000 workers most of whom live in and around the Berwick area. The company makes an annual payment to the town to help pay for public services, such as schools, roads and leisure facilities.**

## **SOCIAL PLAN FOR COMMUNITIES NEAR DEFENSE NUCLEAR PLANTS**

- ▶ **Department of Energy financial assistance is provided for local economic development planning and other initiatives on a case-by-case basis.**



# Commercial Nuclear Power Plants in US



\* Large plant shutdown

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## **SOCIAL "SAFETY NET" FOR COMMERCIAL POWER PLANT WORKERS**

- ▶ **Company severance payments**
- ▶ **Hiring preference at other company locations**
- ▶ **Early retirement option**
- ▶ **National and State safety net programs, such as:**
  - **Continuation of Medical Benefits (COBRA)**
  - **Unemployment Compensation and Job Service Referrals**
  - **Job Training**
  - **Social Security, Medicaid, Medicare**
- ▶ **Voluntary contributions may also be made to local communities to assist in finding new employers to locate in the area.**

**SUMMARY:**

**LESSONS LEARNED FROM SOME UNITED STATES EXPERIENCES**

- ▶ **Begin planning as early as possible**
- ▶ **Support maximum involvement of persons affected including workers, families, unions, and neighbors**
- ▶ **Encourage LOCAL leadership - government and non-government**
- ▶ **Organize committees and group for specific tasks**
- ▶ **Hold public meetings as often as necessary**
- ▶ **Issue bulletins and newsletters**
- ▶ **Modify Plans whenever necessary**

**DEFENSE DIVERSIFICATION GRANT PROGRAM**  
**Employment & Training Administration**  
**U S. Department of Labor**

**DESCRIPTION OF PROGRAMS USES**

The purpose of the Defense Diversification Program (DDP) is to provide retraining and readjustment assistance to workers dislocated by Defense cutbacks and closures of military facilities, and to provide planning support and conversion assistance for diversification of affected facilities within a defense-impacted area. Services include occupational skills training, skills upgrading, basic and remedial education, job search and placement, supportive services such as child care and transportation allowance, relocation assistance, and needs related payments for dislocated workers who have exhausted their unemployment insurance. Funds may be provided in certain cases to implement high performance workplace systems, and new production technologies to assist conversion efforts.

**DESCRIPTION OF FINANCIAL ASSISTANCE**

The Employment and Training Administration (ETA) will award DCA grants directly to or through the States. Previously funded by Department of Defense, the program is currently supported with Department of Labor National Reserve Account monies.

**ELIGIBLE GRANTEEES**

- |                                  |                                 |
|----------------------------------|---------------------------------|
| States,                          | Title II substate grantees      |
| Employers                        | Employer associations,          |
| Representatives of employees,    | Labor-management committees and |
| other employer-employee entities |                                 |

**BENEFICIARY ELIGIBILITY**

Eligible program participants are civilian employees of the Department of Defense, Department of Energy, and defense contractors who have been terminated or have notice of termination and who are not entitled to retirement or retainer pay related to termination. The termination must be due to

- (a) closure(s) or realignment(s) of military installation(s)
  - (b) termination(s) of or substantial personnel reduction(s) in any contract(s) for products or services for Department of Defense (DoD) that will cause a substantial impact on local employment, or
  - (c) other substantial reductions in expenditures by the United States Government for Defense.
- Questions about eligibility for uniformed personnel should be referred to the U S Department of Labor.

**AUTHORIZATION**

The National Defense Authorization Act for Fiscal Year 1991 (P L 101-510, Division D Sections 4201-4203) adds Section 325A to the Job Training Partnership Act (JTPA) providing for the Defense Diversification Program. The National Defense Authorization Act for Fiscal Year 1995 provides authority for the Secretary of Labor to carry out this program using Department of Labor funds.

**ADDITIONAL INFORMATION**

Contact the local government agency in your area that administers the JTPA program or your nearest State employment services office or write to the Dept of Labor, 200 Constitution Avenue NW, Washington, DC 20210. Telephone (202) 219-5577.

## SMALL BUSINESS ADMINISTRATION LOAN PROGRAMS

### LOAN PROGRAMS

#### 7(a) Loans

The Small Business Administration (SBA) basic guaranty program makes loans available for many business purposes such as real estate, expansion equipment purchases working capital or inventory. The SBA guarantees up to \$425,000 on loan amounts up to \$500,000 at an interest rate generally not to exceed 2.75 percent over the prime lending rate.

#### 504 Certified Development Company

The 504 Loan Program provides long-term, fixed-asset financing through certified development companies (CDCs), non profit organization sponsored by private interest or by state or local governments. Typically, 504 loan proceeds are provided as follows: 50 percent by an unguaranteed bank loan, 40 percent by an SBA guaranteed debenture, 10 percent by the small business customer. The maximum SBA debenture is \$1 million.

#### LowDoc

Reduces the paperwork involved in loan request of \$100,000 or less. Under the Low Documentation Loan Program (LowDoc) the SBA uses a one-page application and relies on the strength of the individual applicant's character and credit history. The lender may require additional information. Those who hate paperwork will love LowDoc. (Eligibility - A small business with less than \$5 million in annual sales and less than 100 employees)

#### Greenline

Meets short-term cyclical working-capital needs of small businesses. Loans advances can be made against a borrower's certified level of inventory and accounts receivable. Generally SBA regulations governing the 7(a) Loan Guaranty Program also govern this program.

### LOAN GUIDELINES

#### Eligibility

To be eligible the business generally must be operated for profit and fall within size standards set by SBA. Loans cannot be made to businesses engaged in speculation or investment in rental real estate. SBA determines if the business qualifies as a small business based on the average number of employees for the preceding 12 months or on sales volume averaged over a three year period.

**Manufacturing** Maximum number of employees may range from 500 to 1 500 depending on the type of product manufactured.

**Wholesaling** Maximum number of employees may not exceed 100

**Services** Average annual receipts may not exceed \$2.5 million to \$14.5 million depending on the industry

**Retailing** Average annual receipts may not exceed \$5 million to \$21 million, depending on the industry

**General Construction** Average annual receipts may not exceed \$13.5 million to \$17 million depending on the industry

**Special Trade Construction.** Average annual receipts may not exceed \$7 million

**Agriculture** Average annual receipts range from \$0.5 million to \$7 million depending on the industry

## LOAN TERMS

The small business submits a loan application to the lender for initial review. If the lender finds the application acceptable, it forwards the application and its credit analysis to the nearest SBA office. After SBA approval, the lending institution closes the loan and disburses the funds. The borrower then makes loan payments to the lender.

The length of time for repayment depends on the use of the proceeds and the ability of the business to repay. Working capital loans generally have maturities of up to 7 years. Longer maturities, up to 10 years, are used to finance fixed assets such as the purchase or major renovation of business premises. Real estate and refinancing have maturities of up to 25 years.

Interest rates on the guaranteed loan program are negotiated between the borrower and the lender, subject to SBA maximums. Generally, interest rates for loans cannot exceed 2.75 percent over the prime rate.

## ADDITIONAL INFORMATION

The SBA offices located around the country. For the one nearest you, please consult the U.S. Government section of your telephone directory, or call the Small Business Answer Desk at 1-800-U-ASK-SBA. For the hearing impaired, the TDD number is (202) 205-7333. FAX (202) 205-7064.

SMALL BUSINESS ADMINISTRATION  
Defense Loan And Technical Assistance Program  
(DELTA)

Congress recently enacted legislation to create a special program to help finance small businesses attempting to convert from defense-related activities to civilian markets. The DELTA Program authorizes the Small Business Administration to offer loan guarantees and a wide range of management and technical assistance programs to qualifying small businesses.

The loan guarantees will be administered through two existing programs: (1) the regular Loan Guarantee Program, usually referred to as the 7(a) program--in this new legislation loans will be guaranteed under section 7(a)(21), the SBA loan amount has been raised from \$500,000 to \$1,250,000, and (2) the Certified Development Company Program, usually referred to as the 504 Loan Program. 504 loans provide long-term, fixed-asset financing through certified development companies, non-profit organizations, or by state or local governments.

Loan proceeds can be used for any SBA approved purpose, but must: (1) assist the applicant to retain jobs of defense workers, (2) create new employment in impacted communities or (3) modernize or expand the applicant's plant so it can remain in the national technical and industrial base. For a small business to be eligible under the DELTA Program, 25 percent of total revenues must have come from Department of Defense contracts in the prior year.

Funding for the DELTA Program is made possible through a transfer of \$30 million from the Department of Defense to the Small Business Administration, and which, when leveraged throughout the two aforementioned loan programs, constitutes about \$1.1 billion in lending authority. The DELTA program has a legislative life through FY 96, an extension is being considered.

**Additional Information**

The SBA offices are located around the county. For the one nearest you, please consult the 'U.S. Government' section of your telephone directory, or call the Small Business Answer Desk at 1-800-U-ASK-SBA. For the hearing impaired, the TDD number is (202) 205-7333. FAX (202) 205-7064.

## **DEFENSE ECONOMIC ADJUSTMENT PROGRAM**

**Office of Economic Adjustment**

**U S Department of Defense**

### **DESCRIPTION OF PROGRAM USES**

The program objective is to help alleviate serious community economic impacts that result from changes in Defense activities, such as the closing of a military base or the termination of a Defense contract. The Office of Economic Adjustment provides planning assistance through technical expertise and financial resources. This office also manages the Defense Economic Adjustment Program which coordinates and facilitates adjustment assistance from the Federal Departments and Agencies.

### **DESCRIPTION OF FINANCIAL ASSISTANCE**

Financial assistance is provided through grants for purposes of developing a strategy action plan to be used by the community(ies) to address the impact of changes in Defense activities. The planning grants require a 25 percent cash or in-kind match from the grantee.

### **ELIGIBLE GRANTEES**

States and local governments, and regional organizations

### **BENEFICIARY ELIGIBILITY**

Communities and areas adversely affected by changes in Defense programs and spending

### **AUTHORIZATION**

The Defense Economic Adjustment Program is authorized under 10 USC 2391, Executive Order 12788 (January 15, 1992), and Public Law 101-510 Division D Catalog of Federal Domestic Assistance, Program No 12 600

### **ADDITIONAL INFORMATION**

Contact the Director Office of Economic Adjustment  
Office of the Assistant Secretary of Defense (ES)  
400 Army Navy Drive, Suite 200  
Arlington VA 22202-2884  
Telephone (703) 604-6020

**TITLE IX EDA GRANTS**  
**Economic Development Administration**  
**U.S. Department of Commerce**

**DESCRIPTION OF PROGRAM USES**

Grants may be used to implement an adjustment strategy in response to the substantial and serious impact of reduced Defense spending, such as a base closure, on the community

Implementation grants may be used to provide technical assistance for community capacity building and/or business development, for construction/public works, training or any other activity that addresses the economic adjustment problem. Title IX grants may also be used to establish or recapitalize revolving loan funds

**DESCRIPTION OF FINANCIAL ASSISTANCE**

For FY 1995 Congress appropriated \$120 million to EDA specifically for defense-related adjustment projects. The grantee is required to provide a minimum 25 percent local share cash or in-kind, in applying for a Title IX grant.

**ELIGIBLE GRANTEEES**

States cities counties or other political subdivision of a State  
Public or private nonprofit organizations representing redevelopment areas designated under the Act  
Title IV Economic Development Districts  
Indian Tribes

**BENEFICIARY ELIGIBILITY**

Title IX grants may be directly applied by the grantee or redistributed by the grantee to public and nonprofit private entities in the form of grants loans loan guarantees or other appropriate assistance

**AUTHORIZATION**

Title IX grants are authorized under the Public Works and Economic Development Act of 1965 as amended Public Law 89-136

The National Defense Authorization Act for Fiscal Year 1991 (P.L. 101-510 Division D Section 4103) allows communities determined to be "substantially and seriously" affected by reductions in Defense programs to be eligible for Title IX economic adjustment assistance  
Catalog of Federal Domestic Assistance Program No. 11.307

**ADDITIONAL INFORMATION**

Contact your local economic development or business assistance office or the EDA regional office for your area or write to the Economic Development Administrative, Economic Adjustment Division Room H7327, Department of Commerce 14th Street & Constitution Ave N.W. Washington DC 20230 Telephone (202) 482-2659

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**ECONOMIC DISLOCATION AND WORKER  
ADJUSTMENT ASSISTANCE ACT  
(EDWAA)  
Employment & Training Administration  
U S. Department of Labor**

**DESCRIPTION OF PROGRAM USES**

The purpose of the Economic Dislocation and Worker Adjustment Assistance Act is to provide retraining and readjustment assistance to dislocated workers unlikely to return to their previous industries or occupations. Services include rapid response, occupational skills training, basic and remedial response, occupational skills training, basic and remedial education, job search and placement, supportive services such as child care and transportation allowances, relocation assistance, and needs related payments for dislocated workers who have exhausted their unemployment insurance.

**DESCRIPTION OF FINANCIAL ASSISTANCE**

Formula funds distributed to states and discretionary grants from Governor's Reserve or National Reserve Accounts are available to provide services.

**BENEFICIARY ELIGIBILITY**

Eligible program participants are workers who have been laid off or have notification of termination and who are unlikely to return to the same or similar jobs from which they were terminated. This includes workers who lose their jobs because of plant closings or mass layoffs, long-term unemployed persons with limited local opportunities for jobless due to general economic conditions or natural disasters.

**AUTHORIZATION**

The Job Training Partnership Act of 1982, as amended, Title III, Public Law 97-300  
Catalog of Federal Domestic Assistance Program No. 17.246

**ADDITIONAL INFORMATION**

Contact the local government agency in your area that administers the JTPA program or your nearest State employment services office, or write to the Employment and Training Administration, Office of Work-Based Learning, Department of Labor, 200 Constitution Avenue NW, Washington, DC 20210. Telephone (202) 219-5577.

## Програма субсидій на конверсію оборонних підприємств Управління зайнятості та підготовки кадрів Міністерства Праці США

### ВИКОРИСТАННЯ ПРОГРАМИ

Метою програми конверсії оборонного сектору (ПКОС) є забезпечення перепідготовки та допомоги в працевлаштуванні для робітників, звільнених внаслідок скорочень та закриття підприємств у сфері оборони, а також надання підтримки у плануванні та допомоги у зміні профілю виробничих об'єктів у зонах, що зазнали таких змін. Послуги включають в себе надання можливості отримати чи підвищити кваліфікацію, пройти базові чи корективні курси, пошук роботи та супроводжувальні послуги такі як турбота про дітей та надання коштів на переселення, допомога у влаштуванні на новому місці та допомога звільненим робітникам, які використали свою страховку по безробіттю. В деяких випадках можуть надаватись кошти для впровадження високопродуктивних робочих місць та нових технологій для прискорення процесу конверсії.

### ФІНАНСОВА ДОПОМОГА

Управління зайнятості та підготовки кадрів надає субсидії з Фонду Конверсії напряму чи через місцеві влади штату. Спочатку програма фінансувалась Міністерством оборони, а зараз джерелом її фінансування є Національний Резервний Фонд Міністерства Праці.

### СУБ'ЄКТИ ОТРИМАННЯ СУБСІДІЙ

Штати,  
Работодавці,  
Представники службовців,

Асоціації роботодавців,  
Комітети по трудовим стосункам  
Організації регіонального рівня  
відповідно до Розділу II,

та інші одиниці, пов'язані  
трудохими відносинами

### ХТО КОРИСТУЄТЬСЯ СУБСІДІЯМИ

Субсидії можуть отримати цивільні службовці Міністерства Оборони, Міністерства Енергетики та контрактники міністерства оборони, які були звільнені чи отримали попередження про звільнення, і які не мають права на отримання пенсії чи на збереження виплат після звільнення. Звільнення повинно бути внаслідок

- а) закриття чи реорганізації військових об'єктів,
- б) скасування контрактів чи істотного скорочення персоналу по контрактах на виробництво послуг для Міністерства Оборони, які значно впливають на місцевий розподіл робочої сили, чи
- в) іншого істотного зменшення видатків на оборону, санкціонованого урядом США. Питання про можливість отримання субсидій військовим персоналом треба надсилати до Міністерства Праці Сполучених Штатів

### ЗАКОНОДАВЧА ПІДТРИМКА АСИГНОВАНИЙ

Згідно з Законом про затвердження асигнованій на оборону на 1991 фінансовий рік (Збірка законів, 101-5106 Розділ D, статті 4201-4203) до Закону про Підготовку Робочої Сили додається стаття 325А, яка стосується Програми Конверсії. Закон про затвердження асигнованій на оборону на 1995 фінансовий рік надає міністру праці право виконувати цю програму з використанням фондів Міністерства Праці.

### ДОДАТКОВА ІНФОРМАЦІЯ

За додатковою інформацією звертайтеся до місцевого представництва уряду, яке відповідальне за здійснення Закону про Підготовку Робочої Сили, чи до найближчого агентства служби працевлаштування, чи пишіть до Міністерства Праці за адресою 200, Constitution Avenue NW, Washington DC 20210. Телефон (202) 219-5577

## Управління Малих Підприємств Кредитні програми

### КРЕДИТНІ ПРОГРАМИ

#### Кредити 7(a)

Програма базових гарантій під егідою Управління Малих Підприємств (УМП) надає можливість отримати позику для різноманітних завдань які стоять перед малими підприємствами, наприклад, придбання нерухомості розширення діяльності, закупівля обладнання, збільшення оборотного капіталу чи запасів УМП гарантує до \$425000 від суми позики, яка може сягати 500000 доларів США за ставкою, яка перевищує базову позикову ставку не більш, ніж на 2,75 відсотка

#### Агентства розвитку, сертифіковані як підлеглі Федеральному Закону 504

Кредитна програма, зазначена в законі 504, дозволяє надавати довгострокові позики чи фінансувати основні фонди через Офіційні Агентства Розвитку, неприбуткові організації, які підтримуються за рахунок приватного бізнесу, владами штату чи місцевою владою Як правило, закон 504 надає кошти у такому вигляді 50% негарантованої банківської позики 40% боргових зобов'язань під гарантію УМП та 10 % під гарантію підприємця Максимальна позика під гарантію УМП - 1 мільйон доларів

#### LowDoc (Простота оформлення)

Оформлення позики на суму, що не перевищує 100000 доларів, потребує дуже мало паперів Згідно з Програмою швидкого оформлення позики (LowDoc) УМП потребує заяву на одній сторінці і покладається на характер конкретного заявника та на його кредитну історію Кредитор може зажадати додаткової інформації Тим, хто не любить паперової роботи програма LowDoc повинна сподобатись (Претендувати на позику можуть малі підприємства з річним обсягом продажу меншим ніж 5 мільйонів доларів, які мають менше ніж 100 робітників )

#### Greenline

Спрямована на короткострокову та періодичну фінансову допомогу та на надання обігових коштів малим підприємствам Позика може надаватись під заставу гарантованого рівня запасів позичальника чи під заставу рахунків, які йому повинні сплатити В загальному випадку, нормативні акти, за якими здійснюється програма гарантування кредитів 7(a), поширюються і на цю програму

### ІНСТРУКЦІЯ ПО НАДАННЮ КРЕДИТІВ

#### Претенденти на отримання кредитів

Для отримання кредиту підприємство взагалі має працювати на отримання прибутку і за розміром відповідати стандартам УМП Позика не може бути надана підприємствам, які займаються спекулятивними операціями чи інвестують кошти в нерухомість УМП визначає, чи відповідає підприємство цим вимогам на підставі середньої чисельності робітників за попередні 12 місяців чи середнього обсягу продажу за трирічний період

**Виробництво** Максимальна кількість робітників може бути від 500 до 1500 в залежності від типу продукту, що виробляється

**Оптовий продаж** максимальна кількість зайнятих не повинна перебільшувати 100

**Послуги** Щорічний прибуток в середньому не повинен перевищувати від \$2.5 млн до \$14.5 млн в залежності від промисловості

**Роздрібний продаж** Щорічний прибуток в середньому не повинен перевищувати від \$5 млн до \$21 млн в залежності від промисловості

**Загальне будівництво** Щорічний прибуток в середньому не повинен перевищувати від \$13.5 млн до \$17 млн в залежності від промисловості

**Спеціальне торговельне будівництво** Щорічний прибуток в середньому не повинен перевищувати \$7 млн

**Сільське господарство** Щорічний прибуток в середньому не повинен перевищувати від \$0.5 млн до \$7 млн в залежності від промисловості

#### СТРОКИ ПОЗИКИ

Підприємства малого бізнесу подають заяву на позику кредитором для попереднього розгляду. Якщо кредитор вважає пропозицію прийнятною, він передає заяву та аналіз позики до найближчого представництва УМП. Після затвердження УМП організація-кредитор закриває позику та виділяє фонди. Позичальник проводить відповідні позикові виплати кредитором.

Строк повернення виплат позиків залежить від прибутку та спроможності підприємства виплачувати. Позики робочого капіталу, як правило, мають строки до 7 років. Довші строки, до 10 років, використовуються для фінансування фіксованих затрат, т.я. покупка чи відновлення приміщень підприємства. Земельні позики та рефінансування мають строк виплат до 25 років.

Процентні ставки за гарантованими програмами позику обговорюються кредитором та позичальником відповідно до максимумів УМП. Загалом, проценти на позики не повинні перевищувати 2.75% первісної суми.

#### ДОДАТКОВА ІНФОРМАЦІЯ

Відділи УМП розташовані по всій країні. Для того, щоб знайти найближчі до вас, знайдіть розділ "Уряд США" в телефонному довіднику чи зателефонуйте до довідкової служби УМП 1-800-U-ASK-SBA. Для людей з поганим слухом пропонується спеціальний номер (202) 205-7333. Факс (202) 205-7064.

**Управління Малих Підприємств**  
Програма конверсійних кредитів та технічної допомоги  
(DELTA)

Нещодавно конгрес затвердив законодавство, спрямоване на створення спеціальної програми допомоги малим підприємствам, які намагаються перейти від діяльності, пов'язаною з обороною до операцій на цивільних ринках. Ця програма DELTA уповноважила Администрацію Малих Підприємств пропонувати кредитні гарантії та надавати широкий діапазон програм керівної та технічної допомоги тим підприємствам, які відповідають визначенню "малих"

Кредитні гарантії здійснюються через дві існуючі програми (1) загальну програму надання кредитних гарантій, яку називають програмою 7(a) - в цьому новому законодавстві позики будуть гарантуватись згідно з статтею 7(a) (21), позики УМП були збільшені від 500 000 до 1 250 000 доларів, та (2) Програму Офіційних центрів розвитку, яку часто називають Кредитною Програмою 504. За програмою 504 надається довгострокова допомога для фінансування основних фондів через офіційні центри розвитку, які уявляють собою безприбуткові організації, а також через уряд штатів чи місцеві органи влади.

Позикові кошти можуть використовуватись для будь якої цілі яку затвердить УМП, але вони мають (1) допомагати претендентам зберегти роботу для робітників, які були зайняті у обороні, (2) створювати нові робочі місця на територіях підлеглих конверсії, чи (3) модернізувати чи поширювати виробничі потужності претендента так, щоб вони могли залишитись у складі національної технічної та виробничої бази. Мале підприємство може претендувати на отримання кредитів по лінії DELTA якщо 25% його загального доходу за минулий рік отримано за рахунок контрактів з Міністерством Оборони.

Фінансування програми DELTA здійснюється завдяки перерахуванню Міністерством Оборони 30 мільйонів доларів Управлінню Малих Підприємств, що при вірному розподілі коштів між двома згаданими програмами означає обсяг позик на суму близько 1,1 мільярда доларів. Програма DELTA діє впродовж 96 фінансового року, розглядається можливість її подовження.

**Додаткова інформація**

Відділи УМП розташовані по всій країні. Для того, щоб знайти найближчи до вас, знайдіть розділ "Уряд США" в телефонному довіднику чи зателефонуйте до довідкової служби УМП 1-800-U-ASK-SBA. Для людей з поганим слухом пропонується спеціальний номер (202) 205-7333. Факс (202) 205-7064.

## Програма допомоги пристосуванню до економічних змін в оборонній промисловості

Відділ перехідної економіки,  
Міністерство Оборони США

### ВИКОРИСТАННЯ ПРОГРАМИ

Задача цієї програми допомоги робочим пристосуватись до значних економічних перетворень, які сталися внаслідок змін в діяльності Міністерства Оборони, таких як закриття військових баз чи скасування оборонних контрактів. Відділ перехідної економіки надає допомогу в плануванні, використовуючи свій багатий досвід та фінансові ресурси. Цей відділ також керує Програмою допомоги пристосуванню до економічних змін в оборонній промисловості, яка координує та направляє допомогу від федеральних міністерств та агентств.

### ФІНАНСОВА ДОПОМОГА

Фінансова допомога надається через субсидії для складання стратегічного плану подолання місцевою громадою наслідків змін в діяльності Міністерства Оборони. Субсидії для планування потребують від одержуючого цю субсидію 25 відсотків її суми, які вносяться грошима або в іншій формі.

### СУБ'ЄКТИ ОТРИМАННЯ СУБСІДІЙ

Місцеві уряди, уряди штату та місцеві організації.

### ХТО КОРИСТУЄТЬСЯ СУБСІДІЯМИ

Громада та територія, які зазнали негативного впливу внаслідок змін в оборонних програмах.

### ЗАКОНОДАВЧА ПІДТРИМКА АСИГНОВАНИЙ

Програма допомоги пристосуванню до економічних змін в оборонній промисловості впроваджується згідно з розділом 10 USC 2391 Збірки Законів США, Наказ 12788 (від 15 січня 1992 року) та Федеральним Законом 101-510, Розділ D, Каталог федеральних програм допомоги населенню, No 12600.

### ДОДАТКОВА ІНФОРМАЦІЯ

За додатковою інформацією звертайтеся до Відділу перехідної економіки, Помічник міністра оборони, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-2884. Телефон (703)604-6020.

## Субсидії Управління економічного розвитку згідно з IX розділом Закону про економічний розвиток

Управління економічного розвитку  
Міністерство торгівлі США

### ВИКОРИСТАННЯ ПРОГРАМИ

Мета цих субсидій - забезпечити перехідну стратегію у зв'язку з істотним та серйозним впливом від зменшення видатків Міністерства Оборони, таких як закриття військових баз, на громадськість

Надані субсидії можуть бути використані на технічну допомогу населенню в будівництві нових потужностей та/чи в розвитку підприємств, для будівництва/громадських робіт, навчання чи іншої діяльності, спрямованої на подолання проблем економічних перетворень. Субсидії IX розділу можуть також використовуватись для заснування та рекапіталізації поновлюваних кредитних фондів

### ФІНАНСОВА ДОПОМОГА

Конгрес асигнував в 1995 фінансовому році 120 мільйонів доларів для потреб УЕР спеціально на проекти, пов'язані з економічними змінами в діяльності Міністерства Оборони. Від одержуючого цю субсидію вимагається мінімум 25 відсотків місцевої долі, які вносяться грошима або еквівалентними товарами чи послугами

### СУБ'ЄКТИ ОТРИМАННЯ СУБСІДІЙ

Штати міста, округи чи інші адміністративні підрозділи штату, Державні чи приватні неприбуткові організації, які представляють регіони економічних перетворень, визначені згідно з Законом, Регіони економічного розвитку, які підпадають під розділ IV, Індіанські племена

### ХТО КОРИСТУЄТЬСЯ СУБСІДІЯМИ

Субсидії IX розділу можуть бути використані безпосередньо тим, хто їх отримав, чи розподілені ним серед громади чи неприбуткових приватних підприємств у вигляді субсидій, позик, позикових гарантій чи іншої придатної допомоги

### ЗАКОНОДАВЧА ПІДТРИМКА АСИГНОВАНИЙ

Субсидії IX розділу впроваджуються згідно з Законом про громадські роботи та економічний розвиток від 1965 року, з урахуванням поправок, Федеральний Закон 89-136

Згідно з Законом про затвердження асигнованій на оборону на 1991 фінансовий рік (Збірка законів, 101-5106 Розділ D, статті 4201-4203), на програму допомоги згідно з IX розділом можуть претендувати групи населення, визначені як ті, що зазнали "істотного та серйозного" впливу від зменшення фінансування програм Міністерства Оборони. Каталог федеральних програм допомоги населенню, No 11307

### ДОДАТКОВА ІНФОРМАЦІЯ

За додатковою інформацією звертайтеся до місцевого відділу економічного розвитку чи ділової допомоги, чи до регіонального відділу Управління Економічного Розвитку, підрозділ перехідної економіки, кімната H7327, Міністерство Торгівлі, 14th Street & Constitution Ave, NW, Washington, DC 20230 Телефон (202) 482-2659

## **Закон про економічні перетворення да допомогу робочим в перехідний період (EDWAA)**

Управління зайнятості та підготовки кадрів Міністерства Праці США

### **ВИКОРИСТАННЯ ПРОГРАМИ**

Метою Закону про економічні перетворення да допомогу робочим в перехідний період є забезпечення перепідготовки та допомоги робітникам влаштуватись, як правило, за іншим фахом і в іншій сфері діяльності. Послуги включають в себе надання можливості швидко отримати чи підвищити кваліфікацію, пройти базові чи корективні курси, пошук роботи та супроводжувальні послуги, такі як турбота про дітей та надання коштів на переселення, допомога у влаштуванні на новому місці та допомога звільненим робітникам які використали свою страховку по безробіттю.

### **ФІНАНСОВА ДОПОМОГА**

Спеціалізовані фонди, які розподіляються між штатами та субсидії, які видаються для використання за власним розсудом з Резерву Уряду чи Національного Резервного Фонду.

### **ХТО КОРИСТУЄТЬСЯ СУБСІДІЯМИ**

Субсидії можуть отримати робітники, які були звільнені чи отримали попередження про звільнення, і які навряд чи поведуться на ту ж саму чи аналогічну роботу. Сюди входять робочі, які загубили роботу внаслідок закриття заводу чи масових звільнень, громадяни, які впродовж довгого строку не мають роботи і які мають обмежені можливості у даному регіоні через загальні економічні умови чи природні катаклізми.

### **ЗАКОНОДАВЧА ПІДТРИМКА АСИГНОВАНИЙ**

Видача субсидій регулюється Законом з Законом про Підготовку Робочої Сили від 1982 року з поправками, Розділ III, Федеральні Закони 97-300. Каталог Федеральних програм допомоги населенню No 17 246.

### **ДОДАТКОВА ІНФОРМАЦІЯ**

За додатковою інформацією звертайтеся до місцевого представництва уряду, яке відповідальне за здійснення Закону про Підготовку Робочої Сили, чи до найближчого агентства служби працевлаштування, чи пишіть до Управління зайнятості та підготовки кадрів, відділ робочого навчання Міністерства Праці за адресою 200, Constitution Avenue NW, Washington DC 20210. Телефон (202) 219-5577.



## THE ROCKY FLATS WORK FORCE RESTRUCTURING PLAN

Refer to Exhibit 8 on the facing page

**Restructuring Summary** In 1992, the Department canceled requirements for further weapons component manufacturing at Rocky Flats and focused on cleanup, deactivation, waste management and disposal of facilities at the site. Consequently, in April 1993, the Department announced a work force restructuring of approximately 1,600 positions based on these mission changes and subsequent budget reductions. The objectives of the Rocky Flats Work Force Restructuring Plan were to maintain a trained work force to accomplish the new mission, to keep involuntary separations to a minimum, to provide retraining for incumbent employees for positions to meet the new mission, and to minimize the impacts of the restructuring on the surrounding community.

The Department originally estimated that about half of the 1,600 positions affected would be accommodated by workers transferring to new jobs on site. The Department was successful in its work force restructuring, with only 133 employees separated involuntarily. No early retirement program was offered. A breakdown of the restructuring at Rocky Flats includes:

- 690 permanent employees accepted voluntary separation,
- 133 permanent employees were separated involuntarily,
- 232 other non-permanent employees were separated (including attrition),
- 560 employees were retrained for other site work, and
- 730 employees accepted other positions at the site.

**Cost of Restructuring** The original estimate in the approved Rocky Flats Work Force Restructuring Plan was \$36.5 million. The projected cost at completion is now \$34.9 million. Underruns in the cost of training, outplacement services, and displaced worker medical benefits have more than offset increases in the cost of employee separations.

The cost of the voluntary separation program for the 690 management and operating contractor employees was \$16.4 million, or \$23,825 per employee. The cost of the involuntary separation program for the 133 management and operating contractor employees was \$2.1 million, or \$15,465 per employee.



Retraining of retained workers has been one of the most constructive programs at the site. Employees who 'bump' or bid to new positions as a result of restructuring were required to and did receive job-specific training. In addition, 968 retained employees were enrolled in tuition reimbursement programs to improve their skills. These two programs have cost about \$9.3 million. Continuing education for separated workers has cost approximately \$1.8 million in tuition reimbursement.

**Community Transition.** The Rocky Flats Local Impacts Initiative (RFLII) was formed as a key stakeholder group comprised of local business, community, education, and government representatives, and RF employee and union representatives. RFLII serves as the Community Reuse Organization for Rocky Flats, and was intimately involved in the development of the plan. RFLII held over 20 meetings to gather input. This stakeholder involvement contributed significantly to the success of the restructuring. RFLII received grants totaling \$4.5 million, which were used for community transition activities including studying the commercial use of Rocky Flats facilities, equipment and employee skills, and deploying its technologies to local companies to create new commercial products, processes, or services.

An additional \$9 million has been spent to advance the National Conversion Pilot Project, designed to use buildings and equipment at the site to recycle contaminated metals into containers for radioactive wastes and other commercial products. Thus far, this project has created 43 jobs in the area.

**Post-Employment Survey.** Thirty-one percent of the displaced workers responded to the survey. Over 90 percent of those responding had left the work force voluntarily. Seventy-two percent said that they intended to find full- or part-time employment after separating. Sixty percent indicated that they are currently doing what they intended to do, with 68 percent of those seeking full-time employment having done so. Only 29 percent used the outplacement center, and 43 percent of that group noted that the service was helpful. Twenty-seven percent received training for new jobs and 22 percent received tuition reimbursement for other training. Eighty-two percent of the respondents felt that their opinions were not sought as input to the Work Force Restructuring Plan, yet 51 percent reported that the final plan was communicated adequately and 59 percent said that the benefits were clearly explained. Overall, 59 percent expressed satisfaction with their treatment during the process.



Exhibit 8 Rocky Flats Work Force Restructuring Summary

SITE ROCKY FLATS		Planned			Actual		
		Workers	Costs	Cost/Recip	Workers	Costs	Cost/Recip
1 0	Retirements	0	\$0	\$0	0	\$0	\$0
1a	Additional Costs to Pension Fund						
1b	Cash Payments						
1c	Other Incentives						
2 0	Non Retirement Voluntary Separations	649	\$10 603 362	\$16 338	690	\$16 439 446	\$23 825
2a	Cash Payments		\$10 603 362			\$16 439 446	
2b	Other Incentives						
	Total Voluntary Separations (1 0 2 0 above)	649	\$10 603 362	\$16 338	690	\$16 439 446	\$23 825
3 0	Involuntary Separations	0	\$0	\$0	133	\$2 056 836	\$15 465
3a	Separation/Severance					\$1 377 714	
3b	Payment in Lieu of Notice					\$679 112	
3c	Other						
	Total Separations (1 0 2 0 3 0 above)	649	\$10 603 362	\$16 338	823	\$18 496 282	\$22 474
4 0	Separations No Monetary Benefits Attrition	0	\$0	\$0	232	\$0	\$0
5 0	Separations No Monetary Benefits Temporary Personnel (Note 1)	0	\$0	\$0	0	\$0	\$0
	Total Separated Workers (1 0 2 0 3 0 4 0 5 0 above)	649	\$10 603 362	\$16 338	1 055	\$18 496 282	\$17 532
6 0	Displaced Worker Medical Benefits	649	\$3 407 250	\$5 250	406	\$2 279 000	\$5 611
7 0	Relocation Assistance	130	\$283 348	\$2 180	50	\$81 698	\$1 234
8 0	Outplacement Center		\$4 660 972			\$2 955 000	
9 0	Retraining Retained Workers through Tuition Reimburse	508	\$4 787 972	\$9 388	968	\$4 003 000	\$4 135
9a	Environmental Cleanup		\$4 787 792			\$4 003 000	
9b	Other						
10 0	Other Retraining of Retained Workers	2 441	\$10 773 150	\$4 413	560	\$5 255 030	\$9 384
10a	Environmental Cleanup						
10b	Other						
11 0	Retraining Separated Workers	382	\$1 987 000	\$5 149	364	\$1 842 000	\$5 060
11a	Tuition Reimbursement		\$1 987 000			\$1 842 000	
11b	Other Retraining						
12 0	Workers Internally Placed No Monetary Benefits	0	\$0	\$0	730	\$0	\$0
13 0	TOTAL SEPARATED WORKERS & COSTS (Cost includes 1 0 12 0)	649	\$36 463 054	\$58 183	1 055	\$34 892 010	\$33 073

Note 1 This includes subcontractors construction workers and other non permanent personnel

## План кадрової реорганізації в компанії "Роки Флетс"

Дивись таблицю на попередній сторінці

**Короткий виклад суті реорганізації** У 1993 році міністерство енергетики зупинило подальше виготовлення елементів зброї на "Роки Флетс" та зосередило свою діяльність на очищенні, дезактивації, знищенні відходів та ліквідації виробничих об'єктів у цьому районі. Після цього Міністерство оголосило про перепрофілювання на підставі цих змін 1600 робочих місць та про подальше скорочення бюджету. Метою кадрової реорганізації в "Роки Флетс" було утримати кваліфіковану робочу силу з тим, щоб залучити її до нової діяльності, звести до мінімуму примусові звільнення, забезпечити перенавчання керівного персоналу для виконання ним нової місії, а також звести до мінімуму вплив реструктуризації на оточуючі населенні пункти.

За початковими оцінками Міністерства, приблизно половина з 1600 робочих місць, які підлягали перепрофілюванню, повинні були бути заповнені наявними робочими, яких переведуть на іншу роботу в межах свого об'єкту. Міністерство досягло успіху у своїй діяльності тільки 133 службовця були звільнені примусово. Програма дострокового виходу на пенсію не пропонувалась. В результаті реорганізації в "Роки Флетс"

690 штатних співробітників звільнились за власним бажанням,  
133 штатних співробітника були звільнені примусово,  
232 позаштатних співробітника було скорочено (включаючи планову  
плинність кадрів),  
560 робітників пройшли перепідготовку для роботи на інших виробничих  
об'єктах,  
730 робітників перейшли на інші посади в межах своїх об'єктів

**Витрати на реорганізацію** За початковими оцінками витрати на реорганізацію повинні були скласти 36,5 мільйонів доларів. Після завершення робіт вони склали 34,9 мільйонів. Економія витрат на перенавчання, послуги центра зайнятості та виплати медичних пособій звільненим перекрила збільшені витрати на звільнення робітників.

На програму добровільного звільнення 690 робітників керівного та оперативного складу було витрачено 16,4 мільйони доларів, чи 23 825 доларів на людину. На програму примусового звільнення пішло 2,1 мільйон доларів, чи 15 465 доларів на робітника.

Перенавчання співробітників, які залишилися, було однією з найбільш конструктивних програм. Робітники, які претендували на нові посади, повинні були пройти, і пройшли необхідну підготовку для нової роботи. Крім цього, 968 співробітників, які залишилися, було включено до програми безкоштовного підвищення кваліфікації. Ці дві програми коштували приблизно 9,3 мільйони доларів. Компенсації для подовження безкоштовного навчання звільнених робочих коштували приблизно 1,8 мільйонів доларів.

**Реорганізація місцевої економіки** Організацією, яка посіла центральне

місце в процесі перебудови економіки, стала Ініціативна група по вивченню впливу "Роки Флетс" на місцеву економіку, в яку увійшли представники місцевих ділових кіл, громадськості, освіти, урядових органів, компанії "Роки Флетс" та профсплок. Ця ініціативна група діяла як організація, яка координує перебудову місцевої економіки, та була дуже тісно залучена до складання плану реорганізації. Група провела більше 20 зборів для збору пропозицій від зацікавлених сторін. Ця посередницька діяльність групи мала дуже корисний вплив на загальний успіх реорганізації. Група спромоглася отримати субсиді на суму 4,5 мільйонів доларів, які було використано для громадської діяльності, в тому числі по вивченню комерційного використання споруд та обладнання та кваліфікації штату "Роки Флетс", передачі його технологій місцевим компаніям для створення нових комерційних продуктів, процесів та послуг.

Ще 9 мільйонів доларів було витрачено на запуск Національного експериментального проекту конверсії, метою якого було використання будівель та обладнання для вторинної переробки забруднених металів з метою виготовлення контейнерів для радіоактивних відходів та інших комерційних продуктів. До цих пір у межах цього проекту було створено 43 робочих місця у регіоні.

**Опит, проведений після кадрових перестановок.** В опиті взяв участь 31 відсоток робітників, які підпали під реструктуризацію. Більше 90 відсотків опитаних залишило робочі місця добровільно. Сімдесят два відсотки сказали, що збираються знайти після звільнення роботу з повною чи частковою зайнятістю. Шістдесят відсотків вказали, що зараз влаштувались згідно своїм планам, при чьому 68 відсотків тих, хто шукав роботу з повною зайнятістю, мали в цьому успіх. Тільки 29 відсотків скористалися послугами центру працевлаштування, і 43 відсотки цієї групи одержали там допомогу. Двадцять сім відсотків пройшли курс перепідготовки для нової роботи, 22 відсотки одержали можливість безкоштовного навчання за іншими фахами. Вісімдесят два відсотки респондентів вважало, що їх думку не було враховано при складанні Ініціативною групою плану реорганізації, причому 51 відсоток сказав, що суть плану був їм пояснен досить гарно, а 59 відсотків вважали, що получили гарне уявлення про позитивні результати кадрових змін. 59 відсотків загальної кількості опитаних висловили задоволенням відношенням до себе під час реорганізації.

	Об'єкт РОКІ ФЛЕТС	План			Факт		
		Робіт-ників	Витрати	Питомі витрати	Робіт-ників	Витрати	Питомі витрати
1 0	Вихід на пенсію	0	\$0	\$0	0	\$0	\$0
1а							
1б							
1в							
2 0	Добровільне звільнення, не пов'язане з пенсією	649	\$10 603 362	\$16 338	690	\$16,439,446	\$23 856
2а			\$10,603,362			\$16,439,446	
2б							
	Разом добровільно звільнилися (1 0 та 2 0)	649	\$10,603 362	\$16,338	690	\$16,439 446	\$23 856
3 0	Примусово звільнених	0	\$0	\$0	133	\$2,058,836	\$15,465
3а						\$1 377 714	
3б						\$679,112	
3в							
	Разом звільнених (1 0 2 0 та 3 0)	649	\$10,603 362	\$16,338	823	\$18,496 282	\$22 474
4 0	Звільнення без вихідної допомоги плинність кадрів	0	\$0	\$0	232	\$0	\$0
5 0	Звільнення без вихідної допомоги тимчасовий персонал (Прим 1)	0	\$0	\$0	0	\$0	\$0
	Загальна кількість звільнених (1 0, 2 0, 3 0, 4 0 та 5 0)	649	\$10,603,362	\$16,338	1055	\$18 496 282	\$17,532
6 0	Виплати звільненим на медичне обслуговування	649	\$3 407,250	\$5,250	406	\$2,279,000	\$5 613
7 0	Допомога на переселення	130	\$283,348	\$2,180	50	\$61,698	\$1,234
8 0	Центр працевлаштування		\$4,660,972			\$2 955,000	
9 0	Безкоштовне навчання тих хто залишився	508	\$4,767,972	\$9,386	968	\$4 003 000	\$4 135
9а			\$4,767 972			\$4,003,000	
9б							
10 0	Інша підготовка для тих хто залишився	2441	\$10,773,150	\$4,413	560	\$5 255 030	\$9,384
10а							
10б							
11 0	Навчання звільнених робітників	382	\$1,967,000	\$5 149	364	\$1,842,000	\$5 060
11а			\$1,967,000			\$1,842,000	
11б							
12 0	Робітників, переведених на інші роботи в межах об'єкту (без виплат)	0	\$0	\$0	730	\$0	\$0
13 0	РАЗОМ ЗВІЛНЕНИХ ТА ВИДАТКІВ (разом 1 0 - 12 0)	649	\$36 463,054	\$56 183	1055	\$34 892,010	\$33,073

Примітка 1 Сюди входять субшлядчики, будівельні робочі та інший тимчасовий персонал.

# INTERIM GUIDANCE FOR COMMUNITY TRANSITION ACTIVITIES



**Office of Worker and Community Transition  
Department Of Energy**

**July \_\_, 1996**

# INTERIM GUIDANCE FOR COMMUNITY TRANSITION ACTIVITIES

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# **INTERIM GUIDANCE FOR COMMUNITY TRANSITION ACTIVITIES**

## **I. INTRODUCTION**

Initial program guidance for the community transition program was first developed in the spring and summer of 1993, shortly after the formation of the Department of Energy's (the Department) Task Force on Worker and Community Transition. In the intervening period the community transition program has evolved. This guidance reflects the changes necessary for the continued progress of the program. It reflects the work and input of stakeholders as well as the staff of the Department's Office of Worker and Community Transition (the Office). It replaces previous guidance on community transition activities and should be used while comments are being collected. The Office appreciates the assistance and effort of Department field organizations, site contractors, and representatives of the affected communities for their assistance in developing this guidance.

## **II. PROGRAM SCOPE**

### **A. General**

Pursuant to section 3161 of the National Defense Authorization Act for Fiscal Year 1993, the Department's community transition program is designed to minimize the social and economic impacts of work force restructuring at defense-related facilities by providing local impact assistance to affected communities. Specific assistance programs are designed by the communities and the local Department facilities affected by the downsizing. Over the past 3 years, the Department has employed an extensive process of stakeholder and public involvement to shape policies concerning worker and community transition. This process included national stakeholder meetings on July 12 and 13, 1993, on November 16 and 17, 1993, on February 3 and 4, 1994, May 25 and 26, 1994, on November 15 and 16, 1994, on April 20 and 21, 1995, on September 13 and 15, 1995, and March 13 through 15, 1996, as well as specific input provided by nine community transition focus groups. It also responds to the recommendations made by the General Accounting Office in its December, 1995 report to the Secretary of Energy, "Energy Downsizing: Criteria for Community Assistance Needed". The primary mechanism for determining appropriate impact assistance is through recommendations from the Community Reuse Organizations (CROs) created at affected sites. The Department will also consider funding projects and program activities of the local Department facility and its Management and Operating contractors when recommended by the Department facility manager in cooperation with the CRO.

## **B. Allowable Uses of Funding**

- 1 Funds for community transition activities may be allocated for approved programs and projects described in community transition plans prepared by the CROs or in field project requests prepared by Department facilities for activities funded outside the community transition plans. Once approved and allocated, transfer of community transition funds to any other project or activity should be governed by the Post Award Funding provisions of this guidance.
- 2 In reviewing proposals, the broadest range of allowable uses of funds will be considered. However, because funding is limited, and because other appropriations are sometimes seen as the proper or primary source to fund certain activities, there are a range of activities that may only be approved where exceptional circumstances would justify the decision. These include
  - a activities that could be funded from work force restructuring funds, such as employee retraining,
  - b landlord responsibilities normally funded by the program office with landlord responsibilities at the site, including facility maintenance, remodeling, expediting personal property for disposal, and on-site construction, and
  - c off-site construction, infrastructure, or other capital improvement projects
- 3 If funding for the type of projects described in Section II B 2, above, is being considered, the Department field organization and the CRO should make early contact with the Office to determine what justification will be necessary to demonstrate the need and value of the project.

## **C. Funding Recipients**

Community transition funds will generally flow through a Department field organization to the CRO or CRO-designee. For activities funded outside the community transition plan, funds may be made available by direct contract between the Department and another party, such as the on-site contractor, with input from the CRO.

Pursuant to section 3161 of the National Defense Authorization Act for Fiscal Year 1993, "defense nuclear facilities" for the purposes of section 3161 include the following types of facilities under the control or jurisdiction

of the Secretary of Energy atomic energy defense facilities involving production or utilization of special nuclear material, nuclear waste storage or disposal facilities, testing and assembly facilities, and atomic weapons research facilities. Department facilities that have been determined to be defense nuclear facilities for the purposes of section 3161 are listed in Appendix B

## **D Types of Assistance**

### **1 Start-up Assistance for CROs**

- a This is one-time assistance to facilitate creation of a CRO, development of a public participation plan, development of scopes of work for impact analyses and a community transition plan, and development of a proposal for planning assistance
- b Funding for start-up assistance usually does not exceed \$100,000 and may be spent over two fiscal years. It may be applied for at any time in the Department budget cycle, based on knowledge by the Department field organization that work force reductions are likely to occur within 18 months
- c Application for the assistance must include information about how area local governments, economic development organizations, labor, and other key stakeholders will be involved with creating the CRO. Award of start-up assistance does not assure future funding

### **2 Planning Assistance for CROs**

- a Planning assistance for CRO's is intended to pay for administrative costs and planning studies associated with the development of a community transition plan
- b This assistance has generally been in the range of \$250,000 to \$500,000
- c A planning assistance application must include the following elements
  - (1) The purpose and need for community transition,
  - (2) A description of the CRO, including its membership, functions, scope, and decision-making procedures,

- (3) How the community transition plan will be developed. Where appropriate, an analysis of socio-economic strengths, weaknesses, opportunities and threats to the community should be included in the scope of work for the planning effort,
- (4) A program plan for utilization of the planning assistance funds, including proposed scope of work and milestones,
- (5) Required federal grant application forms and financial information, as specified by the Department field organization,
- (6) A summary of the CRO-approved public participation plan which includes discussion of access to meetings and records, community involvement, fairness of opportunity for receipt of program benefits, and avoidance of conflicts of interest,
- (7) A discussion of CRO coordination with the applicable site, the Site Specific Advisory Board, and regional planning and economic development organizations and activities,
- (8) Identification of any non-Department resources that will be utilized in the planning phase of the program,
- (9) Any proposed program or project activities that are requested and proposed to be conducted prior to approval of the community transition plan together with the justification required for program and project assistance (see Sections II D 4 and VI C 3), and
- (10) Written designation of the CRO by the responsible Department field organization

**3 Operational Assistance**

- a. This is assistance to fund administrative expenses of the CRO beyond start-up and planning assistance
- b. Funding for this activity will vary based upon the CRO organization and the degree to which the CRO is supported by other funding sources. Requests will normally be part of the Community Transition Plan and will provide the appropriate information requested for program and project assistance in Section II D 4,

following, as well as a discussion of the steps the CRO is taking to become self-supporting. An estimated time when the CRO will be self-supporting is also requested.

#### 4 Community Transition Program and Project Assistance

- a. The purpose of this assistance is to fund the activities deemed most likely to reduce the community's dependence on the Department and to mitigate the negative impacts on communities resulting from the downsizing of defense-related facilities and activities within the Department. Project assistance typically provides financial assistance for a comprehensive, multi-year community transition program -- generally a 3 to 5 year program. The program must be based upon community needs and must incorporate an analysis of the socio-economic strengths, weaknesses, opportunities, and threats in the community transition plan. Components may include programs conducted directly by the CRO, contract services, and competitively-based financial assistance for economic development activities. Types of programs that have been funded include small business incubators, revolving loan funds, marketing of excess Department property, entrepreneurial development, technology transfer assistance, and applicable training seminars.
- b. In the past, program and project assistance has generally been in the range of \$400,000 to \$5 million per year.
- c. The specific format for requests for program and project assistance will depend on the applicant. For CRO requested projects or programs, the request should be included in the community transition plan as described in Section VI, following. For funds to be managed by the site independent of the CRO, the site shall submit a letter request signed by the manager of the Department field organization and containing similar information to that requested for prioritized projects submitted by the CRO, together with a letter from the CRO with the CRO's comments.

### III. ROLES AND RESPONSIBILITIES

- A. **The Secretary of Energy** is responsible for the overall program direction and has final approval of all community transition funding decisions.
- B. **The Director, Office of Worker and Community Transition** is responsible for the overall management of the community transition program, including

*Wolf*

the following

1. Authorizes actions, within approved funding levels, to mitigate impacts of reconfiguration, downsizing, and closing of Department facilities
2. Establishes principles, policies, and procedures to implement the Department's community transition mission
3. Develops the Department-wide community transition budget, recommends the Department field organization budget levels for community transition, and establishes the criteria to be used for community transition program funding levels at qualifying sites
4. Determines allowable uses of program funds within legislatively-mandated parameters
5. Recommends, to the Secretary, approval or denial of requests for community transition assistance
6. Establishes performance measures for assessment of community transition programs and projects, including procedures for financial management reviews
7. Ensures coordination of the community transition plan with the work force restructuring plans at the site
8. Provides liaison among other program and staff offices in Headquarters for community transition issues
9. Conducts program reviews of field implementation of the community transition program

**C. Department Field Organizations** are responsible for the day-to-day administration of the community transition program. This includes responsibility for the following

1. Working within their communities to help establish the local CRO
2. Approving the CRO for sites under their jurisdiction
3. Assuring that the Department's community transition policies and guidance are carried out in a spirit of cooperation and openness
4. Integrating the requirements of the community transition program with

the requirements of other programs and activities at their sites and assuring that necessary support activities are identified and budgeted for

5. Providing planning guidance to the CROs for program plans and reviewing and approving CRO-developed community transition plans
6. Resolving conflicting proposed uses of the Department's assets under its jurisdiction
7. Integrating community transition locally so that it incorporates the work and plans of the CRO with other community transition activities, if any, proposed by the site
8. Consulting with American Indian tribal governments to assure that tribal rights and concerns are considered prior to the Department taking actions, making decisions or implementing programs that may affect tribes.

**D. Community Reuse Organizations** serve as the community's single voice to the Department for community transition issues. In this capacity the CRO will.

1. Coordinate local community transition planning efforts that address Department-related impacts
2. Include a broad representation of the affected community, with opportunity for involvement given to people and groups such as individual residents, representatives of community-based organizations, representatives of business, educational, and financial institutions, site workers and their labor organizations, local government officials, established economic and community development organizations, public interest groups, environmental groups, diversity groups, and federally-recognized American Indian Tribes
3. Develop and submit community transition plans to the appropriate Department field organization
4. Receive Department funding and participate in the management of community transition projects
5. Coordinate CRO activities with Site Specific Advisory Boards (SSAB) at Department facilities, particularly with regard to future site planning

#### **IV. PROGRAM PLANNING**

##### **A. General**

Future funding for all activities other than start-up and planning assistance is expected to be requested through a community transition plan (or a letter request for Department field organization activities) Table 1 describes the activities expected to occur at each step The intent of this process is to provide objectivity in the selection of project and program activities to be supported The following paragraphs will describe the major activities in some detail

##### **B. Development of the Community Transition Plan**

Department field organizations will provide guidance to the CROs to assist them in developing a community transition plan Based upon this guidance, CROs will prepare a community transition plan for funding in the next year's funding cycle

##### **C. Department Field Organization and Office Reviews**

Upon completion of the CRO community transition plan and any Department field organization projects, a field review of the community transition plan and an Office review of both the community transition plan and any site-sponsored projects will take place The intent is for the Department field organization and the Office to jointly identify any needed revisions as soon as possible, thereby minimizing multiple requests for changes At the end of the review period, there should be a plan ready for recommendation with a very high probability of approval by the Office

##### **D. Economic Development Administration and the Peer Review Board**

Reviews by the Economic Development Administration and the Peer Review Board will use the criteria in Section V to compare and assess projects and programs The recommendations will be provided to the Office of Worker and Community Transition for their consideration in the final determinations of program funding

##### **E. Office of Worker and Community Transition Review and Decisions**

The Office will review the submitted plans, the peer review comments, and the independent review from the Economic Development Administration of the Department of Commerce Based upon these inputs, and the Office staff review, final funding levels for the fiscal year will be recommended

After Secretarial approval and appropriate notifications, funds will be transferred to the appropriate Department field organizations for implementation of the approved program

**Table 1  
COMMUNITY TRANSITION FUNDING ACTIVITIES**

<b>Step</b>	<b>Activity</b>
(1)	CRO develops community transition plan based upon planning guidance from the Department. If appropriate, local Department field organization develops project descriptions for any Department facility/activities to be requested from the Office.
(2)	CRO submits community transition plan to the Department field organization.
(3a)	Department field organization conducts review of community transition plan and assists CRO in refining proposal.
(3b)	Office concurrently performs its initial field review of the community transition plan and any projects from the Department field organization.
(4)	Department field organizations submit community transition plan and field project requests to the Office for review and approval.
(5)	Economic Development Administration and the Peer Review Board evaluate CRO community transition plans and field projects.
(6)	Peer Review Board report and Economic Development Administration reports are submitted to the Office.
(7)	The Office conducts internal review.
(8)	The Office makes funding award decision.
(9)	The Office authorizes release of funds into Department field organization financial plan.
(10)	Community transition funds are available to recipients.

**V. EVALUATION CRITERIA FOR REVIEW OF PROJECTS AND PROGRAMS**

The following factors will be used to evaluate all project and program funding

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requests in community transition plans

- A Projected job creation (communities should seek to create at least one job for each \$10,000 to \$20,000 in funding received),
- B Projected job creation for workers affected by downsizing,
- C Viability of project to induce investment/growth in production of goods and services for which the community may have or be able to develop a comparative economic advantage,
- D Ability to reduce the region's dependence on the Department,
- E Consistency with the identified strengths of the region,
- F Past performance of the applicant,
- G Amount of local participation in the project, either financially or in terms of coordinated services,
- H Demonstrated cooperation with regional or state economic development efforts,
- I Ability of project to become self-sufficient,
- J Linkage of project to site cost reductions through transfer of site equipment, facilities or technologies, and
- K Other unique factors such as innovative features of the proposed project

## **VI. COMMUNITY TRANSITION PLANS**

### **A. Purpose**

- 1 The community-transition plan describes the overall strategies and, within each strategy, the actions proposed by the communities to respond to the changing missions at a Department facility. Where appropriate, it also describes the proposed programs, projects and estimated funding requested from the Department for a particular fiscal year. It is the overall framework and the rationale for the local response to the downsizing at the Department facility.
- 2 The plan serves an integrating function, building upon other existing planning efforts in the region. It should describe those efforts, the lessons learned from them, and should focus on the additional,

supplemental efforts the community believes are necessary and useful to respond to the changes at the Department facility. It should not duplicate other planning efforts, but would afford the community an opportunity to highlight innovations to address the impacts of downsizing.

## **B. General**

- 1 Initial planning grants from the Department should be used by CROs to prepare and submit to the Office a plan for anticipated community transition activities. This plan should be submitted through the appropriate Department field organization, who must approve the plan.
- 2 While each community faces unique transition challenges and will develop a plan specific to its situation, there are common topical areas that should be addressed in all plans. The following paragraphs offer guidance on what the Office considers critical components of a community transition plan. These are elements to be addressed in the plan, not necessarily an outline of the developed plans. The continued allocation of the Department's limited financial and other available resources will be contingent upon the completion of the plan and its contents. Both short-term and long-term objectives may be included.

## **C. Community Transition Plan Components**

### **1. Planning Analysis**

- a An analysis should be performed to establish the primary and secondary community impacts likely as a result of planned site restructuring. From a baseline established from local information sources, project the likely impacts on such primary factors as net job loss, changes in unemployment, loss of wages and disposable income, and business closings. Secondary impacts could include such factors as decreases in taxes and other user fees, loss of business and sales volumes, decreases in property values and other factors. Impacts on education, cultural activities, recreation, the environment and other socio-economic factors should also be considered. From an analysis of these impacts, develop a set of issues.
- b A critical part of the community transition plan is the analysis of strengths, weaknesses, opportunities and threats (SWOT analysis) to the community. This can be performed with planning assistance funds, or existing studies can be used. With the

SWOT analysis as a framework, set out an overall vision for the community and identify the programs and projects to be established, including the degree to which the programs and projects address the issues

## **2 Stakeholder Involvement**

Stakeholders should have the opportunity to participate in the planning process. Identify stakeholders providing input to the plan, describe method of input, and common areas of interest. A communication strategy must also be a component of insuring proper representation and community input into the planning and implementation process. This should also include CRO coordination with the applicable site and other groups, such as any Site Specific Advisory Boards, regional planning and economic development organizations and activities, labor, the business community, academic communities, and American Indian tribal governments

## **3 Prioritized Projects**

Develop a list of prioritized projects or programs based on the above considerations with an overall project budget and schedule for completion of each. For each project, the plan should contain a discussion of the following items

- a The primary goal of transition initiatives is the creation of jobs through the retention, expansion, attraction and creation of businesses, and through other measures, to offset the economic impacts of the Department's work force restructuring actions. The plan should identify likely benefits to workers displaced by the Department and the area's work force in general,
- b Amount, type, timing, and continuity of funding available from non-Department sources such as the U S Department of Labor's Job Training Partnership Act and the U S Department of Commerce's Economic Development Administration. Also include any state and local funding, and any private development sources, such as venture capital, financial institutions, revenue bonds, seed capital, revolving loans and other private funds. The use of these funds should be set out relative to any Department funding provided,
- c Coordination with other community programs, including independent economic feasibility reviews conducted by a group of professionals with knowledge of community economic conditions

This group may include bankers, heads of local corporations, directors of chambers of commerce, state and local governments, and directors of public economic development organizations,

- d Performance measures for each project,
- e A proposed scope of work, time line, and reporting schedule (generally, quarterly) of proposed activities, accomplishments, and expenditures,
- f Required federal grant application forms and financial information, as specified by the Department field organization,
- g Any anticipated preferences or non-traditional competition elements of the program, and their relationship to program objectives,
- h. A discussion of CRO coordination with units of federal, state, local, or tribal governments Demonstration that proposed projects will augment and not duplicate current community efforts,
- I Plans, if any, to support CRO operating and program costs following completion of the project grant (e g , self-sustaining mechanisms, local or non-Department support, revenue/income generation, future Department funding, or transfer of programs to other organizations),
- J Identification of any time-sensitive opportunities, or other pertinent background information,
- k If multi-year funding is anticipated, show how this year's increment related to prior year activities and what will happen if future year funding is reduced or eliminated; and

## **VII. PERFORMANCE MEASURES**

### **A. Purpose**

1. Performance measures represent a mechanism that the CROs and the Department can use to monitor performance They do this by providing a means for 1) determining how well a project is being executed, 2) indicating when corrective actions are required, and 3) documenting success

- 2 Performance measures establish a mechanism for program assessment. The CROs will use the results of their performance measures for self assessment purposes. The Department field organization and Headquarters staff will use the same results for purposes of external oversight.
- 3 Performance measures will be used to provide objective and defensible indications to the Congress and to the American people that the Department's economic development program is effective.
- 4 Finally, since the intent of performance measures is to evaluate program *execution*, performance measures need not be developed for start-up or planning assistance.

**B. Guidance**

1. CROs are responsible for developing performance measures based on this guidance and on their unique circumstances, goals, and objectives. The final measures will be negotiated with the appropriate Department field organization and, ultimately, approved by the Office.
2. Many CROs may have similar objectives. The Office encourages, but does not require, developing consistent performance measures in such cases and also encourages sharing best practices and lessons learned to the maximum extent possible.
3. Performance measures should not focus on minor aspects of performance, rather, they should comprehensively measure critical aspects of performance for any enterprise.
4. Performance measures and objectives should not be so difficult that they cannot be achieved through a reasonable amount of effort, nor shall they be excessively easy to achieve.
5. Performance measures shall be periodically assessed by the CROs and the results reported to the Department field organization and the Office.
6. When a performance measure is no longer providing useful information, it should be eliminated or replaced.
7. Performance measures shall be measurable in a numerical fashion to the maximum extent possible. Where numeric measurement is not possible, performance measures shall be evaluated against a clearly

defined set of criteria

- 8 In cases where grant requests are small (i.e., less than \$300,000) a less stringent requirement for performance measures may apply
- 9 On a quarterly basis, the CROs will submit a progress report to Department Headquarters via the appropriate Department field organization. The quarterly progress reports will contain, among other things, updated information on the CRO's performance measures. The progress report format may be found in Appendix C

### **C. Model**

Per the above guidance, the individual CROs will be tasked with developing performance measures for their particular enterprise. The Office recognizes that

1. The various CROs will have different missions, objectives, and priorities, the CROs are best equipped to determine what constitutes a good measure of performance for their particular situation
2. CRO missions are dynamic, and, therefore, their objectives may change from time to time. As a consequence, what constitutes a good performance measure today may not be appropriate tomorrow, therefore, CROs must be allowed the flexibility to alter their performance measures, with the Office's concurrence, to more closely align with changing missions and objectives
3. The CROs will have latitude in regard to the substance and nature of their performance measures. However, they will be expected to follow generally recognized principles for developing and measuring performance. By employing a performance measurement system, the Department will be able to assess and describe the effectiveness of the program. This will assist in determining appropriate levels for the program in future years and will help each site and each CRO assess the effectiveness of its program

### **D. Areas to Address**

The following paragraphs delineates the types of issues that should be considered when developing a performance measurement program

1. Job creation the act of creating jobs that did not previously exist in a defined marketplace, especially jobs that will assist displaced workers

from the affected site. Communities should seek to create at least one job for each \$10,000 to \$20,000 in funding received.

2. Job retention holding in place the existing work force and providing substitute employment for at risk or displaced workers within a defined geographic area
3. Regional development enhancement of the attributes of a geographic area to promote the commonly held and understood assets of that region.
4. Business start-ups new commercial or industrial enterprises, legal entities, partnerships, etc
5. Expansion of existing businesses the ability to hire more workers and to increase the demand for goods and services ultimately stimulating the economy (e.g., increase revenues, broaden the tax base)
6. Economic diversification any activity within a defined geographical area that makes the area less dependent upon Department business
7. Training providing skills and classes necessary to prepare workers to maintain the skills required to continue in one's current position or alternative job
8. Commercialization the act of making assets (e.g., technologies, use of facilities or equipment) under Department control available for third party use or for use by the M&O contractor for non-Department business activities
9. Facility reuse the reuse of Department facility real estate and fixtures including buildings, land, and facilities that are not needed for the Department's traditional missions
10. Leveraging the ability of the CRO to commit non-Department resources as a match for Department funds requested. Leveraging should be indicated as a ratio of non-Department to Department resources, e.g., if a CRO requests a \$100,000 grant and commits \$50,000 in non-Department matching funds, the leveraging factor would be 1.2
11. Matching funds defined as non-Department resources committed to CRO programs. Matching funds may include the following

- a *cash* - funds committed to projects to pay for various program activities, including personnel, equipment, materials, supplies, facilities, etc
  - b *in-kind* - contributions other than cash committed to program activities In-kind contributions may include personal time, donated facility space, equipment loans or value of discounted services
- 12 Personal property transfer the transfer of Department controlled equipment, supplies, and intellectual property to another entity -- can involve transfer of title, licensing or leasing of the property
  - 13 Community relations broad-based solicitation and encouragement of public awareness and participation in decision-making processes
  - 14 Administration, Outreach and Finance business systems and processes incorporated to manage the development and implementation of the community transition program, including community involvement and fiscal responsibilities (e g , contractual compliance, auditing, the raising and expending of monies, granting credit, and making investments)

## VIII. REVIEWS

### A. Financial Management Reviews

#### 1. General

- a The Department field organizations should apply the requirements of Departmental financial assistance policies and procedures which are set forth in 10 CFR Part 600 Those sections of the CFR provide guidance in the various aspects of financial assistance management including general administrative requirements, reports and records, making changes in the grant scope, and auditing requirements
- b. The Office should develop procedures for financial management oversight which establish requirements beyond those of 10 CFR Part 600, as necessary

#### 2 Purpose

Careful monitoring of program implementation is necessary due to the

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level of public involvement in community transition activities. The Office is responsible for establishing appropriate standards to assure proper accounting for the use of community transition assistance funds.

**3 Procedures**

- a Conduct financial management reviews of Department field organization community transition programs on an as needed basis. Specific areas of review are financial reporting, accounting records; internal control, budget control, allowable cost, source documentation, cash management, and project accounting.
- b The Office should track completed grants and close-out reports that address audit findings.

**B. Program Reviews**

The Office plans to conduct programmatic reviews of Department field organizations to assess accomplishments, determine progress and identify issues needing study. These reviews should be performed on a frequency and at locations as determined by the Office Director, and should be coordinated with the management of the Department field organization being reviewed. The Office should not review CROs, except when accompanying a Department field organization during its review. It is the general goal of the Office to review each Department field organization that is implementing a community transition program at least once every year.

**IX. POST-AWARD FUNDING**

**A. Field Organization Responsibility**

Each Department field organization managing community transition activities should establish a funds management process in accordance with 10 CFR 600.

## APPENDIX A

### OFFICE OF WORKER AND COMMUNITY TRANSITION CONTACTS

**Director:**

Bob DeGrasse . 202-586-7550, FAX 586-8403

**Deputy Director**

Terry Freese 202-586-5907, FAX 586-8403

**Work Force Planning:**

Lyle Brown . 202-586-0431, FAX 586-8403

Laurel Smith . 202-586-4091, FAX 586-8403

Debby Swichkow 202-586-0876, FAX 586-8403

**Work Force Restructuring**

Terry Freese . 202-586-5907, FAX 586-8403

**Labor Relations:**

Lyle Brown . 202-586-0431, FAX 586-8403

Deborah Sullivan 202-586-0452, FAX 586-8403

**Community Transition:**

Bob Baney . 202-586-3751, FAX 586-8403

Mike Mescher . 202-586-3924, FAX 586-8403

Laurel Smith . . 202-586-4091, FAX 586-8403

Debby Swichkow . 202-586-0876, FAX 586-8403

**Public Participation**

Laurel Smith 202-586-4091, FAX 586-8403

Natasha Wieschenberg 202-586-0354, FAX 586-8403

### COMMUNITY TRANSITION FIELD CONTACTS

Paul Dickman, Albuquerque Operations Office 505-845-4313, FAX 845-5508

Rod Warner, Fernald Environmental Management Site 513-648-3156, FAX 648-3076

Ken Osborne, Idaho National Engineering Laboratory 208-526-0805, FAX 526-8789

Ken Sprankle, Miamisburg Area Office 513-865-3649, FAX 865-4489

Darwin Morgan, Nevada Operations Office 702-295-3521, FAX 295-0154

Bob Hamilton, Oak Ridge Operations Office 423-576-7723, FAX 576-6363

Gene Pressoir, Pinellas Area Office 813-541-8062, FAX 541-8370

Mike Dabbert, Portsmouth Gaseous Diffusion Plant 614-897-5525, FAX 897-2982

Mark Coronado, Richland Operations Office 509-376-3502, FAX 376-8142

Mike Bolles, Rocky Flats Office 303-966-2473, FAX 966-6633

- Dave Hepner, Savannah River Operations Office 423-576-7723, FAX 576-6363

## APPENDIX B

### LISTING OF DEFENSE NUCLEAR FACILITIES

*The list below reflects facilities receiving funding for Atomic Energy Defense activities of the Department of Energy, with the exceptions of activities under Naval Reactor Propulsion. It is recognized that these facilities have varying degrees of defense activities, ranging from a total defense dedication to a very small portion of their overall activity. This may cause certain difficulties in implementing the intent of the section 3161 legislation. Regardless, this listing will be used by the Office for possible application of funding received for defense worker assistance and community transition purposes.*

Kansas City Plant  
Pinellas Plant  
Mound Facility  
Fernald Environmental Management Project Site  
Pantex Plant  
Rocky Flats Environmental Technology Site, including the Oxnard Facility  
Savannah River Site  
Los Alamos National Laboratory  
Sandia National Laboratory  
Argonne National Laboratory  
Brookhaven National Laboratory  
Lawrence Livermore National Laboratory  
Oak Ridge National Laboratory  
Nevada Test Site  
Y-12 Plant  
K-25 Plant  
Hanford Site  
Idaho National Engineering Laboratory  
Waste Isolation Pilot Project  
Portsmouth Gaseous Diffusion Plant  
Paducah Gaseous Diffusion Plant

**APPENDIX C**

**QUARTERLY PROGRESS REPORT (DATE)**

**Project Title:** *(a name selected by the site for the specific activity or activities-- e g , incubator loan fund entrepreneurial training The site and the CRO will determine the best method for project definition, consistent with the way funds were requested and approved*

**DOE Site Contact** *(name of DOE Field or Area Office point of contact)*

**CRO Contact** *(name of CRO point of contact [if different from the project manager])*

**Project Manager** *(name address, and phone number of the primary applicant of the project under review)*

**Project start date** *(date funding recipient is authorized to proceed by the field office)*

**Expected completion date** *(Date funding recipient is expected to complete the project)*

**Description of project** *(a short narrative description of the project )*

**Funding History** *(a record of the project funding Committed means funds released to a field organization by the Office of Worker and Community Transition [the Office], obligated means monies released to the CRO or other recipient by the field organization and costed means expended by the CRO or other recipient )*

<b>Status of the Office Funds</b>	<b>Cumulative Amount</b>
Committed by the Office	
Obligated by the field organization	
Costed by the recipient	
Unobligated by the field organization	

*For the Office funding, identify the cumulative amount committed by the Office, the cumulative amount obligated by the field office, the amount unobligated, and the amount costed by the recipient (The last three are expected to add up to the amount committed by the Office) For leveraged funds identify each source and the cumulative amount from that source*

<b>Funding Source</b>	<b>Cash</b>	<b>In-kind</b>

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**Accomplishments** (project outcomes to date report on performance measures identified and jointly agreed to by DOE field and CRO)

<b>Performance Measures</b>				
<b>Category</b>	<b>Scheduled date</b>	<b>Projected outcome</b>	<b>Actual date</b>	<b>Progress to date (or to the end of the project)</b>
<i>(e g create new businesses)</i>	<i>9/94</i>	<i>Start-up 2 businesses</i>	<i>12/94</i>	<i>3 new businesses</i>
<i>(e g create new jobs)</i>	<i>9/94</i>	<i>20 jobs</i>	<i>10/94</i>	<i>30 jobs</i>

Date (Joint signature) DOE Field Office

Date (Joint signature) CRO

The "Why" and "How" Of Public Involvement

«Почему» и «как» процесса общественного участия

The "Why" and "How" Of  
Public Involvement

«Почему» и «как»  
процесса  
общественного участия

### **What Is Public Involvement?**

**Public involvement is a process of two-way communication with persons who may be concerned about or interested in a project, problem, or research question**

### **Что такое общественное участие?**

**Общественное участие - это процесс двустороннего общения с теми, кто проявляют интерес или озабоченность по поводу какого-либо проекта, проблемы или исследовательского вопроса**

### **"The Public" Has Many Components**

- ◆ The "general public"
- ◆ Persons who are affected by a decision or policy
- ◆ Persons or groups who express interest, such as environmental activists and nongovernmental organizations
- ◆ Community leaders (educators, religious leaders, etc )
- ◆ Local, regional, and national government officials
- ◆ Labor unions
- ◆ Scientists

### **«Общественность» включает в себя много компонентов**

- ◆ Широкая публика
- ◆ Лица, на которые принятие какого-либо решения или курса влияет непосредственно
- ◆ Лица или группы лиц, проявляющие интерес, такие как активисты в области окружающей среды и неправительственные организации
- ◆ Лидеры групп населения (в области просвещения, религии, и т д )
- ◆ Чиновники на местном, региональном и национальном уровнях
- ◆ Профсоюзы
- ◆ Ученые

**Public Involvement Helps Government and Industry Make Decisions They Can Implement**

- ◆ Siting decisions for waste disposal facilities
- ◆ Balancing forest conservation, species protection, and harvesting objectives
- ◆ Negotiated rulemaking to implement laws
- ◆ Dose reconstruction and health studies at nuclear facilities
- ◆ Other management decisions in which the public expresses interest

**Общественное участие способствует принятию решений, которые могут быть внедренными**

- ◆ Решения о расположении объектов для удаления отходов
- ◆ Балансирование целей охраны леса, защиты видов, и лесоводства
- ◆ Становление правил для внедрения курса
- ◆ Реконструкция доз и изучение здоровья населения вблизи от объектов атомной промышленности
- ◆ Другие решения в которых общественность проявляет интерес

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**The Public Involvement Goal for DOE's  
Office of Public Accountability**

**"To establish an impeccable decision-making process so that even if people don't agree with the ultimate decision, they can at least feel the decision-making process was fair "**

**Цель общественного участия  
в деятельность  
Отдела общественной подотчетности  
Департамента по Энергетике**

**«Установить безупречный процесс принятия решений, при котором даже в случае несогласия людей с окончательным решением, они чувствуют, что сам процесс был честным »**

**Before DOE Adopted Public Involvement,  
Implementing Decisions Provoked Disagreement**

**ACTION**

- ◆ Decide, announce, defend
- ◆ Attempted implementation



**REACTION**

- ◆ Critical, organized group reaction
- ◆ Stronger and highly publicized opposition

**До того, как Департамент по энергетике  
принял идею общественного участия,  
внедрение решений вносило много  
разногласий**

**ДЕЙСТВИЕ**

Принятие решения,  
объявление о нем, и  
его защита



**РЕАКЦИЯ**

Критическая реакция  
организованных групп

Попытки его внедрения →

Более сильная и сильно  
разрекламированная  
оппозиция

### **When Is Public Involvement Useful in Scientific Research?**

- ◆ The public is concerned and interested
- ◆ The public can provide information
- ◆ The public holds divergent views about the subject of research
- ◆ Public acceptance of the results will facilitate future decisionmaking

### **Когда общественное участие приносит пользу в научных исследованиях?**

- ◆ Когда общественность проявляет интерес и озабоченность к делу
- ◆ Когда общественность может обеспечивать исследователей информацией
- ◆ Когда заметно разногласие в общественных взглядах об исследуемом предмете
- ◆ Когда общественная уверенность в результатах исследования способствует принятию решений в будущем

**Adopting Public Involvement Has Helped DOE  
Design and Implement Program Activities**

- ◆ Public input is integrated into the project cycle during
  - ◆ Policy formulation
  - ◆ Decisionmaking
  - ◆ Implementation
  - ◆ Monitoring
- ◆ Public support for DOE decisions has increased

**Принятие общественного участия  
помогло оформлению и внедрению  
программ Департамента по  
энергетике**

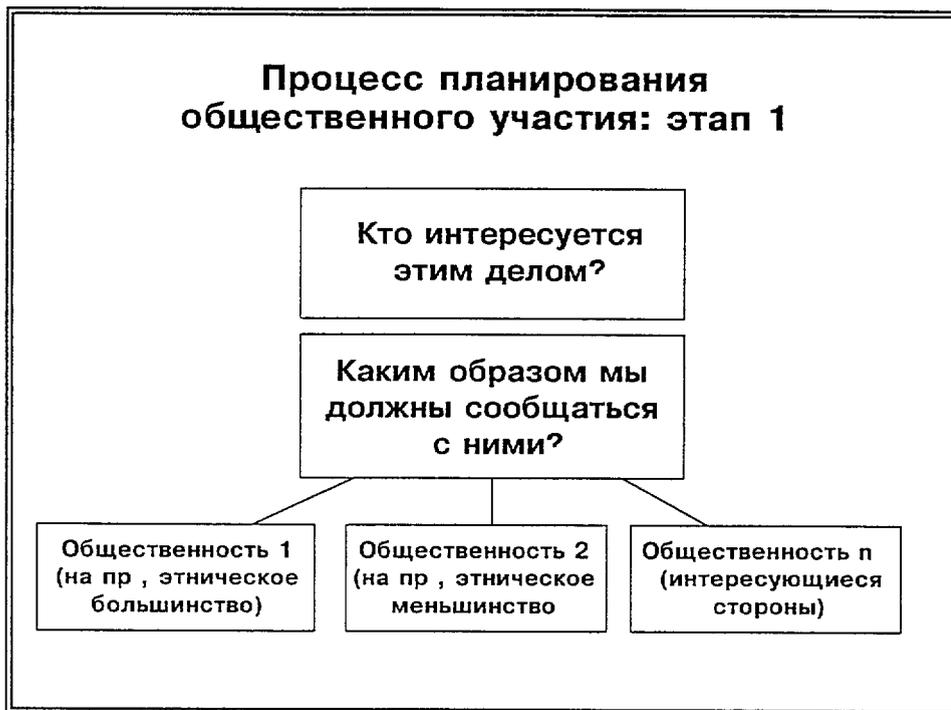
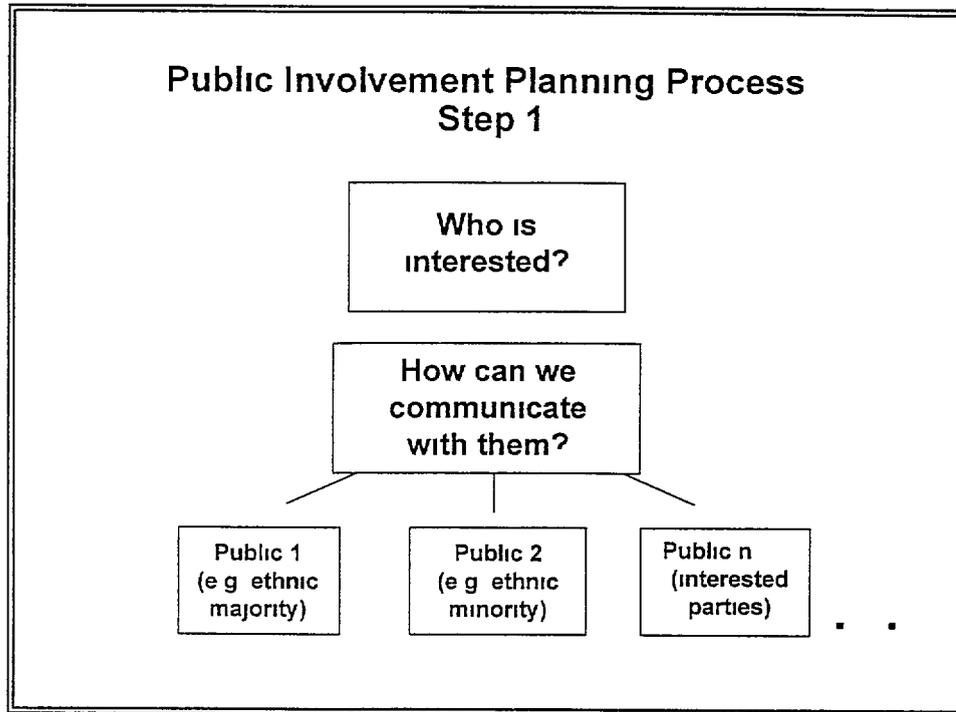
- ◆ Общественная подача информация играют роль в течение всего проектного цикла
  - ◆ Формулировка курса
  - ◆ Принятие решений
  - ◆ Внедрение
  - ◆ Мониторинг
- ◆ Общественная поддержка решений Департамента по энергетике возросла

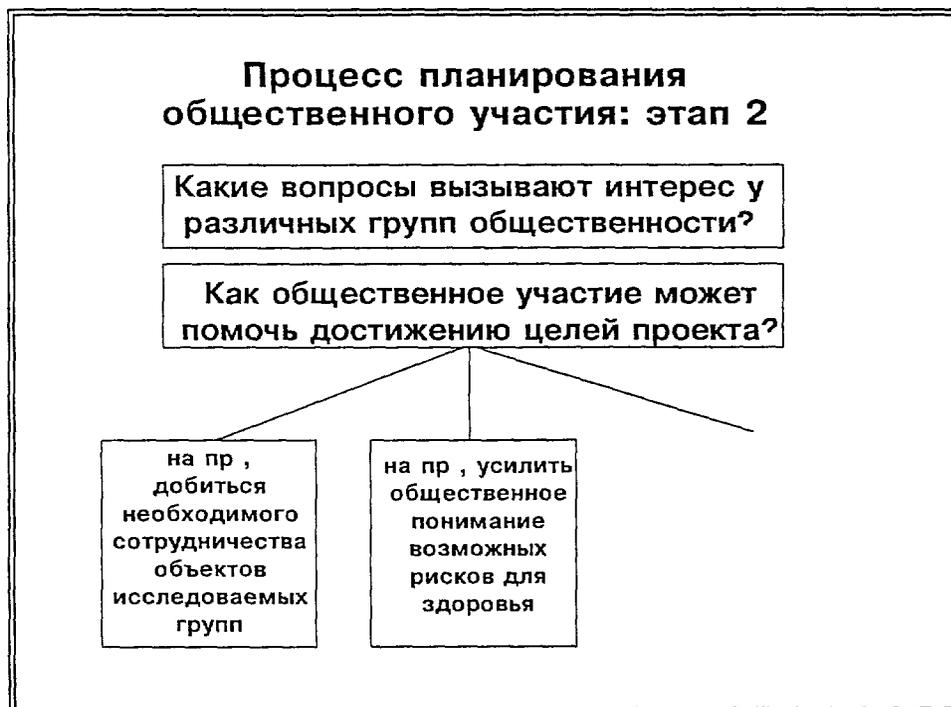
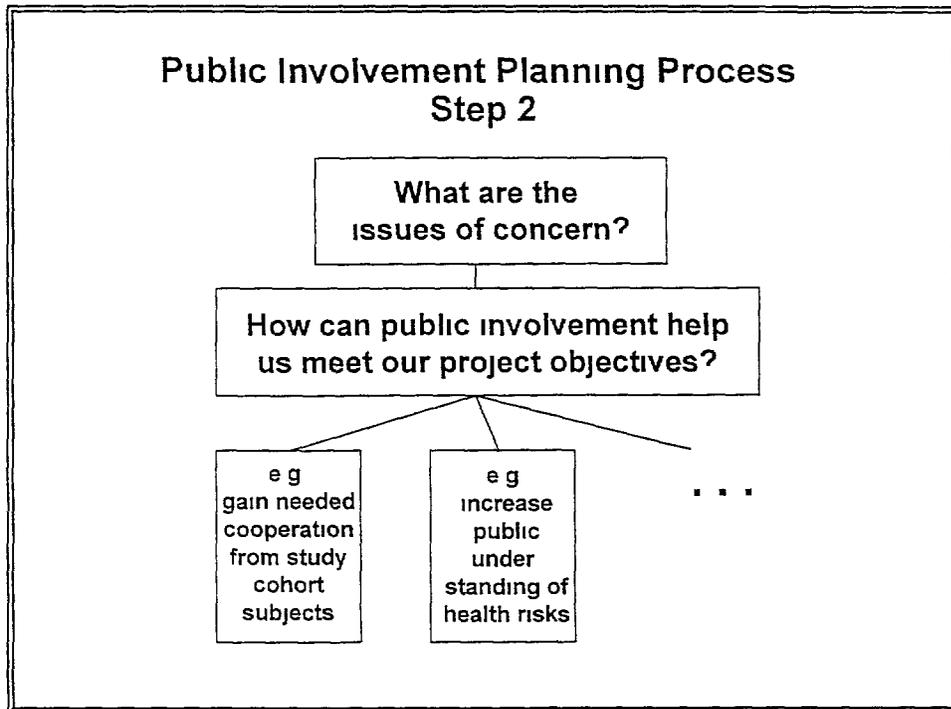
### Five Planning Steps for Effective Public Involvement

- ◆ Identify stakeholders
- ◆ Analyze issues and gauge degree of interest
- ◆ Assess the public's information needs
- ◆ Plan involvement strategies
- ◆ Consult, adjust, and implement

### Пять этапов по планированию эффективного общественного участия

- ◆ Выявить заинтересованных лиц
- ◆ Выяснить интересы и степень обеспокоенности этих лиц
- ◆ Оценить потребность общественности в информации
- ◆ Спланировать стратегии общественного участия
- ◆ Консультироваться, приспосабливаться и внедрять





### Step 2 (Continued)

Early consultation with the public is helpful to the planning process

- ◆ Learn firsthand public's concerns
- ◆ Communicate project objectives
- ◆ Establish rapport with public

### этап 2 (продолжение)

Заблаговременная консультация с общественностью помогает процессу планирования

- ◆ Узнать об интересах общественности из первых рук
- ◆ Сообщить о целях проекта
- ◆ Установить контакт с общественностью

**Public Involvement Planning Process  
Step 3**

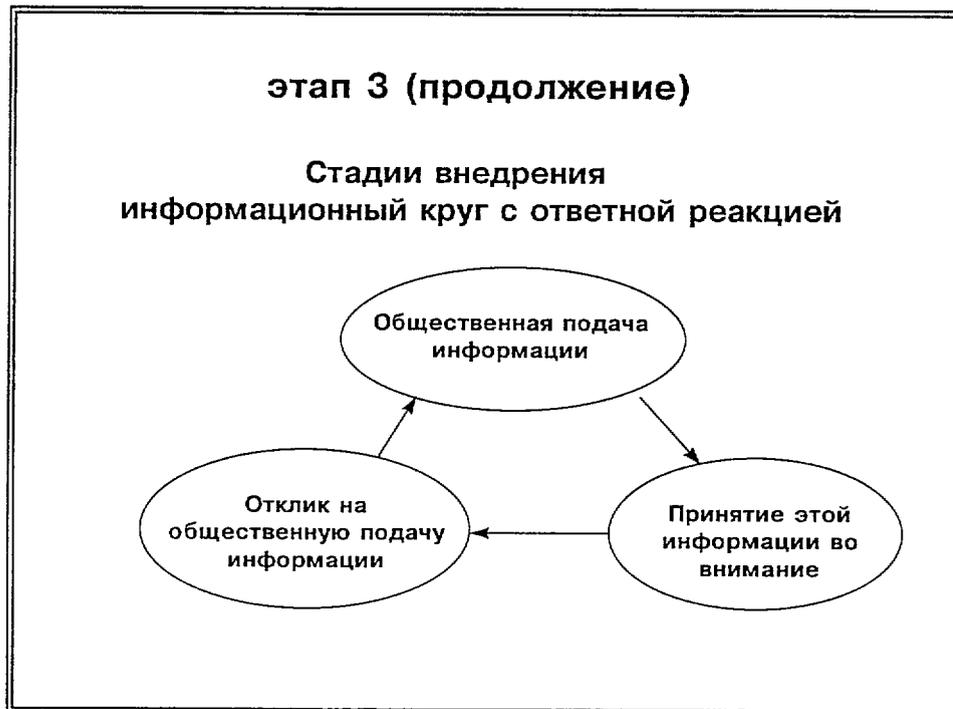
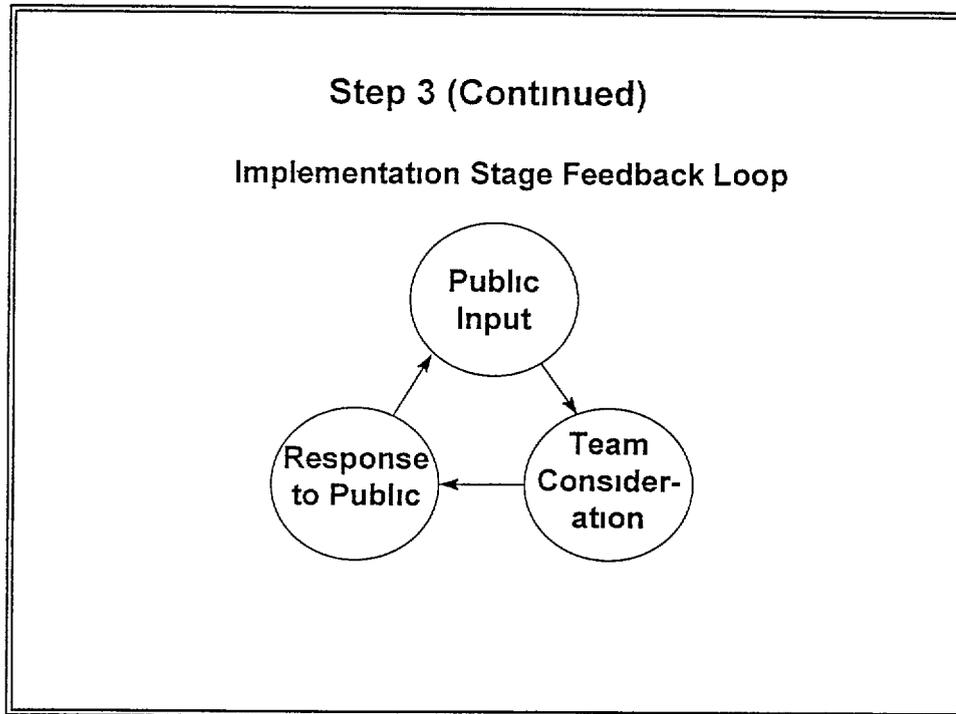
**What information does the public need?**

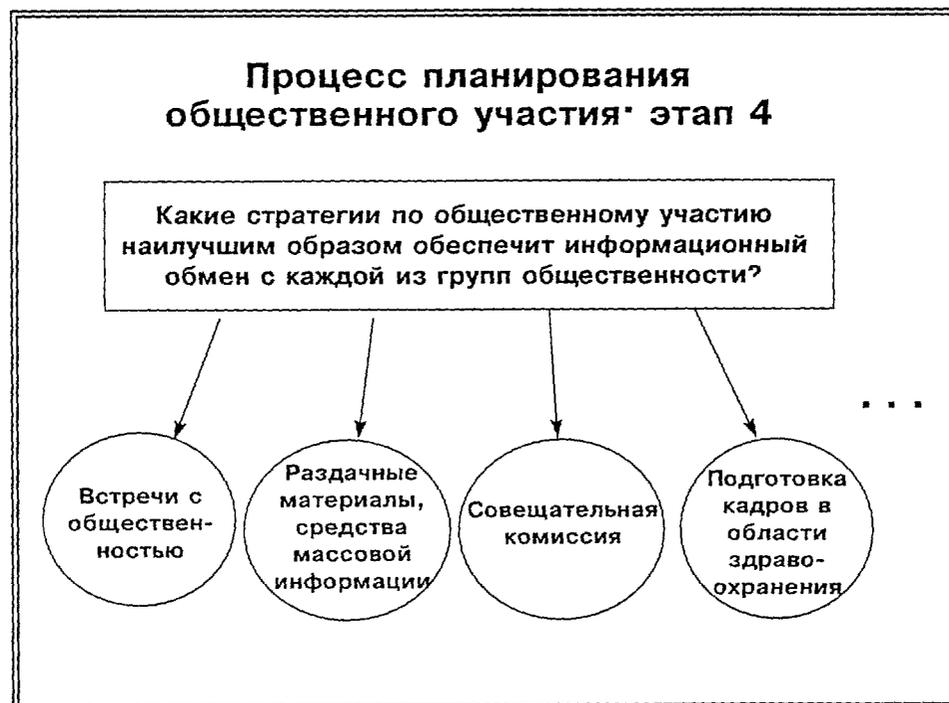
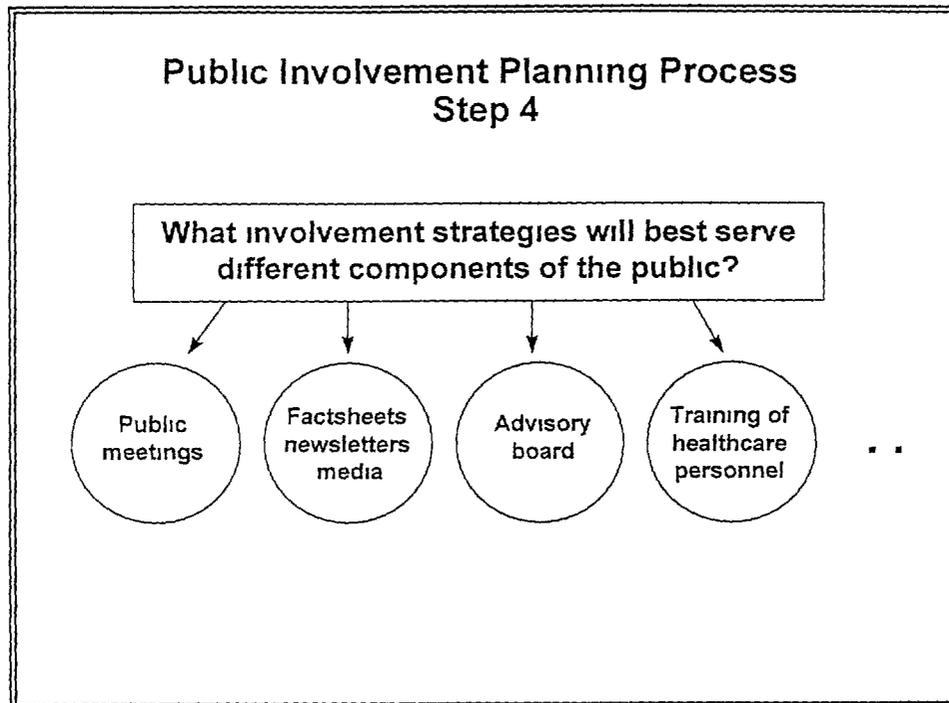
- ◆ Background information
- ◆ Introduction to epidemiology
- ◆ Study protocol
  
- ◆ Feedback loops

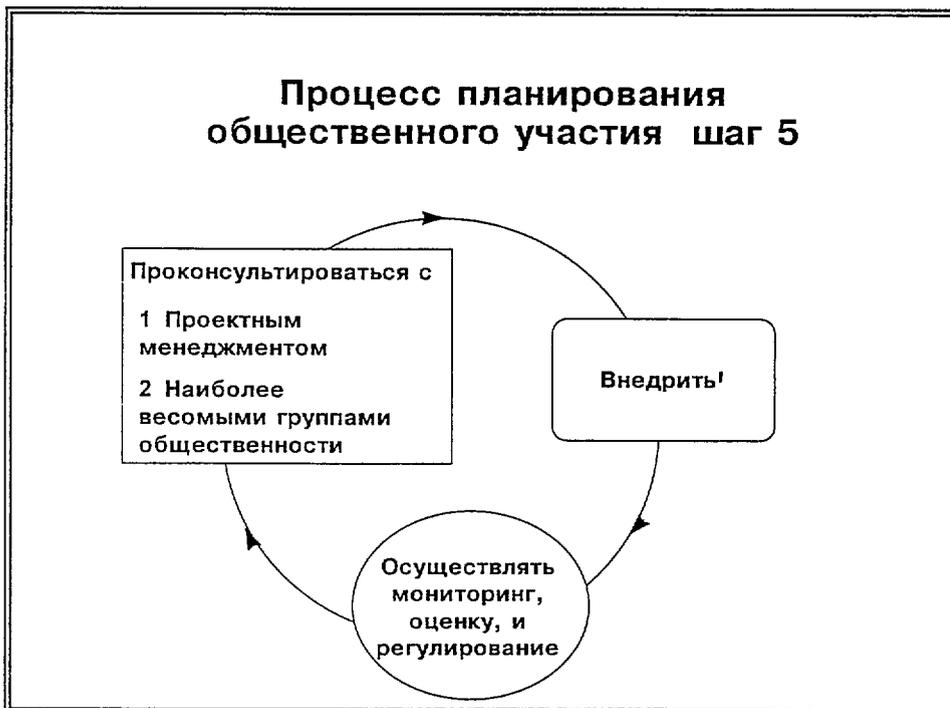
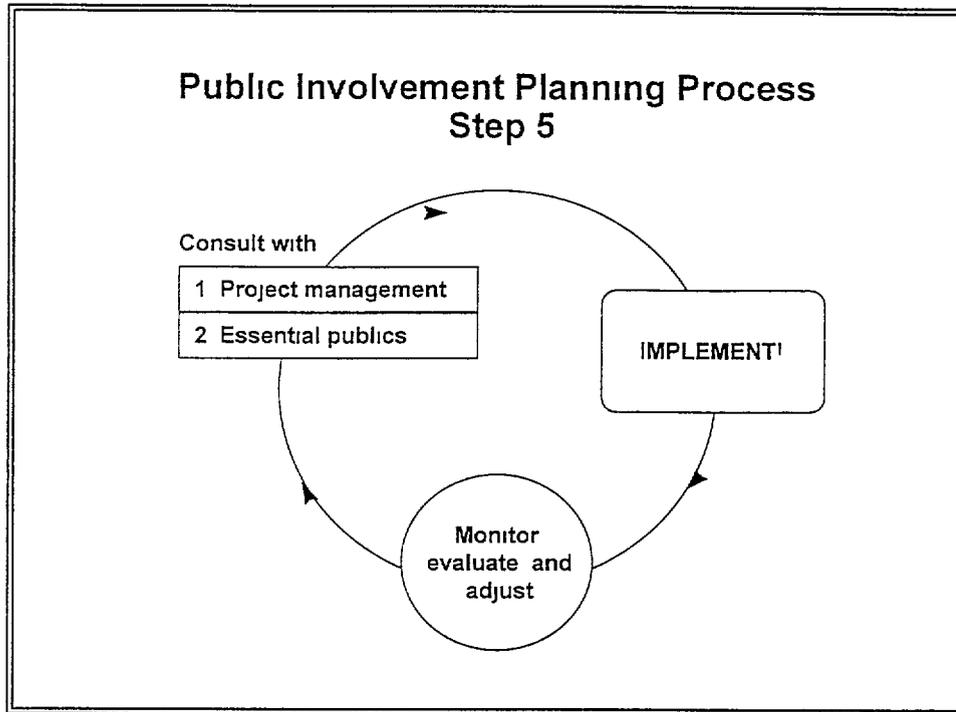
**Процесс планирования  
общественного участия: этап 3**

**Какая информация нужна общественности?**

- ◆ Предыстория
- ◆ Введение в эпидемиологию
- ◆ Протокол исследования
  
- ◆ Наложение информационных кругов с  
ответной реакцией







### **Effective Public Involvement Requires Planning and Commitment**

- ◆ Public involvement must be integrated, not "added on" or delegated to staff
- ◆ Public involvement must be supported by project management and scientists
- ◆ "Early and often" produces the best results
- ◆ Public involvement takes time and costs money, but the potential return-on-investment is public acceptance of the results

### **Эффективное общественное участие требует планирования и преданности**

- ◆ Общественное участие должно быть объединенным в проекте, не прибавленным к проекту или порученным подчиненным
- ◆ Общественное участие должно пользоваться поддержкой исследователей и руководства проекта
- ◆ «Заблаговременно и часто» приносит лучшие результаты
- ◆ Общественное участие требует времени и денежных расходов, но возможный доход является общественным принятием результатов исследований

### **What Role Does Public Involvement Play in Scientific Research?**

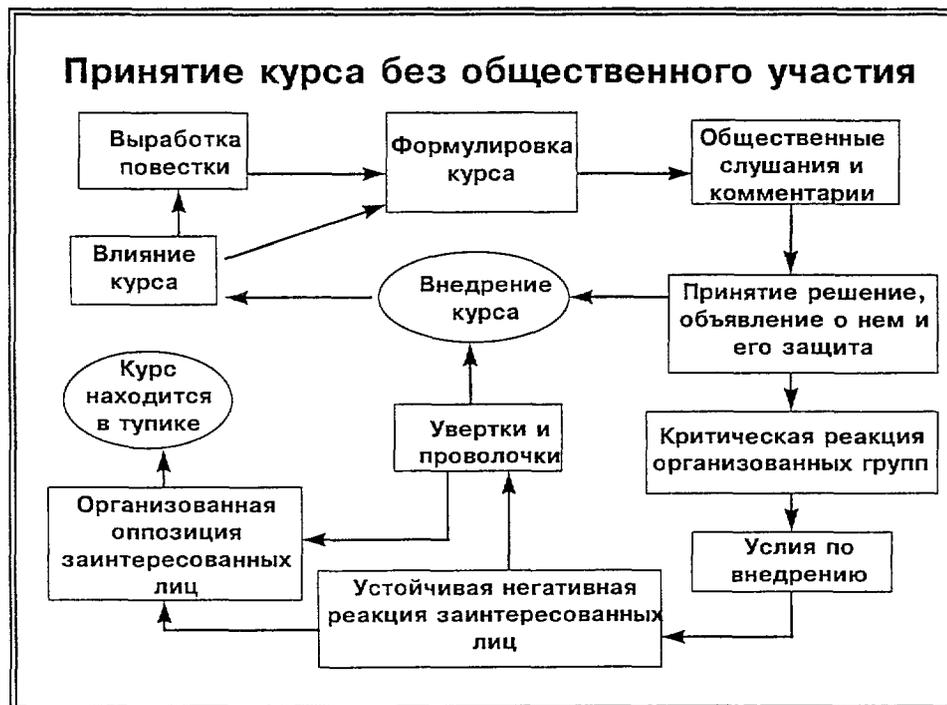
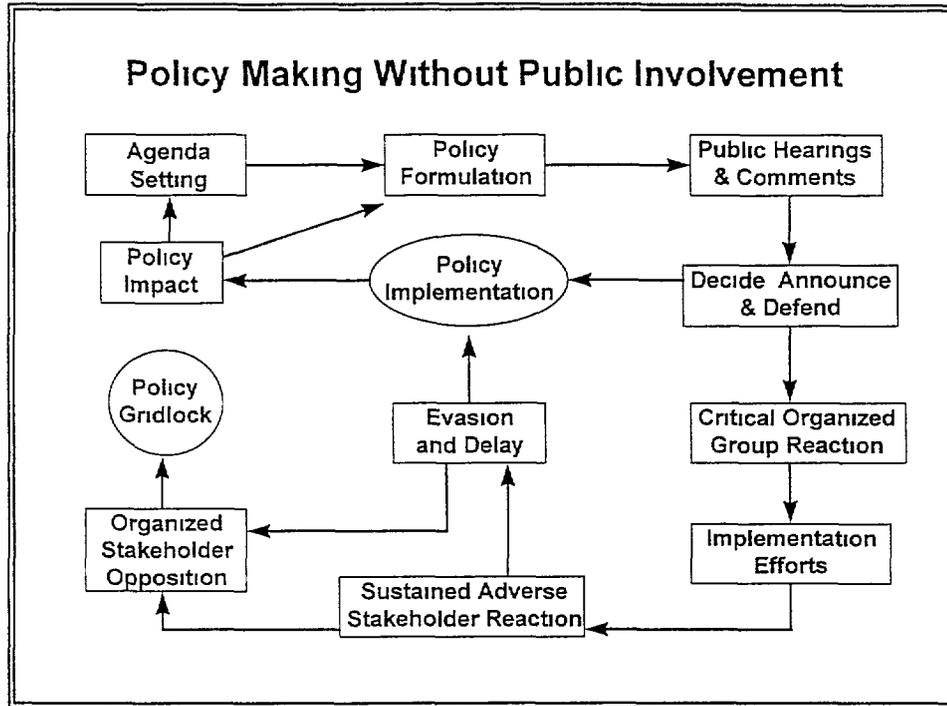
#### **Public involvement**

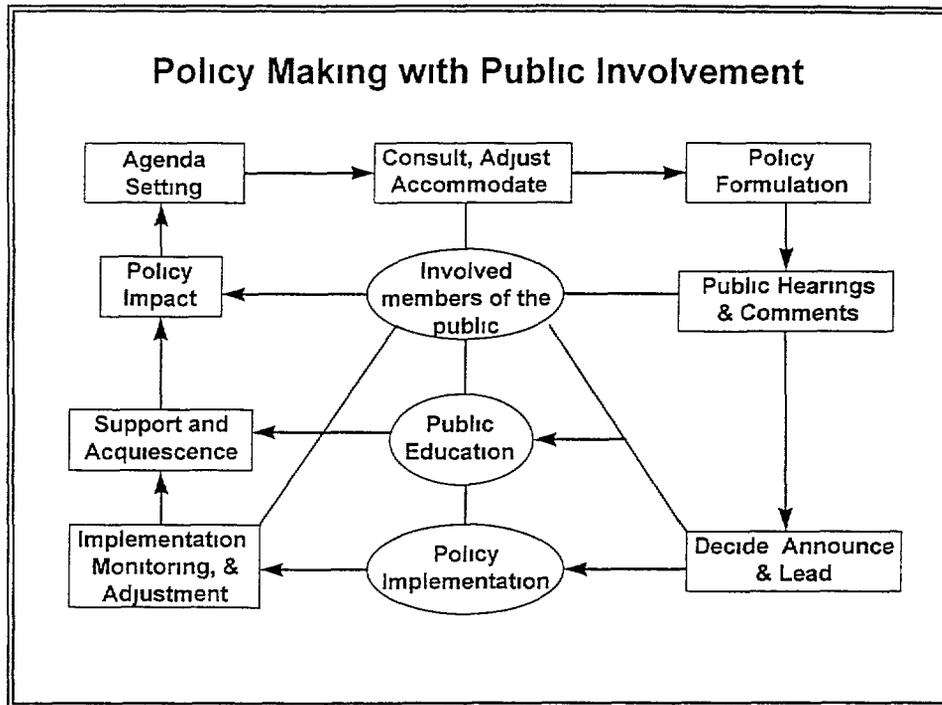
- ◆ Opens channels for the feedback of public opinions and data to researchers
- ◆ Offers a mechanism for the discussion of issues of a scientific and social nature
- ◆ Helps scientists earn public trust and establish credibility for research results

### **Какую роль играет общественное участие в научных исследованиях?**

#### **Общественное участие**

- ◆ Открывает для исследователей пути получения мнения и данных
- ◆ Предоставляет механизм обсуждения вопросов научного и социального характера
- ◆ Помогает ученым завоевать общественное доверие и продемонстрировать достоверность исследовательских результатов





# ECONOMIC ADJUSTMENT TECHNICAL BULLETIN 3

## CHANGES AT MILITARY BASES A Community Planning Challenge

Office of Economic Adjustment  
Department of Defense

This Bulletin gives an overview of the second critical base closure adjustment phase—*planning for the civilian use of a former military base*

A closed military base is often the single greatest economic development asset to befall a community. Suddenly a major airfield, port facility, or commercial and industrial space becomes available, with built-in support infrastructure. Base land and buildings also offer an opportunity to satisfy unmet requirements for affordable housing, community facilities, and services. Most major bases have a variety of housing units, recreation, health care, and education facilities that could be used to establish or expand these services in the area affected by base closure. In short, a closing military base presents a menu of opportunities from which to select that can have a major positive effect on the future of the community surrounding the closing base.

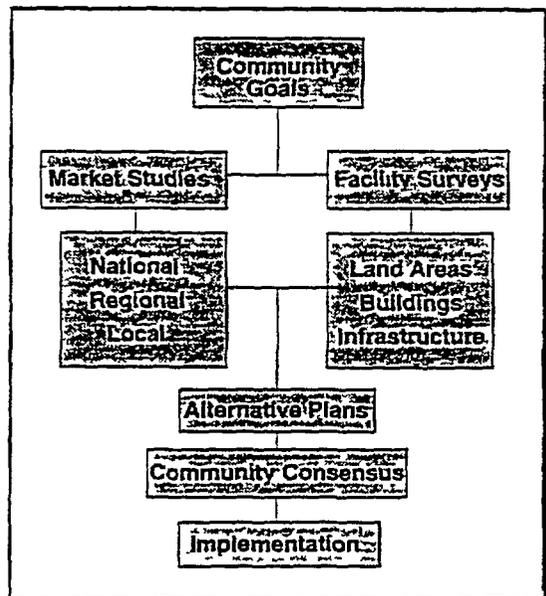
The planning challenge is to assess the redevelopment potential offered by the base, in the context of ongoing local development (community and economic) efforts and to integrate the base property and facilities with the surrounding community. This is often an immense task that must be undertaken in a short time frame.

For example, Pease Air Force Base (AFB) was announced for closure in December 1988. The base actually closed in March 1991. Pease AFB comprised about 4,300 acres of land adjacent to a national estuarine reserve. Half the base was in the City of Portsmouth and the other half in the Town of Newington. One half of Newington's land area is within the base, as is one fifth of Portsmouth's. The 11,300 foot runway is the longest in the Northeast offering an unparalleled transportation opportunity previously unavailable in the state. A comprehensive planning process had to be launched so a base redevelopment plan would be ready before Pease closed to direct the development of new job producing activities.

The Pease closure was considered accelerated, although subsequent base closures have trimmed the time to 18 months from announcement to closure at some bases. The Base Closure Community Redevelopment and Homeless Assistance Act of 1994 has further truncated the planning period, while empowering local economic adjustment organizations (LEA's) to negotiate decisions on homeless provider use as well as other Federal public benefit property conveyance programs. This negotiation period will begin 15 months after the Secretary announces his recommendations for closures by March 1995. Community organizations will need to have a preliminary reuse plan by summer 1996 as a framework for redevelopment decisions.

The planning process is complex, as the canvas is not clean, the specialized security access, utility and infrastructure requirements, and layout designed for military use must be modified for civilian use. Often the infrastructure is old, access is limited (for security), and there is no parcelization of the property. Utilities follow the shortest path, roadways may not meet commercial and industrial standards, and of course, there is only one meter—at the main gate.

The planning challenge demands a rigorous approach that starts with overall community goals and ends in the implementation of a plan broadly conceived, finely honed and supported by consensus. The following diagram shows the sequential phases.



## GOAL FORMULATION

Each base must be treated individually, with each community focusing on certain aspects of the planning process, depending on the redevelopment context. The first step entails the determination of overall goals and objectives to guide the planning process. These should emanate from the economic adjustment organization established during the organization phase of the adjustment process. The goals are a part of the overall economic recovery strategy developed by the organization. This strategy helps restore private sector confidence and promotes renewed business investment.

Usually a major goal is job creation. Others might include economic feasibility of redevelopment, tax base expansion, diversification of the local economy, maintenance of a certain environmental quality, meeting affordable housing needs, or to create a certain redevelopment theme.

## OBJECTIVES

The planning process also needs more specific site development objectives to guide planning. These usually include:

- Civilian job replacement
- Public use of portions of the site
- Highest and best use of land and facilities
- Phased development to meet short-term goals but not preclude longer range goals
- Expanded site access (roads, rail and water)
- Quality appearance
- Compatibility with existing and planned off-site development
- Image change from military to civilian
- Minimal public cost

## ANALYSIS

Once the guiding goals and objectives have been adopted, considerable baseline data collection and contextual analysis needs to be completed that will allow the rational development and evaluation of feasible reuse alternatives for the base. Engineering drawings and information on the base operations are a crucial source of information. This is available from the base engineer. Unique buildings, physical features, or other major assets should be identified, as they may provide a marketing theme for the converted base.

Redevelopment might fit neatly into an existing economic development strategy for the area, however, it is more likely that the base and its buildings bring a new competitive element to the area, a new marketing angle. This requires a fresh look at area development assets, analysis of feasible business opportunities, and a revision of the area economic development strategy. The competitive niche must be identified.

A base like Pease may have extensive runway and ramp space, a strategic location, proximity to a major deep water port and interstate highway systems, collectively making it feasible as an international transportation hub and trade center, linked to expanding international markets. Extensive military training facilities at another may suggest that the local strategy should include marketing the base as a major business or industry training center. And sometimes a particular building or group of buildings can become the centerpiece for new development. Each base has some unique facilities or capacities that can expand local economic development horizons. In all places it is critical that community leaders have vision when they plan for base redevelopment.

## USES

The redevelopment experience of communities that successfully converted former military bases to productive civilian uses shows common threads:

- Industrial and office parks are located on more than 75% of these bases
- Educational institutions are on 60%
- Public airports are located on 40%
- Public recreation facilities are on 30%
- Health related activities are on 20%

Potential public and private uses are as broad as local imagination, practicality, and economic feasibility permit. Typical categories include aviation, commerce, industry, education, health, recreation, prisons, housing, and public administration. Facility surveys and market analysis will reveal which uses are possible. Public input through the subcommittee structure of the economic adjustment organization will also help to identify potential public and private uses.

## ALTERNATIVES

A range of feasible, alternative concepts should be developed and evaluated, using the goals and objectives as a measuring stick. Based on market potential and community needs, numerous concepts should be evaluated, each focusing on a development theme. These concepts are then reviewed in the context of community goals and objectives and ranked for more detailed evaluation. A preferred redevelopment concept can then be selected. Throughout the development and analysis of alternatives, public participation is essential to help arrive at a consensus on the development concept.

An important ingredient to this part of the planning process is knowledge of the land acquisition choices. If one of the major objectives is to minimize public costs, a balance of public benefit (no cost) acquisition and private sector redevelopment is a wise pursuit. Public or nonprofit use of portions of the base for aviation, education, recreation, wildlife conservation, seaports, and health purposes (including homeless use) are generally at no cost. However, there will be public costs to redevelop and operate the facilities for public uses, with little or no tax revenues generated. Also, public benefit acquisitions have "strings attached." They must continue to be used for these public purposes, constraining long-range development flexibility.

## DETAILED PLANNING

After a consensus is reached on the overall redevelopment plan and the Federal disposal agent (usually a Military Department) agrees with the acquisition proposals to implement the plan, work can begin on the details of site layout, parcelization, phased redevelopment, design controls, and property management considerations. It will be important to establish the "new civilian look" for the base early in the conversion process. This may include the creation of a new entrance, demolition of obsolete buildings, and landscaping to achieve the desired image. Local comprehensive plans and zoning must be updated and adopted to reflect the base reuse plan. It is

imperative that these decisions be made *before* the disposal of property by the Federal Government, particularly those portions of the base that will be purchased by the private sector.

## WHO PLANS?

The planning task can be accomplished using existing local planning staff or a collaboration of state and local entities involved in planning and economic development. Augmentation of staff resources may be required. More often consultants are hired, as the magnitude of the task is beyond normal staff capacities. In either case, the economic adjustment organization should set the policy framework and be used to arrive at a consensus throughout the process.

## HELP

Most base reuse planning is accomplished with a combination of Federal, state and local resources. Technical and financial assistance are available from the Office of Economic Adjustment (OEA) to undertake planning activities (Community Planning Assistance Program). Certain statutory requirements must be met to qualify.

How to manuals are available from the OEA to help structure an appropriate planning program. "*Civilian Reuse of Former Military Bases 1961-1993*," and "*Planning Civilian Reuse of Former Military Bases*." Additional guidance is available from members of the National Association of Installation Developers (NAID), a network of former military base owners and operators which sponsors annual conferences on planning, redevelopment and management issues. NAID can be reached on (703) 836-7973.

*The reuse of former Defense facilities and land offers an unprecedented opportunity to change course and influence future community land use and development.*

**MILITARY BASE REUSE PLANNING  
(Basic Generic Scope)**

- I Area Socioeconomic Setting**
- II Community Vision or Redevelopment Strategy for Base**
- III Base Land & Facilities Overview**
- IV Base Redevelopment Potential (Market/Community Needs)**
- V Alternative Reuse Assessments**
- VI Recommended Base Reuse Plan**
- VII Base Reuse Plan Implementation Strategy**

# ECONOMIC ADJUSTMENT TECHNICAL BULLETIN 1

## COMMUNITY REACTION GUIDE 1995 Military Base Closure Recommendations

Office of Economic Adjustment  
Department of Defense

By March 1 1995 the Secretary of Defense will announce the fourth round of recommended military base closures and realignments. This action will follow the establishment of criteria for selection of bases and the submission of a force structure plan to Congress as required by the 1990 Base Realignment and Closure Act. A six year implementation period will begin this fall if Congress does not override recommendations of the Defense Base Closure and Realignment Commission that are forwarded by the President.

### SHOCK

The first reaction in most communities affected by a recommended base closure is disbelief and denial. A military base often enjoys center stage in a community economy and social structure. The prospect of closure suddenly spells the end to a lengthy symbiotic relationship. Community leaders are at a loss.

### NOT IN MY BACK YARD

The next reaction is to form a "fight the closure" committee (if one is not already in place) to lobby with the Defense Base Closure and Realignment Commission, the President, and the Congress. Understandably, each committee will assert that their base is the cornerstone of the community economy, that it is one of the most important in the country with military attributes worthy of saving *at the expense of another base elsewhere*. While this activity is a rational reaction and essential politically, reality intrudes. Defense downsizing will not stay on target if bases are not closed. The military forces have dropped 19% since 1987 on the way to a 33% reduction by 1999. Bases have only been reduced by 15% so far. Clearly fewer bases are needed to train and maintain a ready military force.

The "fight the closure" window of opportunity is small. Before July 1 the Commission must review the Secretary's recommendations and

determine if they are in accord with the force level plan and selection criteria. The Commission may change the list if it feels that the Secretary deviated substantially from the plan and criteria, but it also must provide rationale based on the plan and criteria, to explain the changes. After July, the President must accept or reject the Commission's recommendations entirely. If he rejects the recommendations, the Commission can submit a revised list to the President in August, but any changes must adhere to the force structure plan and selection criteria. If the President forwards the recommendations to Congress, it is again an all or nothing proposition.

### WHAT SHOULD WE DO NOW?

In July it will be more certain which bases are to be closed. Legislative changes since the last round (principally the Base Closure Community Redevelopment and Homeless Assistance Act of 1994) have resulted in commensurate change in base reuse planning procedures. These changes strongly indicate that wise community officials should begin contingency reuse planning as soon as possible, even before July. However, level heads should prevail. Panic need not

### **Begin Contingency Planning**

reign. No closure will happen immediately. There is sufficient time for sound planning. As soon as possible after March 1, community leaders need to begin thinking about how to and who should address the potential closure impacts. Even if there is an overt effort to fight the closure, some energy should be devoted to a parallel effort to plan for closure and civilian base reuse. An existing organization can be tasked with preliminary assessments of impacts and base redevelopment potential. Often facilities at a closing base open new economic development doors, as there are assets like an airfield or a port facility previously not available for local economic development purposes. Experience shows, however, that a special purpose planning and coordination organization needs to be established (formal or informal) early that includes representatives from affected jurisdictions and individuals (the major stakeholders). These include political leaders from the jurisdictions in which the base lies, potential public and private sector users of the base property, homeless

## Organize for Adjustment

providers and other non-profit education and health institutions business leaders native American representatives as appropriate and other interested organizations or individuals

Contact should be made with the DoD Office of Economic Adjustment to seek advice and support for local economic adjustment efforts. Community leaders should also talk with their counterparts in other communities that have survived a base closure. Visits might be made to see what is possible learn how to avoid mistakes, and receive encouragement. The Departments of Defense and Commerce jointly sponsor the Office of Economic Conversion Information (OECI) which is an electronic repository of information on Defense conversion including base closures. Access is available via 1-800 numbers for verbal (345-1222) or computer (352 2949) connections and on the Internet (ECIX.DOC.GOV). Conversion from military use to civilian use is not impossible. This preparatory period is an opportunity for introspection and analysis of community goals and economic development possibilities.

### DEFINE THE PROBLEM

The Military Departments will not analyze closure socioeconomic or environmental impacts as the 1990 base closure law specifically excuses the Department of Defense from National Environmental Policy Act (NEPA) requirements for the closure action. However the installation can provide data on potential job and spending losses.

*Military bases are unique micro economies. Understanding how they work is important for assessing the potential impacts of closure. Each will be different. However generally speaking military families tend to be taxed elsewhere and they spend a major proportion of their salaries on military bases at the exchange commissary and recreational facilities. Not much of this spending enters a local or regional economy.*

The installation job structure is also unique. There are four job classes: military DoD civilian non-appropriated fund (NAF) civilian and contractor personnel. The military personnel usually leave the area when the base closes. Thus they

have no negative effect on local unemployment. Spouses and other dependents of military personnel often hold DoD civilian and NAF jobs on the base, as well as jobs elsewhere in the community. These people also leave when the base closes, reducing the number of displaced workers and increasing job vacancies in the community. DoD civilian employees have a safety net. A DoD-wide job placement system provides new DoD job opportunities on a priority basis. This also helps to reduce the total number of displaced workers when the base actually closes.

The residential pattern of military personnel living off base will indicate the impact on the local housing market when they depart. The DoD Homeowner's Assistance Program (HAP) that reduces the losses to military personnel forced to sell in a sagging housing market can also help to keep these houses off the local market until they can be absorbed. But the number of off-base housing units will likely be added to the local market as soon as they can be sold by the Corps of Engineers, which is responsible for the HAP.

A review of the local base procurement pattern over a five-year period will reveal the local businesses that may be affected by curtailed construction, maintenance and supply purchases from the base. In some cases business with the base may be the sole reason for a firm to exist.

Schools will also be affected. School age military dependents will leave. This will reduce the student population in area school districts. A careful evaluation of the military personnel residence pattern and the schools serving them will tell which districts and school buildings will be most affected. Recent changes in Federal Impact Aid to Schools should also be evaluated. A hold harmless provision of the legislation may provide a financial cushion for school districts.

If the base closure is several years away all the above cited impact patterns may change as some military personnel now at the base will likely be reassigned and normal civilian job attrition will occur before closure. But a review of current data will give an idea of the likely effects when closure activity begins.

The base closures and realignments recommended by the Secretary of Defense include relocation of military functions to other installa

tions Sometimes the personnel data accompanying the announcement shows an influx of people and jobs to those "receiving" communities However leaders should be aware of other downsizing management and budget initiatives that may occur at receiving bases, canceling out "apparent" increases

**HELP IS AVAILABLE**

This brier overview offers some interim guidance for communities likely to be affected by base closures Those communities that will have bases closed in the next two years need to begin the task of organization and planning in earnest Where serious economic impacts are expected from a base closure assistance is available from the DoD Office of Economic Adjustment (OEA) for comprehensive guidance and economic adjustment planning When the base closure list is known OEA will assign a project manager to work with the community Assistance should be requested by elected officials at the local state

or Congressional levels OEA can be reached on (703) 604-6020 Often a closure affects multiple jurisdictions and a collective request is appropriate An effective adjustment organization must at least include representation from the jurisdictions in which the closing installation lies Legislative direction and DoD policy require the formation of a single local organization for Federal interaction and assistance

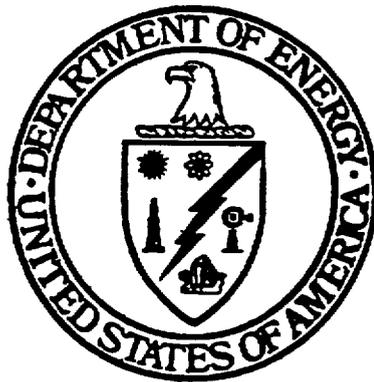
**Seek Assistance**

Peer assistance is offered by the National Association of Installation Developers (NAID) an organization of owners and operators of former military bases and other interested groups or individuals The NAID sponsors annual conferences for information exchange and peer networking The next conference will be in August 1995 Call NAID at (703) 836-7973 for information

**KEY DATES**

March 1	Proposed DoD Base Closure & Realignment List Publicized
April 15	GAO Reports on Base Selection Process
July 1	Defense Base Closure & Realignment Commission Recommendations to the President
July 15	President Approves or Disapproves If Approved Sends to Congress If Disapproved Sends back to the Commission
August 15	Deadline for Commission to Submit New Recommendations to President
September 1	Deadline for President to Act on Revised Commission Recommendations -Disapproval means no Closures or Realignments
Acceptance	The deadline for Congress to disapprove is 45 days (not counting periods when Congress is in recess for more than 3 days) after recommendations are transmitted by the President but not later than the end of the first session of Congress Failure to act constitutes acceptance

# **INTERIM PLANNING GUIDANCE FOR CONTRACTOR WORK FORCE RESTRUCTURING**



**Office of Worker and Community Transition  
Department Of Energy**

**April 5, 1995**

# INTERIM PLANNING GUIDANCE FOR CONTRACTOR WORK FORCE RESTRUCTURING

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# INTERIM PLANNING GUIDANCE FOR CONTRACTOR WORK FORCE RESTRUCTURING

## I. INTRODUCTION

This planning guidance was prepared by the Department of Energy's Office of Worker and Community Transition (the Office) to plan for and mitigate the impacts of changes in the Department's contractor work force. The Office is directed to assure fair treatment of all concerned, while at the same time recognizing the unique conditions at each site and in each contract.

This guidance replaces guidelines issued by the Task Force on Worker and Community Transition on March 24, 1994. It is a product of the Department's experience over the past two years, and an extensive process of stakeholder and public involvement in shaping our worker and community transition policies. This process included national meetings on June 11, 1993, and on November 15 and 16, 1994. Comments were solicited from the public on a report, issued by Under Secretary Charles B. Curtis on August 24, 1994. Comments were also solicited on earlier versions of this guidance issued on April 22, 1993 and March 24, 1994. The Office intends to revise this interim guidance based on comments received through notice and publication in the Federal Register, and future stakeholder meetings.

Except where otherwise noted, this guidance is not prescriptive. Cognizant field organizations have responsibility for planning work force restructuring. The Department's field organizations are in the best position to conduct full consultation with affected stakeholders on these plans and to understand the unique needs of work force restructuring at field facilities. Points-of-contact at each field organization are listed in Appendix A.

## II. LEGISLATIVE PROVISIONS

On April 21, 1993, Secretary of Energy Hazel R. O'Leary created a task force "to coordinate worker and community transition assistance as the Department goes through periods of changing priorities." In large measure, the task force was created to implement section 3161 of the National Defense Authorization Act (the Act) for Fiscal Year 1993. *For reasons of fairness, the Secretary directed that the process set forth in section 3161 should be applied to the extent practicable wherever work force restructuring takes place in the Department.*

Section 3161 requires the Secretary of Energy to develop a plan for restructuring the work force for a defense nuclear facility whenever there is a determination that a change in the work force is necessary. The plan is to be developed in consultation with local, state, and national stakeholders, and submitted to Congress 90 days after notice of a planned work force restructuring has been given to the affected employees and communities. A work force restructuring plan must be updated annually and should include an evaluation of the implementation of the plan during the preceding year.

Section 3161 of the Act provides specific objectives to guide the preparation of the plan to

minimize worker and community impacts. The plan should provide at least 120 days notice to employees and communities prior to beginning any involuntary separations. Reductions should be accomplished, when possible, through use of retraining, early retirement, attrition, and other options that minimize layoffs. To the extent practicable, the Department should offer a hiring preference to involuntarily separated employees. Employees should, to the extent practicable, be retrained for work in environmental restoration and waste management. Employees transferred to other Department facilities should receive relocation assistance. Terminated employees should be assisted in obtaining reemployment assistance, including outplacement services, appropriate retraining and education opportunities. The Department should provide local impact assistance to affected communities. Relevant sections of the Act are included as Appendix B.

The requirements of section 3161 are triggered by a "determination that a change in the work force at a defense nuclear facility is necessary . . ." A "change in the work force" includes downsizing and other changes in the mission of the site that result in a change in the need for particular worker skills.

Pursuant to section 3163, "defense nuclear facilities" for the purposes of section 3161 include the following types of facilities under the control or jurisdiction of the Secretary of Energy: atomic energy defense facilities involving production or utilization of special nuclear material, nuclear waste storage or disposal facilities, testing and assembly facilities, and atomic weapons research facilities. Department of Energy facilities that have been determined to be defense nuclear facilities for the purposes of section 3161 are listed in Appendix C.

### **III. GENERAL GUIDANCE**

All work force changes, regardless of cause, should be managed by the cognizant field organization consistent with the objectives of section 3161 of the Act, and DOE Order 3309 1A covering Reductions in Contractor Employment\* (Appendix D). Each plan should be responsive to the specific objectives of the Act that are practicable and reasonable in light of budget constraints, contractual provisions or other obligations. All aspects of a plan, including the mix and level of benefits offered, should be developed in consultation with the stakeholders at the affected facility, and other appropriate stakeholders to ensure, among other things, the judicious expenditure of public funds. The Office encourages field organizations to utilize the combination of work force restructuring mechanisms that will most effectively accomplish the restructuring objectives.

#### **A. Threshold for Plans**

Work force restructuring plans should be developed where changes in the nature or structure of the work force may affect 100 or more employees at a site within a 12-month period. Even when a full plan is not required, the objectives of section 3161 should be followed, to the extent practicable within available resources. While the objectives of section 3161 should be considered in cases of smaller reductions, the formal process

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\*Order 3309 1A is being revised to incorporate the requirements of section 3161 of the Act and the organizational changes resulting from the creation of the Office of Worker and Community Transition.

required by the law is not necessary. Approval from the Office, and the responsible program and funding office, should be received before any work force change is implemented.

### ***B. Timing of Plans***

Upon determining that a change in the work force is necessary, the appropriate field organization should immediately begin planning for the restructuring, and develop a schedule for preparing a work force restructuring plan if required. One of the objectives of the Act is to give at least 120 days notice to the employees before involuntary layoffs begin. Although a 120-day advance notification may not always be possible, every effort should be made to meet or exceed this important objective. Field organizations should work with the Office to develop a schedule for plan development that meet the needs of the site. The work force planning described below should occur on a timeline that supports this advanced notification objective, to the extent practicable.

### ***C. Work Force Planning***

Over the next year the Office will be developing an integrated process for a work force planning system, pursuant to the Secretary's direction. In the interim, we will employ the best possible work force planning practices available, consistent with the objectives set forth below.

Developing a baseline assessment of the skills and capabilities of the current work force should be the initial step in the work force planning process. Field organizations should then consider the future missions and budget estimates to project the required work force skills needed to achieve the desired outcomes. Strategies should be developed for making the transition from the current baseline to the projected need, including retraining, voluntary separation incentives, and reductions-in-force. Particular attention should be directed to ensuring that workers with critical skills are retained.

### ***D. Local Impact Assistance to Communities***

The work force restructuring plan should be developed in coordination with, and support the economic development objectives of, nearby communities. Therefore, local officials and institutions involved in mitigating socio-economic impacts anticipated to be caused by the Department's actions should be consulted in development of the plan. The plan should provide demographic and skills information about the affected work force, as well as other data that could help frame the community's economic development challenges and options. It should also discuss benefits, such as education and training, that will be provided to eligible employees that can augment community-based economic development initiatives. Finally, it should address ways the Department can support local business creation, expansion, and attraction activities. Separate guidance was issued August 24, 1994, on economic development efforts that may be supported by the Worker and Community Transition Program. This guidance is included as Appendix E.

### ***E. Stakeholder Input to Plans***

Consultation with local, state, and national stakeholders is an essential element of the work force restructuring process. Input should be solicited and given consideration at appropriate points throughout the development of plans for work force restructuring. When possible, the Office recommends that field organizations provide this Interim Planning Guidance to their stakeholders in advance of the 120-day notification. This will give stakeholders a perspective on the parameters within which plans are prepared.

### ***F. Role of Counsel***

Work force restructuring raises many legal issues under a wide variety of statutes. Failure to comply with applicable laws can have significant consequences for both the Department and its contractors. It is therefore essential that counsel be involved in the formation and execution of the plans. Failure to present properly structured plans to the Office can result in delay and increased cost. Therefore, field offices should include counsel as member of the planning team.

### ***G. The Role of DOE Contractors***

While the Department may seek assistance of its contractors in developing work force restructuring plans, the plans are Department of Energy products. In general, it is the Department's policy to make available to the public information having bearing on the plans that is available to the operating contractors, unless such information is protected by law or regulation.

Department contractors are not identified by section 3161 of the Act as stakeholders who must be consulted in the preparation of work force restructuring plans. The exclusion of these contractors would be inappropriate, however, as they may be the principal resource of institutional knowledge on many restructuring issues, and may be the only source for certain information necessary for preparing a plan. They are the employers of the affected employees and are generally also the administrators of the pension and other benefit plans involved. They are responsible for fulfilling their obligations to bargain with the collective-bargaining representatives of their employees regarding changes in contracts, pension plans, other benefits, and any other mandatory bargaining issues necessitated by the restructuring plan, as well as for obtaining any waivers of claims or reemployment appropriate in any given situation.

### ***H. Approval of Plans***

By law, the Secretary submits work force restructuring plans to Congress, and thus is the official responsible for final approval. Involuntary separations should be carried out consistent with DOE Order 3309 1A, which requires prior notification to Headquarters. Early retirements and other voluntary separations may begin before final plan approval, after written approval by the Office, in order to reduce the number of involuntary layoffs. Draft plans should be submitted to the Office for concurrence prior to their release to stakeholders.

### ***I. Plan Updates***

Within a year of a work force restructuring plan's submission to Congress, or earlier if events suggest that it would be appropriate, the cognizant field organization should submit an update of the plan to the Office for the Secretary's approval and submission to Congress. The plan update, which is required by law, should evaluate the plan's implementation, including the number of workers receiving each benefit and the overall cost, and cost per participant of that benefit, together with information on retraining of retained employees, and subsequent reemployment of displaced workers. These plan updates should be provided to the Office for submission to the Congress even when a new plan is under development. Additional guidance is provided in Appendix F.

### ***J. Funding for Plans***

Limited funds are available for implementing the objectives of section 3161 of the Act for defense nuclear facilities, including economic development assistance. Funding for work force restructuring plans at facilities other than defense nuclear facilities should be sought from the program responsible for the activities subject to the work force restructuring. Likewise, benefits for workers at defense nuclear facilities affected by the changes due to business or efficiency decisions should be sought from the appropriation of the program making the change. These decisions include initiatives such as privatization, commercialization and reductions aimed at achieving improved efficiency.

The allocation of funds to mitigate the impact of restructuring on the workers decreases the funds available for continuing program responsibilities and economic development. No "standardized" allocation of funds is contemplated as it is highly unlikely that the needs of any two work forces and communities undergoing a restructuring would be the same.

## **IV. SPECIFIC BENEFITS FOR CONSIDERATION**

After work force planning has identified the classifications of workers at risk, consideration of specific benefits to mitigate involuntary separations should take into account available funding and the status of affected employees. Appendix G contains the job attachment test that has been developed for determining those employees who participated in efforts to maintain the Nation's nuclear deterrent during the Cold War. In implementing the objectives of section 3161 of the Act, the Department recognizes a special responsibility to minimize the impact of work force restructuring on employees who were employed before September 27, 1991, the day President Bush announced the first unilateral reduction of the Nation's stockpile, and the date the Department has chosen as the end of the Cold War. Appendix H presents a schedule of proposed benefits based on the status of affected employees.

In developing a work force restructuring plan, the following benefits can be considered for affected workers. If adopted, specific offers and conditions should be described in the plan.

### ***A. Early Retirement***

The potential loss of employees with skills critical to achieving Departmental missions is a primary consideration in determining the appropriateness of early retirement incentives.

Educational assistance should be considered for employees being voluntarily or involuntarily separated, except employees accepting early retirement incentives. It is

**C. Educational Assistance for Separated Employees**

The cognizant field organization should adopt mechanisms as part of the plan to ensure that individuals accepting a voluntary separation incentive are not inappropriately rehired, such as post-employment restrictions and/or requiring repayment of the incentive upon rehire. Individuals with critical skills should not be offered voluntary separation incentives unless sufficient personnel are available to fulfill mission requirements. Voluntary separations may be encouraged by offering severance, or enhanced severance payments. Applications for voluntary separation may be refused in order to preserve critical knowledge or skills. Those volunteering for separation may be offered educational assistance, relocation assistance, and may receive Displaced Workers Medical Benefits.

**B. Voluntary Separation Incentives**

Employees receiving an incentive to retire should not receive educational assistance or relocation assistance. It is anticipated that the value of early retirement incentives will exceed the value of the benefits provided to other separating employees. Any lump sum incentives paid to retirees in lieu of pension formula enhancements may not exceed his or her previous year's salary consistent with Department of Energy Acquisition Regulation Part 970.3102-2(1)(6) and Federal Acquisition Regulation Part 31.205-6(j)(7). The cognizant field organization should adopt mechanisms as part of the plan to ensure that individuals accepting an early retirement incentive are not inappropriately rehired, such as post-employment restrictions, requiring repayment of the incentive, and/or granting a limited number of waivers of any such restrictions for critically skilled individuals.

All proposed retirement incentives including lump sum payments, additional years of service or reduction in age penalties, should be analyzed with respect to the likely candidates to accept, and potential effects on critical skills. Employee Retirement Income Security Act (ERISA), Age Discrimination in Employment Act (ADEA), and other related legal concerns must be considered and resolved early in the process. It is essential that proposed early retirement programs receive appropriate actuarial validation establishing that they do not result in discrimination in favor of highly compensated employees within the meaning of the Internal Revenue Code, or in discrimination on the basis of any protected category of employees with respect to employment laws such as ADEA, Title VII of the Civil Rights Act, and the Americans with Disabilities Act.

When early retirement incentives are offered, it has generally been the Department's practice that the incentives are made available to all eligible employees. It is legally permissible to limit benefits by reasonable, objective categories such as job classification if such limitations do not give rise to unlawful discrimination or disparate impact of any kind. Enumeration of employees by name, or criteria having substantially the same effect, is not generally considered reasonable, unless the employer has utilized written, objective and neutral criteria in the selection process. Early retirement incentive programs must be consistent with applicable contracts.

recommended that tuition assistance, and other reasonable and necessary educational expenses, be limited to not more than a total of \$10,000 over a period of not more than two to four years.

#### ***D. Relocation Assistance***

Relocation assistance should be considered for workers being terminated and for those voluntarily separating (except employees accepting early retirement incentives) Such assistance should particularly be considered for employees involuntarily separated who are hired at other Department facilities, but who do not qualify for relocation assistance under the hiring contractor's policies. It is recommended that relocation assistance include actual and reasonable expenses for transportation, movement of household goods, and temporary living accommodations within a range of \$2,000 to \$5,000

#### ***E. Retraining for New Missions Including Cleanup***

Work force planning should identify training needs and provide such training to transition the existing work force to new missions as early in the process as possible The Office recommends that all retraining for cleanup or other new missions meet the following practicability test: the training should be aimed at jobs for which vacancies are expected in the near term, and the training should be able to be completed within a reasonable time-frame in relationship to those vacancies (not more than six months), and at a reasonable cost (not to exceed \$10,000) The suggested \$10,000 cap includes tuition, course materials and related instructional costs, but not trainee salaries

### **V. MANDATORY BENEFITS**

The benefits described below *must be offered* to eligible employees:

#### ***A. Displaced Workers Medical Benefits***

Displaced Workers Medical Benefits, while not specifically mentioned in the objectives of section 3161 of the Act, shall be offered to all employees of management and operations (M&O) or other prime contractors to the Department as an extension of current medical benefits eligibility Department of Energy Acquisition Letter No 93-4, dated April 7, 1993 (Appendix I) establishes guidelines for implementing this program.

Eligible employees include, voluntarily and involuntarily separated employees of prime contractors, who are not otherwise eligible for such coverage under another program. Under certain circumstances, an employee may be able to continue coverage at the employee's expense for preexisting medical conditions excluded from coverage under another plan for which he or she becomes eligible Retirees who are provided medical coverage through retirement programs or Medicare are not eligible for this program.

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<sup>1</sup>Subsequent to the issuance of Acquisition Letter No. 93-4, the Displaced Medical Benefits Program was expanded by memorandums to field organizations dated August 12, and December 2, 1993. The Department is currently revising Acquisition Letter No 93-4 based on these memorandums.

During the first year following separation, the contractor will continue to pay its portion of the former worker's medical premium, and the former employee will pay his or her normal share. During the second year, the former employee will pay half of the Consolidated Omnibus Budget and Reconciliation Act (COBRA) rate. During the third and subsequent years, the former employee will pay the full COBRA rate.

### ***B. Preference in Hiring***

Section 3161 of the Act provides that, to the extent practicable, terminated employees at a defense nuclear facility should receive preference in filling vacancies in the work force of the Department of Energy, and its contractors and subcontractors. The Department has determined that employees must be identified as having helped maintain the Nation's nuclear deterrent during the Cold War in order to qualify for this preference.

The Department has determined that the preference extends to (1) all involuntarily terminated employees (except those terminated for cause), (2) who otherwise meet the eligibility standards in Appendix G, and (3) who are qualified for the job at the time the work is to begin.

The preference should be implemented at each tier of the contracting process, consistent with the objectives of the Department's contract reform initiative. Accordingly, contractors and subcontractors will, to the extent practicable and consistent with relative qualifications, give eligible individuals preferential hiring consideration for available job openings. Where qualifications are approximately equal, eligible individuals will be given preference in hiring, to the extent the preference can be applied consistent with veterans' preference, other applicable law, employment seniority plans, practices of the Department of Energy, section 3152 of the National Defense Authorization Act for Fiscal Years 1990 and 1991, and the terms of any binding affirmative action plans. This preference does not outweigh other preferences required by statute or executive order.

The preference continues until termination by the action (or inaction) of the individual. Those actions that would terminate the preference include termination for cause from a position resulting from the exercise of the preference, or failure to comply with such continuing preference eligibility notification requirements as are established by the Department.

Each site should develop procedures to ensure that the hiring preference is being honored. The Department encourages negotiation to incorporate preferential hiring rights by agreements for division of work and arrangements for accommodations of internal union rules that might otherwise be obstacles to implementation of flowdown of the hiring preference.

The eligible individual will have a responsibility to apply for the preference, inform potential employers as to his or her preference status, and maintain his or her status. The Department will require the individual to submit periodically a statement of his or her desire to retain preference status. Procedures should be developed by the sites, in consultation with contractors and employee representatives, to facilitate hiring preference. The Office will coordinate the development of these procedures, and has developed a notice form for eligible individuals to submit annually to signify his or her desire to retain hiring preference.

status (Appendix J) Sites, in consultation with the Office of Dispute Resolution, should establish a process, such as review by a dispute resolution board, for resolution of disputes as to individual qualifications for hiring preference, including determinations as to whether an applicant is qualified

### ***C Construction Worker Benefit***

Construction wage rates and benefits are structured to take into account the intermittent nature of construction work. In recognition of this, early plans generally limited benefits for construction workers to tuition assistance, outplacement support, preference in hiring and relocation assistance. However, it has been noted that many construction workers maintained long-term relationships with the Department, and structured their lives around work at our facilities. Many of these relationships, which had been expected to continue, have been terminated as the general level of construction work declined following the end of the Cold War.

The Department has determined that construction workers who meet the job attachment test (Appendix G) may elect to receive a one-time benefit. In return for that benefit, these construction workers, like other employees, may be required to waive the hiring preference. The one-time benefit should be consistent with the employer's established separation pay benefit if applied, but should not exceed six weeks at base pay rates. The specific amount of this benefit, as well as other benefits for construction workers should be defined during the plan development and stakeholder consultation process. The Office does not suggest that special payments should be made into either pension or health and welfare benefits funds for these workers. The Office does not view this special benefit as a precedent-setting action for the construction industry since this benefit carries out the intent of legislation that uniquely applies to the Department of Energy's Federal, contractor and subcontractor work force.

Construction workers who receive the special benefit should be restricted from employment at a Department facility for a period not less than the period equal to the salary value of the benefit without specific approval of the Department or *pro rata* repayment of this benefit.

## **VI ADMINISTRATIVE PROCEDURES**

This section describes the administrative procedures that should be followed in developing a new work force restructuring plan or for modifying an existing plan.

### ***A 120-Day Notification***

Field organizations should notify workers and communities of impending work force restructuring at least 120 days prior to making any involuntary separations. The cognizant field organization should issue a general announcement to all employees, employee representatives, and to the community at large that work force changes are required at the facility. The draft announcement should be coordinated with the Office. We will seek concurrence from General Counsel, Congressional and Intergovernmental Affairs, Public Affairs, and the appropriate program offices. Field organizations should allow at least one

week for Headquarters approval of 120-day announcements

The typical content of such a notification is shown in Appendix K. It is important that the notice emphasize that the estimate of employees affected set out in the 120-day notice is a good faith estimate based on the information available at the time. The notice is the beginning of a downsizing process, this process and the related budget issues are necessarily fraught with uncertainties, making it difficult to predict the exact number of employees that will be affected. It is recognized that a 120-day notification may not be practicable under certain extraordinary circumstances, however, as much advance notice should be given as possible.

***B Develop Baseline Data***

Field organizations should establish and maintain a baseline employment database that categorizes the total number of personnel employed on-site by contractor, program funding source and skill mix. The Office encourages field organizations to utilize the Common Occupational Classification System to ensure consistency across the Department. The baseline should also contain the number of people employed on a temporary or intermittent basis, and by subcontractor or support service contractors. Field organizations should provide this information as of December 31, 1994 to the Office by April 30, 1995, with quarterly updates thereafter. Field organizations are responsible for carrying out the data collection and analysis. Once the baseline information is established, the Office intends to conduct an independent audit to ensure data reliability, as appropriate in particular circumstances.

***C Analyze Mission Requirements***

Field organizations should undertake, or revise as appropriate, an analysis of future mission requirements, and the work force necessary to carry out those missions. Appropriate program offices are responsible for defining the parameters of the future missions. New or modified work force restructuring plans should include a detailed description of the methodology and analysis used to define the work force necessary to execute the missions.

***D Identify Positions Excess to Future Requirements***

Based on the current work force, and the work force necessary to carry our future missions, the plan should identify the classification of employees that should be

- 1 retained because they possess critical skills,
- 2 retained with little or no retraining,
- 3 retained with appropriate retraining,
- 4 candidates for voluntary separation incentives

The analysis should also identify those job skills that are unlikely to be satisfied by existing workers

### ***E. Stakeholder Involvement***

Early involvement of stakeholders in developing a work force restructuring plan is essential to identify and address issues and concerns that might impede the implementation of the plan. Stakeholders should also be given appropriate opportunity to comment on drafts of any new or modified work force restructuring plan, as soon as the draft plan has been cleared by the Office for release to the public. The Office will endeavor to concur on draft plans within two weeks of submission.

Stakeholder input may be received in the context of public meetings, or as written or oral comments. Comments and suggestions of all stakeholders are important and should be considered in developing the final plans and incorporated where appropriate. For those comments and suggestions not incorporated in the draft plans, a brief explanation of the reason for not doing so should be documented. Every effort should be made to make the plan approved by the Secretary available to each stakeholder who commented on an earlier draft of the plan. A discussion of stakeholder involvement should be included as part of each plan.

### ***F. Develop Voluntary Separation Program***

After appropriate work force planning has been completed, field organizations should consider voluntary separation incentives to facilitate work force transition. Voluntary incentives must be approved in writing by the Office. Such approval can be sought, and the incentive can be offered, prior to completion of any new or modified work force restructuring plan.

Retirement incentives, accompanied by the appropriate analysis, should be presented for approval to the Office. The Office will coordinate analysis and evaluation of proposals with the Office of Procurement and Assistance Management, the Office of General Counsel, and the program office. Employees being offered early retirement or voluntary separation incentives must receive sufficiently specific information such that the plan documents satisfy ERISA requirements.

Early retirement incentives will be evaluated for their consistency with maintaining critically needed skills and any request should include a full justification in conformance with this requirement. Field organizations should provide an assessment of the costs and benefits of the proposed voluntary incentives, particularly in work force transitions designed to increase organizational efficiency. Field organizations should plan to provide at least two weeks for review by the Office and appropriate headquarters organizations.

Voluntary separation programs should not be offered to employees at the same time as early retirement programs, except in special circumstances and with prior approval. Voluntary incentive programs should be completed prior to any involuntary separations.

### ***G. Plan Approval***

The Office will coordinate the appropriate review by other Headquarters offices before concurring with plans or approving requests to implement voluntary incentive programs. In general, the Office will seek review from the affected program office, General

Counsel, Field Management, and Human Resources and Administration. Field organizations should allow one month for Secretarial approval of final Work Force Restructuring Plans.

Thirty copies, plus one reproducible master, of the final plan should be submitted to the Office for subsequent submission by the Secretary to the appropriate Congressional committees and delegations from affected States. The responsible field organization should also make distribution to interested local stakeholders, and to the points-of-contact at each cognizant field organization. The Office will make additional copies, if necessary, from the master for distribution within Headquarters, and to interested national stakeholders.

#### ***H. Involuntary Separation***

In general, involuntary separations may occur after Secretarial approval of a new or modified work force restructuring plan or separate approval by the Secretary of the formal involuntary separation announcement. Such announcement should identify the specific numbers and job titles to be laid off. Each affected individual should be notified of his or her termination. Involuntarily separated employees shall be fully advised of any benefits or services for which they are eligible. Appropriate labor representatives should be notified and letters prepared for local, county and state governments.

If layoffs are required that fall under the provisions of the Worker Adjustment and Retraining Notification Act (WARN), the employers must give the affected employees written notice of the layoffs at least 60 days prior to the date of the intended layoff. Employers may conduct the involuntary layoff by providing written notice to the affected employees that their termination date will occur 60 days thereafter. Compensation will continue during the 60-day period following the notice and where appropriate, employees may be excused from some or all duties during that period. If during the 60-day period, an employee successfully obtains new employment, the employee must terminate the current employment relationship before beginning the new job, at which time the remaining salary payments shall cease. If this salary was paid in a lump sum, the *pro rata* share attributable to the period after the employer commences the new employment should be repaid. Repayment terms should be established within the restructuring plan and explained to employees during the exit interview process.

As a goal, all affected employees should receive their individual notification 60 days before layoff. When this is not possible, and the work force change is not subject to the provisions of the WARN Act, affected workers should receive as much layoff notice as practicable, but not less than 14 days. Intermittent workers are terminated when their work is completed.

#### ***I. Outplacement Assistance***

Field organizations may provide outplacement assistance (including training and education) to voluntarily separated employees as soon as they exercise that option, and to involuntarily separated employees as soon as they are notified. Appropriate outplacement assistance can also be made available to employees who may be at risk after the 120-day announcement has been made. Outplacement assistance should be planned in advance.

and should be appropriate in light of the number of employees expected to need such assistance. Field organizations are encouraged to track the employment, education, and insurance status of displaced workers for at least one year after separation.

**J. Budgeting for Plans**

Plans must include a budget estimate for each initiative or benefit planned for mitigating impacts on workers. Budget estimates should be based on a realistic projection of the number of workers who will participate in each initiative and reflect the best cost estimates available. Estimated incremental costs to pension funds for early retirements should be based on actuarial estimates. It is not acceptable to request funds based simply on maximum possible participation in each initiative or benefit. For planning purposes, an average cost of \$15,000 to \$25,000 per position eliminated is a reasonable range for guiding decisions about the range of benefits offered. Where work force restructuring is justified by business efficiency decisions, the budget estimates should be accompanied by savings estimates and the proposed use of those savings. In general, funding authorizations will be made following final approval of a plan. Funding authorizations for certain initiatives, such as those encouraging voluntary separations, may be made earlier.

## Appendix A

### Office of Worker and Community Transition Contacts

<u>Director</u> Bob DeGrasse	202-586-7550, FAX 586-8403
<u>Acting Deputy Director</u> Steve Marlo	202-275-7074, FAX 275-7080
<u>Special Assistant</u> Mark Fallon	202-586-2606, FAX 586-8403
<u>Worker Transition</u>	
Terry Freese	202-275-7142, FAX 275-7080
Deborah Swichkow	202-275-7033, FAX 275-7080
Lew Waters	202-275-7058, FAX 275-7080
Lee Yerington	202-275-7085, FAX 275-7080
<u>Labor Relations</u>	
Lyle Brown	202-275-7070, FAX 275-7080
Kathy Skrabut	202-275-7087, FAX 275-7080
Deborah Sullivan	202-275-7118, FAX 275-7080
<u>Community Transition</u>	
Bob Baney	202-275-7023, FAX 275-7080
Kenneth Matzkin	202-275-7054, FAX 275-7080
Mike Mescher	202-275-7032, FAX 275-7080
<u>Public Participation</u> Laurel Smith	202-586-4091, FAX 586-1540

### Work Force Restructuring Field Contacts

Felix Ortiz, Albuquerque Operations Office	505-845-4207, FAX 845-4715
Elaine Kocolowski, Chicago Operations Office	708-252-2334, FAX 252-2919
Luella Bennett, Idaho Operations Office	208-526-1913, FAX 526-5969
Bob Agonia, Nevada Operations Office	702-295-1005, FAX 295-1876
Bill Truex, Oak Ridge Operations Office	615-576-0662, FAX 576-6964
Harry Printz, Oakland Operations Office	510-637-1829, FAX 637-2008
Randy Rightmire, Ohio Operations Office	513-865-4175, FAX 865-4312
Dom Sansotta, Richland Operations Office	509-376-7221, FAX 376-5335
Lenora Lewis, Rocky Flats Office	303-966-4263, FAX 966-3321
Gil Gilyard, Savannah River Operations Office	803-725-7645, FAX 725-7631
Carol Wilson, Dayton Area Office	513-865-3649, FAX 865-4489
Pat Lillard, Kansas City Area Office	816-997-3348, FAX 997-5059
Glenn Griffiths, Fernald Area Office	513-648-3152, FAX 648-3071
Alan Goetz, Pinellas Area Office	813-541-8114, FAX 541-8370
Gene Gillespie, Portsmouth Site Office	614-897-2001, FAX 897-2982
Jimmie Hodges, Paducah Site Office	502-441-6800, FAX 441-6801

## Appendix B

### Section 3161 of the National Defense Authorization Act for Fiscal Year 1993 (Public Law 102-484, Oct. 23, 1992)

#### Subtitle E--Defense Nuclear Workers

#### SEC 3161 DEPARTMENT OF ENERGY DEFENSE NUCLEAR FACILITIES WORK FORCE RESTRUCTURING PLAN

(a) **IN GENERAL.**--Upon determination that a change in the work force at a defense nuclear facility is necessary, the Secretary of Energy (hereinafter in this subtitle referred to as the "Secretary") shall develop a plan for restructuring the work force for the defense nuclear facility that takes into account--

(1) the reconfiguration of the defense nuclear facility; and

(2) the plan for the nuclear weapons stockpile that is the most recently prepared plan at the time of the development of the plan referred to in this subsection.

(b) **CONSULTATION.**--(1) In developing a plan referred to in subsection (a) and any updates of the plan under subsection (e), the Secretary shall consult with the Secretary of Labor, appropriate representatives of local and national collective-bargaining units of individuals employed at Department of Energy defense nuclear facilities, appropriate representatives of departments and agencies of State and local governments, appropriate representatives of State and local institutions of higher education, and appropriate representatives of community groups in communities affected by the restructuring plan.

(2) The Secretary shall determine appropriate representatives of the units, governments, institutions, and groups referred to in paragraph (1)

(c) **OBJECTIVES.**--In preparing the plan required under subsection (a), the Secretary shall be guided by the following objectives

(1) Changes in the work force at a Department of Energy defense nuclear facility--

(A) should be accomplished so as to minimize social and economic impacts,

(B) should be made only after the provision of notice of such changes not later than 120 days before the commencement of such changes to such employees and the communities in which such facilities are located, and

(C) should be accomplished, when possible, through the use of retraining, early retirement, attrition, and other options that minimize layoffs

(2) Employees whose employment in positions at such facilities is terminated shall, to the extent practicable, receive preference in any hiring of the Department of Energy (consistent with applicable employment seniority plans or practices of the Department of Energy and with section 3152 of the National Defense Authorization Act for Fiscal Years 1990 and 1991 (Public Law 101-189, 103 Stat. 1682))

(3) Employees shall, to the extent practicable, be retrained for work in environmental restoration and waste management activities at such facilities or other facilities of the Department of Energy

(4) The Department of Energy should provide relocation assistance to employees who

are transferred to other Department of Energy facilities as a result of the plan

(5) The Department of Energy should assist terminated employees in obtaining appropriate retraining, education, and reemployment assistance (including employment placement assistance)

(6) The Department of Energy should provide local impact assistance to communities that are affected by the restructuring plan and coordinate the provision of such assistance with—

(A) programs carried out by the Department of Labor pursuant to the Job Training Partnership Act (29 U S C 1501 et seq ),

(B) programs carried out pursuant to the Defense Economic Adjustment, Diversification, Conversion, and Stabilization Act of 1990 (Part D of Public Law 101-510, 10 U S C 2391 note), and

(C) programs carried out by the Department of Commerce pursuant to title IX of the Public Works and Economic Development Act of 1965 (42 U S C 3241 et seq )

(d) **IMPLEMENTATION.**—The Secretary shall, subject to the availability of appropriations for such purpose, work on an ongoing basis with representatives of the Department of Labor, work force bargaining units, and States and local communities in carrying out a plan required under subsection (a)

(e) **PLAN UPDATES.**—Not later than one year after issuing a plan referred to in subsection (a) and on an annual basis thereafter, the Secretary shall issue an update of the plan. Each updated plan under this subsection shall—

(1) be guided by the objectives referred to in subsection (c), taking into account any changes in the function or mission of the Department of Energy defense nuclear facilities and any other changes in circumstances that the Secretary determines to be relevant,

(2) contain an evaluation by the Secretary of the implementation of the plan during the year preceding the report, and

(3) contain such other information and provide for such other matters as the Secretary determines to be relevant.

(f) **SUBMITTAL TO CONGRESS.**—(1) The Secretary shall submit to Congress a plan referred to in subsection (a) with respect to a defense nuclear facility within 90 days after the date on which a notice of changes described in subsection (c)(1)(B) is provided to employees of the facility, or 90 days after the date of the enactment of this Act, whichever is later

(2) The Secretary shall submit to Congress any updates of the plan under subsection (e) immediately upon completion of any such update.

**Section 3163 of the National Defense  
Authorization Act for Fiscal Year 1993**

**SEC 3163 DEFINITIONS**

For purposes of this subtitle

(1) The term "Department of Energy defense nuclear facility" means--

(A) a production facility or utilization facility (as those terms are defined in section 11 of the Atomic Energy Act of 1954 (42 U S C 2014)) that is under the control or jurisdiction of the Secretary and that is operated for national security purposes (including the tritium loading facility at Savannah River, South Carolina, the 236 H facility at Savannah River, South Carolina, and the Mound Laboratory, Ohio), but the term does not include any facility that does not conduct atomic energy defense activities and does not include any facility or activity covered by Executive Order Number 12344, dated February 1, 1982, pertaining to the naval nuclear propulsion program,

(B) a nuclear waste storage or disposal facility that is under the control or jurisdiction of the Secretary,

(C) a testing and assembly facility that is under the control or jurisdiction of the Secretary and that is operated for national security purposes (including the Nevada Test Site, Nevada, the Pinellas Plant, Florida, and the Pantex facility, Texas),

(D) an atomic weapons research facility that is under the control or jurisdiction of the Secretary (including the Lawrence Livermore, Los Alamos, and Sandia National Laboratories), or

(E) any facility described in paragraphs (1) through (4) that--

(i) is no longer in operation,

(ii) was under the control or jurisdiction of the Department of Defense, the Atomic Energy Commission, or the Energy Research and Development Administration, and

(iii) was operated for national security purposes.

(2) The term "Department of Energy employee" means any employee of the Department of Energy defense nuclear facility, including any employee of a contractor or subcontractor of the Department of Energy employed at such a facility

## **Appendix C**

### **Listing of Defense Nuclear Facilities**

The list below reflects facilities receiving funding for Atomic Energy Defense activities of the Department of Energy, with the exception of activities under Naval Reactor Propulsion. It is recognized that these facilities have varying degrees of defense activities, ranging from a total defense dedication to a very small portion of their overall activity. This may cause certain difficulties in implementing the intent of the section 3161 legislation. Regardless, this listing will be used by the Office for possible application of funding received for defense worker assistance and community transition purposes.

**Kansas City Plant  
Pinellas Plant  
Mound Facility  
Fernald Environmental Management Project Site  
Pantex Plant  
Rocky Flats Environmental Technology Site, including the Oxnard Facility  
Savannah River Site  
Los Alamos National Laboratory  
Sandia National Laboratory  
Argonne National Laboratory  
Brookhaven National Laboratory  
Lawrence Livermore National Laboratory  
Oak Ridge National Laboratory  
Nevada Test Site  
Y-12 Plant  
K-25 Plant  
Hanford Site  
Idaho National Engineering Laboratory  
Waste Isolation Pilot Project  
Portsmouth Gaseous Diffusion Plant  
Paducah Gaseous Diffusion Plant**

**Appendix D**  
**DOE Order 3309.1A**  
**Reductions in Contractor Employment**

**U.S. Department of Energy**  
Washington, D.C.

**ORDER**

DOE 3309.1A

11-30-92

**SUBJECT REDUCTIONS IN CONTRACTOR EMPLOYMENT**

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1. **PURPOSE.** To provide policy and assign responsibilities and authorities for managing reductions in the employment levels at Department of Energy (DOE) contractor facilities and sites by management and operating contractors and by other designated contractors and subcontractors performing long-term contracts. This Order is intended to structure an orderly internal reporting and notification process within the Department of Energy and to establish general policies for the management of reductions in contractor employment. It is not intended to establish specific rights and benefits to any party potentially affected by a reduction in employment.
2. **CANCELLATION.** DOE 3309.1, REDUCTION IN EMPLOYMENT OF OPERATING AND ON-SITE SERVICE CONTRACTORS, of 2-6-81.
3. **SCOPE.** The provisions of this Order apply to all Departmental Elements responsible for administering contracts to be performed on-site at a DOE-owned or -leased facility.
4. **APPLICATION TO CONTRACTS.** Except as excluded by paragraph 5 below, this Order includes requirements that are to be applied to the universe of contractors awarded (a) a management and operating contract or (b) other types of cost-reimbursement contracts or subcontracts, to be performed on-site at a DOE-owned or -leased facility.

These contractors shall be required to comply with requirements in paragraph 9.

5. **EXCLUSIONS.** This Order is not to be applied to small purchases.
6. **REFERENCES.**
  - a. Public Law 96-511, Paperwork Reduction Act of 1980, which mandates a Governmentwide system for controlling and reducing agency information collections levied on the public.
  - b. Title 5, Code of Federal Regulations 1320, Controlling Paperwork Burden on the Public, which implements the Paperwork Reduction Act of 1980.
  - c. Federal Acquisition Regulation (FAR) 17.601 and Department of Energy Acquisition Regulation (DEAR) 970.000, which define management and operating contracts.

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**DISTRIBUTION**  
All Departmental Elements

**INITIATED BY:**  
Office of Procurement, Assist  
and Program Management

- d. DOE 3220.3A, HUMAN RESOURCE DEVELOPMENT FOR MANAGEMENT AND OPERATING CONTRACTORS, of 5-18-92, which prescribes policies for contractor training, including the utilization of community facilities.
  - e. Public Law 100-379, Worker Adjustment and Retraining Notification Act, which provides notification requirements for plant closings and layoffs of a certain size, as implemented by the Department of Labor in 20 CFR Part 639.
  - f. Secretary of Energy Notice (SEN)-106-92, AUTHORITIES AND RESPONSIBILITIES OF THE DEPUTY SECRETARY AND UNDER SECRETARY, of 4-10-92, which defines reporting responsibilities of Program Secretarial Officers.
7. POLICY AND OBJECTIVES. When reductions in contractor employment levels at DOE contractor-managed facilities and sites become necessary as a result of program and budget decisions, either of the Department, other Federal agencies, or from internal contractor actions, it is DOE policy that such reductions be carefully planned and coordinated with Department field and Headquarters organizations. This policy is not applicable to reductions in force involving employees whose work is by nature temporary or of a fixed duration, such as construction workers employed for a specific project or task. Reductions should be planned and managed so as to achieve the following objectives:
- a. Minimize the number of individuals to be separated involuntarily, incorporating provisions to retain personnel with essential knowledge and skills.
  - b. Provide reasonable notice to affected employees, their representatives and concerned public officials.
  - c. Provide assistance for those who are to be separated to either find other employment; be retrained for other job skills; or otherwise reduce personal hardships, as by providing outplacement and personal assistance services.
  - d. Provide help to the community to alleviate the impact of the employment reductions.
8. RESPONSIBILITIES.
- a. Program Secretarial Officers (PSOs)
    - (1) For a significant layoff action, as defined in paragraph 10b, process an Alert Bulletin of pending employment reductions for signature of the Deputy Secretary or Under Secretary and concurrence of the Secretary.

- (2) Work concurrently with the Office of Congressional and Intergovernmental Affairs and the Office of Public Affairs to develop a Communications Plan concerning the release of information and public announcements to executive and legislative offices, and State and local governments.
- (3) Coordinate with the Office of Public Affairs concerning release of public announcements.
- (4) Coordinate with the Office of Contractor Human Resource Management concerning release of information to national labor organizations.
- (5) Coordinate with the Office of Environmental Restoration and Waste Management (EM) when employment reductions occur because of site/facility mission change and possible future transfer of facilities to EM.
- (6) Coordinate with the Office of General Counsel to assure that any applicable requirements of the Worker Adjustment and Retraining Notification Act have been satisfied.
- (7) Assure thorough analysis of programs in order to reduce the impact of such reductions in force on displaced employees and the communities.

b. Heads of Field Organizations.

- (1) Assure that management and operating contractors develop and implement plans which satisfy the requirements of paragraph 9.
- (2) Approve, as appropriate, personnel costs related to the reduction in employment which are not otherwise allowable. Submit to the Office of Contractor Human Resource Management and affected PSOs for concurrence any proposals for special incentives to encourage voluntary separations or special early retirement incentives. The analysis and recommendations of such proposals should address any proposed rehire potential for any employees who participate in special incentives.
- (3) Submit any plan for reduction at a DOE facility or site for that facility to the cognizant PSO and lead PSO, as appropriate.
- (4) Provide a copy of the report required under paragraph 91 to the Office of Contractor Human Resource Management, within 45 days of completion of the reduction.

- (5) Appraise the implementation of employment reductions by the management and operating contractor, including the cost effectiveness of programs approved under paragraph 8b(2).
  - (6) Assure that contractors develop programs to reduce the impact of the reduction in force on the displaced employees and the communities by working with Federal, State and local governments; interested local organizations; employee representatives; and educational institutions.
- c. General Counsel. The Office of General Counsel reviews plans for layoff notices to assure that all applicable requirements have been met, including the requirements of the Worker Adjustment and Retraining Notification Act (Public Law 100-379).
- d. Assistant Secretary for Congressional and Intergovernmental Affairs Manages and develops Communications Plans which establish the officials to be notified and the scheduling and timing of all major announcements, including employment reductions at DOE contractor management and operating facilities.
- e. Director, Office of Public Affairs.
- (1) Coordinates Headquarters review by Congressional and Intergovernmental Affairs of employment reductions at a DOE contractor-managed facility.
  - (2) Coordinates all public announcements of layoffs at contractor-managed facilities with the appropriate DOE field office public affairs official and the appropriate contractor public affairs official.
  - (3) Assures that employee notification has been completed prior to any public announcement of layoffs.
  - (4) Issues a DOE news release, if appropriate, and/or approves the contractor news release.
- f. The Director, Office of Procurement, Assistance and Program Management, through the Director, Office of Contractor Human Resource Management.
- (1) Advises and assists PSOs on the implementation of DOE policies and programs for managing contractor reductions in force.
  - (2) Reviews Alert Bulletins prepared by PSOs for the Secretary for conformity to policy.

- (3) Informs national labor organizations of pending contractor reductions in force prior to public announcement.
- (4) Concurs in proposals for special incentives for either voluntary separations or early retirement submitted by field organizations, once approved by the cognizant PSO.
- (5) Advises and assists PSOs, Heads of Field Organizations, and contractors on implementation of programs to reduce the impact of reductions in force on displaced employees and the communities.

9. CONTRACTOR PROCEDURES AND REQUIREMENTS. The following procedures and requirements shall apply to the operations at DOE-owned, contractor-managed facilities and sites:

- a. Human Resource Planning. When a management and operating contractor determines there is a need for a reduction in employment, it shall identify positions to be affected; analyze the qualifications, length of service, and other characteristics of the incumbents of those positions; and undertake a systematic process leading to a projection of the types and numbers of personnel to be retained, transferred, or terminated.
- b. Notification to Contracting Officer. Management and operating contractors shall inform the contracting officer as soon as possible of a condition likely to result in a reduction in employment of 10 or more, or a significant layoff action as described in paragraph 10b. When the contractor has determined the approximate number, types, and dates of reduction actions, this information shall be transmitted to the contracting officer with sufficient time to permit the timely submission of the reduction plan to Headquarters.
- c. Control of Hiring. In anticipation of a reduction in employment, management and operating contractors should make every effort to postpone hiring and to fill vacancies through the transfer of personnel from positions which are to be eliminated.
- d. Voluntary Separations. In order to reduce the number of employees to be separated involuntarily by encouraging voluntary separations without unreasonably increasing costs, contractors may, with the approval of the contracting officer, provide special incentives, such as: (1) payment of earned severance pay to an employee scheduled for layoff who resigns early to accept other employment; (2) payment of accrued severance pay or similar incentive to an employee who volunteers for separation and thereby saves another employee from involuntary separation; and (3) special one-time incentive to retire. Such proposals should be structured to avoid the loss of personnel with essential knowledge and skills. Such proposals should include an analysis and evaluation of any

rehire opportunity for employees who choose to participate in the special incentive programs to assure there is no abuse of the intent of the programs. Before approving a special arrangement, the contracting officer shall obtain the concurrence of the Director, Office of Contractor Human Resource Management. It is not expected that voluntary separations will eliminate the need for involuntary separations.

- e. **Transfers.** Management and operating contractors are encouraged to transfer employees who may be affected by a reduction in force to their other DOE facilities or to their privately-owned facilities where there are vacancies.
- f. **Retraining.** Management and operating contractors will provide retraining opportunities for employees affected by reductions, or support employees who utilize outside retraining facilities, when this can be done without an unreasonable increase in cost. Contractors will assure that training is designed to qualify trainees for available job openings in the area. Publicly funded programs should be utilized whenever possible. When reasonable retraining opportunities cannot be provided prior to separation, and needed retraining is not available from publicly funded sources, contractors may reimburse tuition costs of former employees for a limited period, with the approval of the contracting officer.
- g. **Notice to Employees.** Employees scheduled for layoff should be given as much notice as is practical. In those instances where a 60-day notice is required by the Worker Adjustment and Retraining Notification Act (Public Law 100-379) and implementing regulations of the Department of Labor (20 CFR Part 639), this will serve as a minimum. In other instances, a 2-week notice shall be given as a minimum. Notification will first be made to the employee, in person, by the immediate supervisor or other management official of the contractor. When the contractor is unable to give proper notice, pay in lieu of notice may be given.
- h. **Nondiscrimination.** Contractors shall use their best efforts to alleviate any adverse impact on minorities and women, and shall document their analysis to demonstrate these efforts.
- i. **Outplacement Assistance.** Contractors should provide affected employees, before and after separation, with counseling covering job search techniques, resume preparation and mailing, and identification of job openings. They also should make arrangements for onsite or local recruitment and other appropriate outplacement assistance, as approved by the contracting officer. Special effort should be made to coordinate with other DOE management and operating contractors who may have vacancies. Bargaining unit representatives of affected employees should

be invited to participate in planning and implementing the outplacement program. Community human resource agencies should be used for outplacement assistance where possible.

- j. Referral for Personal Assistance. Contractors should refer employees who do not find other employment prior to layoff to outside sources of financial assistance, social services, educational opportunities, and other appropriate assistance to reduce personal hardships. Employee Assistance Program counselors can appropriately be used to assist these employees and make such referrals.
- k. Programs to Reduce Impact on Displaced Employees and the Communities. Contractors will employ programs through Federal, State and local governments; local organizations; employee representatives; and educational institutions to reduce the impact.
- l. Reporting. Following completion of a reduction in employment, the contractor shall inform the contracting officer of:
  - (1) Numbers and categories of employees -
    - (a) Involuntarily separated;
    - (b) Voluntarily separated who received severance pay;
    - (c) Electing retirement under special incentive programs; and
    - (d) Transferred to other facilities of the contractor.
  - (2) Total costs of severance pay and termination incentives, broken down for voluntary and involuntary terminations.
  - (3) Potential for rehire of employees who choose to participate in special incentive programs.
  - (4) Results of analysis of impact on minorities and women.

10. ACTIONS BY DEPARTMENTAL ELEMENTS.

- a. Submission of Plan to Headquarters. The Head of the Field Organization shall submit to the cognizant PSO and other affected PSOs, at least 30 days prior to the proposed announcement, a summary of the action to be taken; reasons for the action; and a schedule for announcing the proposed action to employees in general, to the general public, and to the individual employees affected.

This submission will also summarize the actions to be taken by the contractor to mitigate the adverse effects of the reduction on individuals and the community. A draft press release and a draft letter to Federal, State, and local government officials should be included.

- b. Concurrence by the Secretary. For significant layoff actions, as defined below, the PSO shall process an Alert Bulletin (DOE Form 1325.11) from the PSO through the Under Secretary and/or the Deputy Secretary, as appropriate, in accordance with SEN-106. A significant layoff is: (1) any layoff at a single site affecting 100 or more employees; or (2) Any layoff involving controversial issues (such as, but not limited to, significant budget reductions, health and safety impacts, conflicts with local labor/management agreements; changes to normal employee relations practices) warranting high level Departmental management review and thorough external coordination. The Alert Bulletin should state: (1) the number and types of positions affected; (2) the reason(s) for the reduction; (3) actions planned to reduce the number of employees to be involuntarily laid off and the net number of layoffs expected; (4) date and manner of public announcement and prenotifications; and (5) effective date(s) of layoffs and date(s) the affected employees are to be notified. The Bulletin should have attached to it a proposed press announcement, potential questions and answers, Communications Plan, and schedule of planned actions. Attachment I is an example of an Alert Bulletin.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI  
Director of Administration  
and Management

E X A M P L E



# DEPARTMENT OF ENERGY ALERT BULLETIN

**Orig. Office:**

**Transmittal:** Action: (Name of Facility) Reduction in Force

**To:** The Secretary

**Thru:** Deputy Secretary  
Under Secretary

**Issue:** On (date), (Name of Operating Contractor) of the Department of Energy (Name of Facility and location), is planning to announce a reduction in force (RIF) of (number) hourly production positions. Personnel actions will begin (date).

**Discussion:** Modification of the workload schedules has resulted in a slowdown in production activity. (Name of Facility) sees no problem in continuing to meet production targets.

It is a possibility that approximately (#) employees could be placed in other positions at (Name of Facility), bringing the projected number to be laid off down to approximately (#) hourly employees. All employees will be given (#) weeks' notice of the need for a RIF. (Name of Contractor) will announce the RIF requirements to (Name of Facility) employees beginning with Managers at (time) (EDT) on (date). Individual Managers will make the announcement to their respective employees at (time) (EDT). Appropriate external officials are to be notified at (time) (EDT) on the same day of employee notification. It is the (Name of Facility's) desire that the employees receive the notification prior to the announcement to the news media.

The (Name) Operations Office is working with the Assistant Secretary for Defense Programs on this matter. The Office of the Assistant Secretary for Congressional and Intergovernmental Affairs will notify the congressional delegation and appropriate congressional staff of the RIF in advance of the announcement to affected employees. A proposed announcement letter, questions and answers, congressional notification list, and schedule are attached.

The attached correspondence has no relation to the Naval Nuclear Propulsion Program. Naval Reactors concurrence is not required (if applicable).

Please note your concurrence to take the above actions in announcing the pending layoff.

Cognizant Assistant Secretary

**Concurrences:**

## EXPEDITE HAND-CARRY

## **Appendix E**

### **Guidance for Support of Economic Development Activities**

#### **I. PURPOSE**

The end of the Cold War has reduced the Nation's need for national security activities. As a result, the Department of Energy's (DOE) nuclear weapons production capacity is declining. DOE is accomplishing this by reconfiguring, downsizing, and closing many of its facilities. Since the Department realizes that these actions may adversely affect the economies of the communities nearby, it will cooperate with the recognized representative of each affected community to plan and execute economic development initiatives to help offset those impacts. These guidelines highlight the key aspects of this effort.

#### **II. APPLICABILITY**

This guidance applies to DOE sites and facilities that are, or are expected to be, scheduled for termination or other significant transition due to the downsizing of the Department's nuclear weapons production mission. Emphasis will be on situations where reductions are covered by Section 3161 of the National Defense Authorization Act of 1993. The program presented here is also intended to be consistent with all other applicable laws, regulations, and policies affecting the Department.

It describes the procedures and responsibilities applicable to organizations representing the economic development interests of DOE-impacted communities as well as those of the Department. This is accomplished by addressing three interdependent processes integral to DOE's support of local economic development activities. They are:

- Community Involvement
- Funding and Resource Allocation
- Use of Real and Related Personal Property

Finally, this guidance may be amended as required to reflect changes in laws, regulations, and policies that affect DOE's economic development mission and/or changes in needs for its support of local economic development.

#### **III. COMMUNITY INVOLVEMENT IN ECONOMIC DEVELOPMENT ACTIVITIES**

##### **A. Scope**

The Department of Energy believes that broad-based participation and community involvement is essential to successful local economic development. To this end, the Department encourages communities affected by the downsizing of nearby DOE facilities to establish a Community Reuse Organization (CRO). The CRO's primary mission is to determine and sponsor the actions the community may take to offset the local

consequences of DOE's downsizing

**B. Procedures and Responsibilities**

**1. Community Reuse Organizations**

- a. The primary function of the CRO is to act as its community's single voice to the Department for economic development issues. Therefore, the CRO will coordinate all local economic development planning and management efforts that address DOE-related impacts
- b. The CRO will include a broad representation of the affected community, with consideration of membership given to people and groups such as
  - individual residents and representatives of community-based organizations,
  - representatives of business, educational, and financial institutions,
  - site workers and their labor organizations;
  - local government officials,
  - established economic development organizations, and
  - public interest, citizen, environmental, diversity or indigenous groups having members located in the community.
- c. The CRO's function is distinct from other community-based entities. They will develop and submit local plans and proposals to the appropriate DOE Operations or Area Office, receive DOE funding (if appropriate), and participate in the management of economic development projects. Each CRO will submit, in concert with proposals for DOE aid, a Public Participation Plan describing how public involvement in their activities will take place and who will be involved in the process.
- d. The CRO must publicly describe the purpose, scope, and method of their economic development efforts. These efforts should reach a broad segment of the community in an inclusive and timely way. This will assure fairness of opportunity for participation in the planning and subsequent projects they support.
- e. The CRO will coordinate their activities with Site Specific Advisory Boards (SSAB) at DOE sites, particularly with regard to future site planning. Since their objectives and consequent functions differ, the roles of these two organizations should remain independent. CROs should not be chartered as Federal Advisory Committees under the Federal Advisory Committee Act because they are not advisory in nature.

**2. Department of Energy Field Organizations**

- a. Field organizations will work within their community to help establish the local CRO and secure its formal recognition by DOE.
- b. Field organizations will assure that the Department's policies and guidelines

regarding. 1) open access, 2) broad community involvement, 3) fairness of opportunity; and 4) avoidance of individual and organizational conflict of interest are known so they can be used by the community in both the establishment of the CRO and in formulation of proposals for DOE assistance

- c. Field organizations will develop a series of general and specific announcements describing the purpose, scope and method for participating in local economic development planning. These communications should be made in a variety of formats that reach a broad segment of the affected community and provide open, timely and complete information.

#### **IV. FUNDING AND RESOURCE ALLOCATION FOR ECONOMIC DEVELOPMENT PROJECTS**

##### ***A. Scope***

The Department will help mitigate the local economic impacts of its downsizing actions by providing a broad range of resources to support communities' initiatives. Economic development program plans will normally be submitted as part of each site's Work Force Restructuring planning process. However, consideration will be given to time-sensitive economic development opportunities that cannot be accommodated by this process. To the extent possible, local planning will be integrated with existing economic development efforts and infrastructure.

##### ***B. Procedures and Responsibilities***

1. The Office of Worker and Community Transition is responsible for overseeing the Department's economic development program and for approving/denying community-based requests for Departmental assistance in this regard.
2. The DOE Working Group on Economic Development is responsible for providing matrix support to the Office of Worker and Community Transition as requested.
3. The appropriate field organization is the lead in developing the Department's economic development program in the impacted community.
4. Field organizations should support the CRO's work to prepare a local economic development program plan. This plan should describe the community's overall approach in offsetting the effects of Departmental actions. It should also include descriptions of specific economic development projects to be accomplished.
5. Field organizations will submit the CRO's economic development program plan to the Office of Worker and Community Transition for approval. Members of the DOE Working Group on Economic Development will review the plan, and make appropriate recommendations to the Office within thirty days of receipt. The Office will make final project funding decisions and allocate funds or other authority as appropriate.

;

6. Requests for economic development funding support from the Department should include an estimate of the intended contribution to specific projects from other entities, both public and private
7. Awards of funding will be prioritized according to the proposed project's ability to (1) create jobs that will employ dislocated DOE personnel, (2) stimulate local economic growth, (3) promote the commercialization of site-developed technology; and (4) reuse Department facilities compatibly with the site's continuing mission in a manner consistent with environmental requirements.

Funding will be determined on a case-by-case basis for activities such as equipment transfer and facility consolidation. Funding proposals for construction activities, including architectural and engineering design and infrastructure support, are not encouraged.

8. Performance indicators should be identified cooperatively by the Operations or Area Office and the CRO to measure the effectiveness of supported activities
9. Financial assistance can be provided in two primary ways:
  - a. Grants. Grants are used by the Department to provide funding (and property) to an eligible recipient where no substantial involvement between the Department and the recipient is expected during performance of the funded activity. The Department may wish to provide grants for each specific project proposal identified for the community or provide a single grant to the CRO, or its designee, with authority to make subawards for individual projects. In those cases, subawardees would also have the responsibility to comply with the grant requirements. Funds for administering subawards may be included in the grant award.
  - b. Cooperative Agreements. Cooperative agreements anticipate substantial involvement between the Department and eligible recipients during the performance of the funded activity. Cooperative agreements also provide the Department with greater administrative control over project implementation. The Department may choose to establish a separate cooperative agreement for each project, or establish a single cooperative agreement with the recipient to award subagreements for individual projects. If the Department sets up a single cooperative agreement with the recipient, the Department may have final approval authority for the subsequent projects initiated under that agreement. In that case, the administration of the individual subagreements will be left to the recipient.
10. The appropriate field organization will make the public aware of various other Departmental resources that may support local economic development. They should issue notices describing both Department-wide and site-specific opportunities. They may use a program opportunity notice, a notice of interest, or similar vehicle. This procedure may be open-ended, allowing for the continual generation and submission of project proposals. The activities to be covered in notices include, but are not limited to:

- a. Cooperative Research and Development Agreements (CRADA) with other institutions to collaborate on a particular research and development program
- b. Work For Others Program to provide available facilities and resources for non-Department work, the customer underwrites the full cost of the work performed
- c. Research & Development Consortia that collaborate to achieve a common R&D objective
- d. Exchange Programs that permit both government personnel to work in industry facilities and industry personnel to work in government facilities.
- e. User Facilities Programs that permit others to use government laboratories and facilities
- f. Licensing to permit the commercialization of government owned intellectual property.

## V. USE OF REAL AND RELATED PERSONAL PROPERTY AT DOE FACILITIES

### A. Scope

The Department may lease or grant permits and easements (the "lease") on its available real and related personal property identified as necessary for economic development.

### B. Procedures and Responsibilities

1. The Department may lease directly to:
  - a. the CRO; and
  - b. any entity recommended by the CRO using the process agreed to by the Department and the CRO for developing prospects for economic development.
2. In general, the order of precedence for use of Department sites is (1) Department of Energy missions not related to economic development; (2) the purposes of economic development, (3) Federal, State and local agency use not related to economic development, and (4) private use not related to economic development. The Operations or Area Office is responsible for resolving conflicting proposed uses of the Department's assets under its jurisdiction
3. Terms and Conditions of a lease to the CRO or its designee (the "tenant") will include but not be limited to the following aspects.
  - a. Leases for economic development will specify that, initially, the consideration will be care and custody of the leased premises by the tenant. The lease may provide for payment of full or partial fair market rent by the tenant if it subleases portions of the space. The tenant may charge its subtenants more or less than

the rent it owes to the Department. The Operations or Area Office will require the tenant to make available for public record written documentation justifying all decisions to sublease at less than fair rental value

- b. The tenant will maintain the interior of the premises, the interior of any outbuildings, and all related personal property in "good repair and tenantable condition." Safety concerns and the practical aspects of cost of maintenance will determine whether the Department or the tenant maintains building exteriors. If certain hazardous materials are present, the lease will also specify whether the Department or the tenant will perform the required maintenance, inspections, servicing, record keeping, etc. to comply with applicable laws
- c. Local zoning, appropriate ordinances, and commercial standards will apply, i.e. the tenant will also be required to comply with any rules and regulations that would apply if the tenant were operating on privately-owned land in the community and subject to normal land use regulations. The lease must reference those uses that are restricted under identified Federal, State, or local floodplain and wetland regulations. Leases should also explicitly identify any sacred sites, burial grounds, Native American subsistence areas, archeological resources, endangered species, historic properties, or other cultural resources that exist on the property, and provide for compliance with laws protecting them
- d. Where appropriate, application of Department of Energy Orders will be waived to minimize potential conflict between commercial standards and departmental Orders.
- e. The CRO will be given a set of broad criteria developed by the Operations or Area Office. These criteria should take into consideration the priorities listed above and any others developed by DOE Headquarters. The CRO will demonstrate to the Operations or Area Office that its process to select tenants/subtenants meets those criteria, including provisions for fairness of opportunity
- f. No lease may exceed 10 years, including all available options, without DOE Headquarters approval
- g. An environmental baseline survey must be prepared and jointly agreed to by the Department and the tenant. The environmental baseline survey results will
  - 1) document the nature, magnitude, and extent of any environmental contamination of property or interests in property considered for lease,
  - 2) define potential environmental contamination liabilities associated with the lease, and
  - 3) develop sufficient information to assess the health and safety risks--and ensure adequate protection--to human health and to the environment that may be caused by work in the leased premises

- h A physical condition report will be jointly issued by the parties entering into the lease agreement prior to occupancy**
- l An occupational safety and health survey (OSHA baseline survey) should be conducted prior to any change in use of the facility This survey should examine the proposed new use of the facility and focus on fire protection, ventilation systems, etc. Any restrictions resulting from the survey shall also be contained in subleases**

## Appendix F

### Guidance for Preparing Yearly Updates

#### I. WHAT IS THE REQUIREMENT?

Section 3161 of the Act requires that the Secretary shall issue an update of the plan, not later than one year after issuing a plan and on an annual basis thereafter. Each update should take into account any changes in the function or mission of the defense nuclear facilities or other changes determined relevant by the Secretary; be guided by the same objectives set forth in the legislation for the original plan, contain an evaluation of the plan's implementation, and contain other matters the Secretary determines relevant. The date the Secretary approves the plan and sends it to Congress for review should be considered its date of issue and the anniversary date for update submittal.

#### II. WHAT INFORMATION SHOULD BE INCLUDED IN AN UPDATE?

The legislation requires the update to contain an evaluation of the implementation of the plan. The evaluation should include (1) an assessment of the extent to which a plan achieved the objectives of the Act, (2) the costs of achieving those objectives, and (3) the lessons learned that can improve future work force restructuring efforts.

##### *A. Measuring Legislative Objectives*

The degree to which the plan is effective in meeting its legislative objectives should not be measured by the total number of employees receiving a certain benefit, but by the outcomes of offering the benefit. For example, it is preferable to identify the number of terminated employees who received positions at DOE sites through the JOBBS system rather than listing the number of terminated employees listed with JOBBS.

##### *B. Cost of Achieving Objectives*

Plans submitted to Congress normally include only estimated costs. A year from now, however, we should be in a better position to document the actual costs associated with objectives of the legislation. These costs should be tracked by each site on a regular basis.

##### *C. Lessons Learned*

An update should address why some efforts were more successful than others. Such lessons learned will benefit all sites in planning future work force restructuring.

#### III. DOES AN UPDATE INCLUDE BOTH WORK FORCE RESTRUCTURING AND ECONOMIC DEVELOPMENT?

Section 3161 of the Act requires the Department to provide local impact assistance to

communities affected by the restructuring plan. Funding for these activities is considered a part of the plan required by the legislation, and an evaluation of their effectiveness should be included in any update.

#### **IV. SUGGESTED FORMAT**

Our objective is to keep the updates brief. The following major sections are suggested.

- A. *Status of Work Force Restructuring at Site*** -- This section should describe the cause of the restructuring, when it started, the number of workers involved so far, stakeholder involvement and prospects for the future.
- B. *Brief Summary of Work Force Restructuring Plan(s)*** -- This section should cover the highlights of the plan(s) including incentives offered to reduce layoffs and benefits provided. When multiple plans exist, their differences should be explained.
- C. *Evaluation of Work Force Restructuring*** -- This section should contain an analysis of the important successes and failures of the plan(s) and be supported by statistical data for each plan, and a statistical summary of all the plans for the site. A suggested format is shown in Attachment A. This section should conclude with the lessons learned for future work force restructuring.
- D. *Brief Summary and Evaluation of Economic Development*** -- This section should be supported by economic development performance measures such as those listed in Attachment B.

#### **V. UPDATE SUBMITTAL**

As each site develops a new plan for each work force restructuring at that site, Congress could find multiple annual updates from a given site in a single year confusing. A single summary and evaluation of all work force restructuring under 3161 at a given site would probably be most informative and useful. At the same time, the outcome of each specific plan should be evaluated, particularly in determining what worked well or did not work well in meeting the specific objectives of the legislation.

#### **VI. APPROVAL OF UPDATES**

Draft updates should be submitted to the Office for review. The Office will submit final updates to the Secretary for approval before sending to Congress.

**Attachment A -- Statistical Summary for Work Force Restructuring**

**Attachment B -- Near Term Economic Development Performance Measures**

**Attachment A**

**Statistical Summary for Work Force Restructuring**

STATISTICAL DATA FOR name of site WORKFORCE RESTRUCTURING PLAN DATED \_\_\_\_\_

		Recipients			Costs (In Thousands)		
		Plan	To Date	Est Total	Plan	To Date	Est Total
1	Retirement Incentives						
2	Additional Costs to Pension Fund						
3	Cash Payments						
4	Other Incentives (specify)						
5	Incentives for Others Separating Voluntarily						
6	Cash Payments						
7	Other Incentives (specify)						
8	Terminated Workers						
9	Separation/Benefits						
10	PILOW						
11	Other (specify)						
12	Displaced Worker Medical Benefits						
13	Relocation Assistance						
14	Outplacement Center						
15	Retraining Retained Workers through Tuition Reimbursement						
16	Environmental Cleanup						
17	Other						
18	Other Retraining of Retained Workers						
19	Environmental Cleanup						
20	Other						
21	Retraining Separated Workers						
22	Tuition Reimbursement <sup>1</sup>						
23	Other Retraining <sup>1</sup>						
24	Other Training (to backfill or due to bumping) <sup>1</sup>						
25	Workers Internally Placed, No Benefits						
26	Workers Separated, No Benefits						
27	TOTAL <sup>1</sup>						

(1) Do not include lines 22-24 in recipients totals.

350

## Attachment B

### Near Term Economic Development Performance Measures

1. **Organizational Structures Established** This includes a designated economic development office or staff at DOE's field or area office and the Community Reuse Organization (CRO)
2. **Economic Development Planning Conducted** This includes planning grants received by the CRO, and planning activities underway or accomplished by the CRO as well as DOE at the site
3. **Economic Development Barriers Identified/Overcome** This describes the major site economic development issues and their resolution. Examples include participation in the development of DOE's Economic Development Guidelines, the Process Improvement Team efforts, the Economic Development Working Group to share lessons learned, and leasing of facilities
4. **Proposals Approved and New Projects Initiated** This briefly describes the specific projects and funding level. It includes economic development projects funded by DOE as well as non-DOE agencies, partnership contribution of resources, estimated new jobs created/workers rehired, facilities reused, etc., as appropriate.
5. **Other Major Economic Development Activities Conducted** These are activities that lead to commercialization of site technologies, enhancement of local economy, etc. Examples include open house/technology showcase, cooperative agreements, joint ventures, new leases, etc.

## Appendix G

### Job Attachment Test

In implementing the objectives of section 3161 of the Act, the Department recognizes a special responsibility to minimize the impact of work force restructuring on employees who participated in efforts to maintain the Nation's nuclear deterrent during the Cold War. September 27, 1991, the day President Bush announced the first unilateral reduction of the Nation's stockpile, has generally been recognized by this Department as the end of the Cold War.

In general, employees who meet the job attachment test discussed below should be eligible for most benefits offered in a work force restructuring plan. However, the benefits offered at a specific site should be tailored to specific conditions, to the demographics of the workers at that site, and must be practicable and reasonable with respect to budget constraints, contractual provisions, and other obligations. Thus, those who meet the job attachment test are not likely to be offered exactly the same benefits at all sites.

To identify employees who helped maintain our nuclear deterrent during the Cold War, the criteria listed below should be followed at all sites:

#### **A. Regular Employees:**

1. must have been working at a defense nuclear facility on September 27, 1991;
2. must have worked full-time (or regular part-time) at a facility from that date through the date of the 120-day notification, and
3. must accept a voluntary separation incentive or have been involuntarily separated

#### **B. Intermittent Workers, Including Construction Workers:**

1. must have worked at a defense nuclear facility on or before September 27, 1991,
2. must have worked at a facility within 180 days preceding the work force restructuring notification,
3. must have worked at a facility a total time, including time worked prior to September 27, 1991, equivalent to an employee having worked full-time from September 27, 1991 to the date of the 120-day notification, or have actually worked full-time from September 27, 1991 through the date of the 120-day notification, and
4. must have been affected by the announced restructuring within a reasonable period of time (one year is suggested). For an intermittent worker, this includes the interruption of a project before its anticipated completion, or the completion of the assignment or project without prospect for a follow-on assignment at the site where the employee had a reasonable expectation of a follow-on assignment.

*The industry standard of*

**Appendix H**  
**Schedule of Benefits**

	Elect to Retire	Voluntarily Separated	Involuntarily Separated	M&O Employee	Construction Worker	Subcontract Employee
Early Retirement Incentives	X			X		O
Voluntary Separation Incentives		X		X		O
Training for New Missions			X	X	O	O
Tuition Assistance		X	X	X	O	O
Relocation Assistance		X	X	X	O	O
Preference in Hiring			R	R	R	R
Outplacement		X	X	X	X	X
Construction Worker Benefit					R	
Displaced Worker Medical Benefits		X	X	X		

R = Required benefit if employee meets job attachment test  
 X = Should be considered  
 O = Generally not appropriate except in special circumstances

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**Appendix I**  
**Acquisition Letter No. 93-4**

**April 7, 1993**

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# ACQUISITION LETTER

This Acquisition Letter (AL) is issued by the Director, Office of Procurement, Assistance and Program Management, pursuant to a delegation from the Secretary and under the authority of the Department of Energy Acquisition Regulation (DEAR) Subpart 901.301-70.

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## CONTENTS

<u>CITATION</u>	<u>TITLE</u>
DEAR 970.3102-2	Compensation for personal services
DEAR 970.3102-2(1)	Severance Pay Plans

- I. Purpose. The purpose of this Acquisition Letter is to: (1) clarify the Department of Energy (DOE) position on the Displaced Workers Benefits Program; (2) establish guidelines with respect to Head of Contracting Activity responsibility for implementation of medical benefits programs for displaced workers as approved by the Secretary of Energy, July 29, 1992; and (3) assure that contractors managing and operating DOE defense nuclear facilities implement this program for displaced workers.
  
- II. Background. The Secretary of Energy, in response to an anticipated downsizing in defense related activities, established a task force to develop a program that allows displaced workers continued access to medical insurance. The task force submitted a recommendation to the Secretary for a program that provides for a continuation of medical benefits for displaced workers under the provisions of the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA). On July 29, 1992, the Secretary approved the task force recommendation for the Displaced Workers Benefit Program. The Report to the Secretary dated August 1992, outlining the provisions of the program was submitted by the task force, and a memorandum with a copy of the Report was distributed to DOE Field Offices.

**III. Guidance.**

- A. It is the policy of the DOE to assure that contractors managing and operating the DOE defense facilities implement Medical Benefits Programs for Displaced Workers as described in the August 1992 Report. This ensures that employees involuntarily separated due to a downsizing action are not denied access to medical care benefits.**

**In order to qualify for benefits under the approved Medical Benefits Program for Displaced Workers, a displaced worker must have been:**

- (1) on the employment roll of a DOE management and operating (M&O) contractor to perform work (including service work) for a DOE facility on September 27, 1991;**
- (2) involuntarily separated after September 27, 1991, from the employment of a DOE M&O contractor performing work (including service work) for a DOE facility as a result of a downsizing action;**
- (3) eligible for medical insurance coverage under an M&O contractor's plan at the time of separation from employment; and,**
- (4) not eligible for coverage under another employer's group health plan or under Medicare since the time of separation.**

- B. The Office of Contractor Human Resource Management shall provide guidance to contracting officers and assist DOE officials responsible for management of activities of the M&O contractor concerning DOE policies, requirements, and guidelines for the Medical Benefits Programs for Displaced Workers.**

- C. The Head of Contracting Activity will:**

- (1) assure that M&O contractors follow the policy and requirements of the Medical Benefits Program for Displaced Workers approved by the Secretary of Energy on July 29, 1992, and detailed in the August 1992 Report;**
- (2) negotiate advance understandings on allowable costs for the Medical Benefits Programs for Displaced Workers; and,**
- (3) approve reasonable costs of the M&O contractor for implementation of the Medical Benefits Programs for Displaced Workers.**

IV. Effective Date. This AL is effective on the date of its release.

V. Expiration Date. This AL will remain in effect until its content is incorporated, as appropriate, in regulatory or directive coverage, unless otherwise superseded or canceled.



## Appendix K

### Example of a Public Announcement of a Work Force Restructuring

#### DEPARTMENT OF ENERGY ANNOUNCES WORK FORCE RESTRUCTURING AT \_\_\_\_\_

Date  
City, State  
DOE Contact.

The Department of Energy (DOE) today announced that it is beginning work force restructuring process at \_\_\_\_\_. This action will result in the reduction of up to \_\_\_\_\_ positions. This action is a result of \_\_\_\_\_.

Prior to the implementation of these reductions, an analysis will be performed to determine the skills required to meet the mission needs at \_\_\_\_\_.

The Department is committed to lessening the effect of work force reductions on affected employees and their community. In order to do this, the \_\_\_\_\_ will develop a work force restructuring plan consistent with section 3161 of the National Defense Authorization Act for 1993.

The restructuring plans will assist displaced employees in several ways:

- Medical benefit extensions ensure that displaced workers and their families will not be without medical insurance,
- Retraining assistance, including tuition reimbursements assist displaced employees prepare for new careers,
- Relocation assistance,
- Outplacement assistance provides resume preparation and other employment-searching training,
- Comprehensive computer database that matches the skills of displaced employees with job openings across the country; and
- Voluntary Incentive separation programs (where applicable)

The Department will also work to assist the community by promoting economic development and diversification proposals that attract new business. These initiatives will assist the community broaden its economic base and help ensure its viability after the Department's missions have been completed.

To ensure that the unique needs of each site are met, employees, community leaders, governmental officials, union representatives and others will be involved in the development of work force restructuring plans.

Should you require any additional information regarding the work force restructuring process at \_\_\_\_\_, please contact \_\_\_\_\_.

(For best results, view and print this document in 10 point Courier or a similar mono-spaced font )

## BUSINESS ASSISTANCE NOTE #1

### MEETING THE NEEDS OF SMALL AND MID-SIZE BUSINESSES

#### A GUIDE FOR SERVICE PROVIDERS

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*****
* This brief was developed based on      *
* 18 focus groups that the National      *
* Workforce Assistance Collaborative     *
* conducted in February and March of     *
* 1994 seven with businesses, six with  *
* service providers, and five with      *
* employees Sessions were held in       *
* Atlanta, Baltimore, Chicago,          *
* Cleveland, Dallas, Detroit, Los      *
* Angeles, New Brunswick, New Jersey    *
* Washington, DC, and Westmoreland, PA  *
*****
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#### INTRODUCTION

Change is a fact of life for small and mid-sized businesses today. The demand for higher quality and customized products, delivered more quickly and at lower prices, requires all companies to produce better, faster, and cheaper.

Small and mid-sized companies have to change if they want to stay in business and be competitive and profitable in today's environment. They may need to purchase new technology, restructure their work processes, and/or upgrade their employees' skills.

But change is difficult. With shortages of both time and money, small and mid-sized businesses are most in need of outside assistance to help them through the change process.

Educational institutions, non-profit organizations, and private consulting firms can provide that assistance. These and other service providers can help companies select the technologies most appropriate for their businesses, assist in the redesign of work processes and employer-employee interactions, and upgrade employees' basic and technical skills.

Good service providers can also facilitate the preparation for and management of the change process in small and mid-sized businesses. They bring to the change process both the experience of working with a large number of companies and the critical eye of an outsider.

To learn more about how service providers could meet the needs of small and mid-sized businesses, the National Workforce Assistance Collaborative conducted a series of 18 focus groups with employers, employees, and service providers from across the country. They told us:

- \* What businesses want from service providers,
- \* How service providers can reach small and mid-sized businesses, and
- \* How service providers can meet business needs.

This Business Assistance Note is written for all of the providers available to help small and mid-sized businesses, including:

- \* Community colleges,
- \* Universities,
- \* Manufacturing technology centers,

- \* State literacy and training programs,
- \* State economic development and technology offices,
- \* Labor-management associations,
- \* Business organizations,
- \* Trade and professional associations,
- \* Business development centers,
- \* Private industry councils,
- \* Non-profit organizations, and
- \* Private consulting firms

It is designed to help organizations become better service providers

WHAT BUSINESSES WANT FROM SERVICE PROVIDERS

Businesses in the focus groups were clear about their expectations for service providers They want

Customer focus

Small and mid-sized businesses want services focused on their requirements and the realities of their workplaces Many of these companies know that they have to change, but don't know what to change One business owner commented that small and mid-sized companies often lack the "intellectual capital" required to determine their needs These companies want service providers to collaborate with them in determining their needs and defining their objectives They expect providers to deliver outcome-oriented services in line with these needs and objectives

Customization

Because each individual business is unique, business owners want customized programs

- \* Content Companies want service providers to tailor services to meet their needs, instead of trying to fit company needs into an off-the-shelf package of services
- \* Delivery Companies also want providers to tailor their services to meet individual operating structures and schedules Many small and mid-sized businesses cannot train employees on company time since they do not have enough workers to substitute for those in training Some businesses operate around the clock and want services delivered at a variety of times in order to meet their shift schedules Because businesses often come to service providers when a problem is critical, they also want their needs addressed right away

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*****
* The Garment Industry Development Corporation (GIDC) *
* in New York City operates a "Super Sewers" program *
* to upgrade the skills of sewing machine operators *
* To meet the needs of the operators, GIDC conducts *
* some classes in Chinese and others in Spanish It *
* also incorporates instruction in work-related *
* English into its programs *
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Expertise

Business people are critical of those providers that do not have experience 1) in the areas in which they are delivering services and 2) in delivering those services to businesses Service providers need to know what their strengths are - and market to them

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Affordability

Cost is a big issue for small and mid-sized companies. Most of these companies operate on a very tight margin. Small and mid-sized businesses need affordable programs. Some want service providers to help them identify and apply for public funding to subsidize costs, others want providers to charge fees based on a sliding scale or sponsor "training consortia" that enable smaller companies to share costs among themselves.

Commitment

Small and mid-sized businesses want to work with service providers who are interested in and understand company needs. Businesses want a service provider who will expand employees' knowledge and build their company's long-term capacity. They are looking for service providers who will work with them for the long term and address their evolving workplace needs. Most importantly, companies want service providers who will help them move from theory to practice and apply the lessons they are being taught in the workplace.

Personal connection with the service provider

Small and mid-sized business owners and managers want service providers who will listen to them before offering solutions. Several business people stated that they expect a service provider to "become a part of the company." They are looking for the provider to fit comfortably into their company culture. "Good chemistry" between the service provider and a small business owner is essential, since the owner often is the driving force behind the business.

Guaranteed outcomes

Small and mid-sized businesses want to be sure that any money they spend on change efforts will be returned to them in increased productivity, higher quality, and/or lower costs. One human resources manager bemoaned her top management's insistence on concrete performance measures prior to making business changes. She wished management would take a "leap of faith." Companies are looking for service providers to guarantee results or link their fees to performance.

Other qualities

A few of the businesses in the focus groups were looking for providers that could offer more innovative approaches to service delivery.

- \* **Comprehensiveness** Some companies want providers that can, either singly or in partnership with others, offer more comprehensive solutions to their problems. They need providers who can help with their current crises, while preparing them to adopt more long-term strategies for addressing the roots of their problems.
- \* **Brokering** Other businesses want more control over service delivery. They want access to the information and tools needed to develop and operate their own change efforts. Some look to technology as an avenue for assistance, others want more opportunities to network with companies and learn first hand about their change efforts. These companies need providers who can serve in a brokering capacity.

\*\*\*\*\*  
 \* Service Provider Checklist \*  
 \*  
 \* Companies want services providers who offer \*  
 \*

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- \* - Customer focus \*
  - \* - Customization \*
  - \* - Expertise \*
  - \* - Affordability \*
  - \* - Commitment \*
  - \* - Personal connection \*
  - \* - Guarantees \*
- \*\*\*\*\*

REACHING SMALL AND MID-SIZED BUSINESSES

Small and mid-sized businesses in the focus groups learned about service providers from a variety of sources, including direct calls and mailings, association membership lists, and meetings sponsored by such organizations as trade associations, chambers of commerce, and private industry councils. These contacts, however, are not enough to enable businesses to assess the quality of a provider's work.

To determine whether a service provider will meet their needs, companies

- \* Use informal networks. Most businesses use referrals from other companies, associations, and individuals they know and trust to identify and assess the quality of service providers.
- \* Check references. Most companies check the references of any service providers that are not directly referred to them. They take the time to talk with a provider's clients to determine whether the clients are satisfied with the services they received.
- \* Look for credentials. Some businesses look for service providers with certifications from such organizations as the International Association of Continued Training. Other businesses consider a service provider's past accomplishments to be its credentials.
- \* Examine sample work. Businesses observe the work of service providers in a number of ways. Some businesses may want providers to offer a "sample" class to help them determine whether the providers are right for them. Other businesses may test service providers with smaller assignments before contracting with them for major efforts.

Understanding the processes that companies use to select assistance is critical for providers looking to market themselves effectively.

- \*\*\*\*\*
- \* Selecting Service Providers \*
  - \* Small and mid-sized companies \*
  - \* - Use informal networks \*
  - \* - Check references \*
  - \* - Look for credentials \*
  - \* - Examine sample work \*
- \*\*\*\*\*

MEETING BUSINESS NEEDS

According to focus group participants, service providers seeking to meet business needs must maintain contact with their customers, build close provider-client relationships, and focus their services on bottom-line results.

Customer contact

Maintaining contact with customers allows a provider to stay current with company needs, as well as build demand for services. Service providers should

- \* Stay in touch with customer needs by conducting surveys and seminars, and initiating one-on-one contacts
- \* Be an information source to businesses about the need for change. Use meetings, newsletters, and advertisements to educate and inform businesses about economic trends
- \* Market themselves by
  - Working with trade and professional associations,
  - Publishing a newsletter with success stories
  - Producing videos,
  - Opening a technical assistance hot line
  - Participating in fairs, and
  - Organizing and appearing on business-oriented cable programming

#### Provider-client relationships

Good provider-client relationships are the result of both ongoing efforts to stay abreast of a client's needs and the ability to handle the difficulties clients face during their change efforts. Providers should

- \* Clarify the client's expectations, and ensure that the client's and their own expectations are aligned. Businesses must be clear about what they want addressed, and providers must be clear about what they can do. Together, the client and provider must come to an understanding of the client's problem, the provider's expertise, the cost of the proposed program, the time needed to complete the project, and the expected results
- \* "Work the relationship." Providers should keep their ears open when on site, constantly inquiring, providing feedback, and addressing problems as these emerge. Providers need to continually assess their services to ensure that the services remain on track and retain company support
- \* Provide value at a reasonable cost. Service providers should help small and mid-sized companies cover the costs of their services by 1) charging fees on a sliding-scale basis, 2) helping the companies access outside funds, or 3) building consortia that enable the companies to share program costs among themselves
- \* Reduce the paper burden. While using external funding sources may help businesses afford needed services, dealing with the reporting requirements attached to the funds may be overly time consuming. Providers can perform a valuable service by acting as the interface between the bureaucracy granting the money and the company accessing the services, and assuming the bureaucratic burden
- \* Develop the ability to meet multiple needs. A service provider may not be able to meet all the needs of its business clients. Service providers should build networks with other providers so that they can muster the assistance needed to address all of a company's problems

#### Outcome-driven services

Every morning, as soon as small business owners awake, they focus their energies on "making the payroll." Service providers need to remember the company owners' financial imperative and link all of their activities to producing bottom-line benefits. Providers should

- \* Market results. Providers should make it easy for companies to determine the quality of their services. They should offer sample classes and connect potential customers to current and past clients

*[Handwritten signature]*

- \* Align services with clients' strategic goals If necessary, providers should help companies determine their goals and then use comprehensive assessments and integrated action plans to guide the change efforts
- \* Focus themselves - and their clients - on expected results Providers should work with company leaders to set measurable program objectives and then keep asking if the expected results are being met
- \* Base fees on performance Business people want to pay for results Money-back guarantees or performance-based contracts can assure business owners and managers that they will receive services with a positive impact on the bottom line

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*****
*      Meeting Business Needs      *
*                                  *
*      Service providers must      *
*                                  *
*      - Know customer needs       *
*      - Provide information        *
*      - Clarify expectations       *
*      - Support company goals     *
*      - Be accessible              *
*      - Meet multiple needs       *
*      - Focus on results           *
*      - Base fees on performance  *
*****
    
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Terri Bergman and  
 Barbara Kaufmann  
 February 1995

The National Workforce Assistance Collaborative builds the capacity of the service providers working with small and mid-sized companies in order to help businesses adopt high-performance work practices, become more competitive, and ultimately advance the well-being of their employees

The Collaborative was created with a \$650,000 cooperative agreement grant from the Department of Labor to the National Alliance of Business Current partners on the project include the Institute for the Study of Adult Literacy at Pennsylvania State University, The Maryland center for Quality and Productivity, and the National Labor-Management Association The Collaborative provides assistance in four areas employee training, labor-management relations, work restructuring, and workplace literacy For more information, contact Bernice Jones at the National Alliance of Business (202) 289-2915

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**Crossing the Chasm** Boscobel Marketing Communications' Joyce Bosc and Fern Krauss Public Relations' Fern Krauss have formed a joint venture. The ESTN Communications Group will offer business marketing services to a national client base in the infotech and telecom industries. Just to start off with a bang, Krauss reeled in a major new client.

**On Loan** EDS' vice president George Newstrom, president of the Virginia Technology Council, has provided a loaned executive Jim Poisant, to head the planning office for the World Information Technology Congress 1998, slated for Fairfax County under the joint sponsorship of the ITAA and the Economic Development Authority. WT Editor-at-Large Esther Smith will serve on the group's advisory board. Poisant is working out of the EDA office at (703) 790-0600.

**Acquisition Time?** Rumor has it that Gary Murray, CEO of \$60 million Sylvest Management Systems, a 1995 Fast 50 company, has his sights set on a strategic acquisition for the UNIX integrator.

And word is also circulating that Bell Atlantic, frustrated by its inability to develop an Internet service internally, is on the prowl for a regional service provider. Apparently, they've been looking closely at PSINet Inc., Herndon, Va., and Digital Express Group Inc., Greenbelt, Md.

**Moving On** Sam Hellier, former CEO of ORS Associates who logged in 31 years as an execu-



Finance ■ Education      Venture Capital ■ Law  
Local Business ■ Economic Development

# Hatchlings May Have to Fly the Coop

■ U.S. foreign aid cuts threaten a successful Russian incubation project headed by Atlas Group in Herndon, Va.

By Tania Anderson  
Staff Writer

In medicine, incubators provide premature babies with a controlled environment where they can grow and develop more fully. That concept has crossed the bridge into the business world and international waters into Russia. Russian engineers have adopted the incubation principle as they grow and develop a high-tech community that they hope will be a hotbed for technological innovation.

In 1994, Leonid Kelner of The Atlas Group in Herndon, Va., and Alistair Brett of Virginia Polytechnic Institute in Blacksburg, Va., approached the United States Agency for International Development's Mission to Russia in Moscow with an idea — the International Business and Technology Incubator. The USAID liked it and gave them a \$2 million grant for two years.

As a result, a Russian high-tech

community has shown the first signs of germinating. The environment is right, said Kelner. We are building the Lockheed Martins of Russia.

How are Kelner and Brett doing it? This is how the business incubation process works. An inventor — or in Russia, an author — develops an idea and presents it to a team of 14 businessmen and engineers. If the group feels the idea has strong market potential, the Moscow-based IBTI funds the project and oversees its development from concept to product.

Traditional incubation has worked in the United States for at least 20 years and in a slightly different format. An entire facility will work as the incubator, housing several newborn companies that will grow and eventually move out. IBTI, on the other hand, prefers to keep the scientists and engineers in their own environments.

Currently, the Russian high-tech community is dominated by laser optics, night vision devices,

composite materials, plasma advancements, nuclear technology and biomedical research. To date, the IBTI has funded seven projects and is funding 21 more.

It's much more successful than we thought it would be, said Brett. We are at a point now where [we] thought we would be two years from now.

One highly successful project is a Russian-English CD-ROM dictionary. In the first month, 6,000 copies were sold in Russia, and six months later, 60,000 were sold.

The IBTI idea was driven by several forces. Kelner, a native of Russia, wanted to keep Russian scientists in their homeland. We didn't want them to end up in another country, he said. We wanted to keep them in Russia to help develop business. Atlas Group was formed about seven years ago to do business in Russia.

The USAID, which assists U.S. companies entering foreign markets, wanted to help Russia build new industries and saw that a high-tech community might be the answer. But the country needed a push. The whole idea was to help the technology move from the lab to the marketplace, said Bill

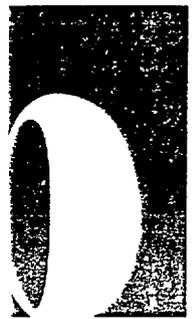
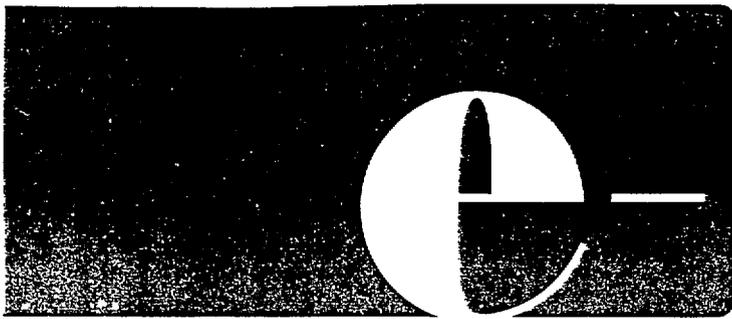
O'Callaghan, the small business adviser for USAID.

IBTI has set a budget for itself of up to \$25,000 for each project. The U.S. money, which is gradually given to the project, goes a lot further in Russia. Brett explained that IBTI tries to pick projects that will show results within 12 months. Right now, we have about 30 projects that deserve the funding, but we don't have the money, said Brett.

Kelner thinks the IBTI project can help American companies learn to do business in Russia. Many U.S. companies want access to that market but haven't succeeded, he said. We're looking for local companies [in Washington, D.C.] to consider incubator as a resource to enter the Russian market, Kelner said.

And Atlas' success has inspired others. In fact, O'Callaghan has seen at least three proposals to duplicate Atlas' success in other countries. But as the grant nears its end in June, those involved in IBTI worry about the future.

When we started, we thought we could do 1,000 projects a year, said Brett. Our dilemma is that we don't have enough money. ■



*- Kelly  
- Kulichenko*

## New Program on Drilling and Excavation

**P**roducing oil and gas, mining, cleaning up hazardous waste sites, building modern mass-transit systems, and creating underground utility services all rely on many drilling and excavation technologies that have not changed dramatically in years. Major advances in those technologies may be feasible using advanced sensing devices, control systems, and materials, but only if the entire drilling and excavation system can be addressed—a fundamental approach that has not been possible. Today's drilling and excavation systems are so complex that no single manufacturer or operator can undertake system-wide innovation, and the task is too expensive for a single company to take on. Getting the traditionally fragmented industries and research groups to pool their resources and work cooperatively on fundamental innovation is the aim of the new National Advanced Drilling and Excavation Technologies (NADET) program. The NADET Institute was formed in 1995 by Energy Laboratory leaders and their industrial, academic, and government collaborators. Guided by those collaborators, the NADET Institute at MIT will plan, monitor, and *(continued on page 4)*

## In This Issue.

**New Program on Drilling and Excavation**

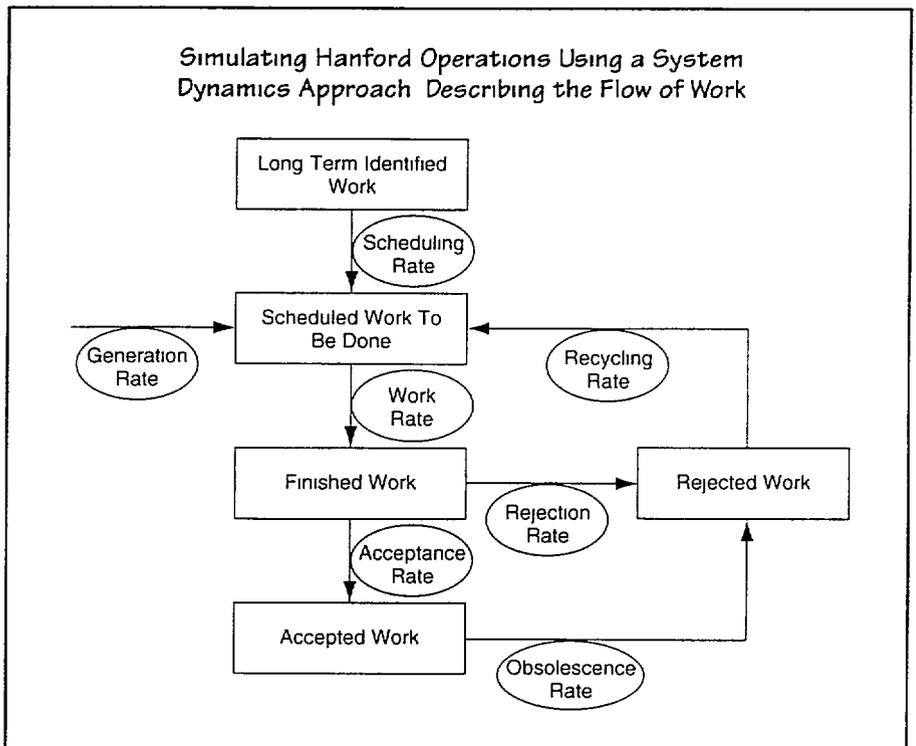
**Modeling Cleanup of the Hanford Nuclear Waste Tanks**

**News Items, Publications and References  
New and Renewed Projects**

## Modeling Cleanup of the Hanford Nuclear Waste Tanks

**T**he much publicized Hanford facility in the State of Washington stores millions of gallons of hazardous chemicals and radioactive waste—the legacy of weapons production activities in the past. Ultimate disposal of the waste will take decades. In the meantime, the Hanford facility must maintain and operate the waste-storage tanks so as to ensure environmental and human safety. The organization for achieving those tasks is large, complex, and subject to unanticipated changes such as budget cuts and tightening environmental standards—changes whose impacts on Hanford operations may be unexpected,

even counterintuitive. An Energy Laboratory team has developed a system dynamics model that simulates Hanford operations using about 2,600 components to represent people, tasks, workflow, costs, and other factors appropriately interconnected and quantified. The model should help Hanford managers to develop strategies for achieving their goals more efficiently and for responding to external and internal changes with minimal disruption. For example, in one study analyzing the impact of a proposed budget cut, the model showed that focusing the cut on selected activities and personnel would *(continued on page 2)*



delay the ultimate waste cleanup by some years while postponing the cut across the board could postpone cleanup indefinite

In the past the Hanford plant produced weapons grade plutonium and with it vast amounts of hazardous chemicals and radioactive waste. Much of that waste is now stored at Hanford in 177 underground tanks that range in size from 55 thousand to 1 million gallons—a total of about 6 million gallons in volume and 400 million curies of radioactivity. The US Department of Energy (DOE) currently views operation of those waste tanks as its most important safety problem. About a third of the tanks are known or suspected to have leaked waste into the ground. And the chemical composition and physical state of much of the waste is unknown. During the past fifty years material has been pumped into and out of the tanks but records of such transfers are incomplete. And in many tanks materials are still transforming stimulated by the abundant chemical species, radioactive emissions and elevated temperatures provided by the decay heat. As a result DOE—and the public—continues to be concerned not only about leakage but also about possible uncontrolled releases due to ignition or sudden increases in temperature or pressure caused by chemical reactions.

Some activities at Hanford relate to permanent disposal of the wastes but much work focuses on near term waste tank safety and operations (WTSO). The WTSO program includes four tasks: ensure safe operations at the tank site; manage the wastes safely; complying with environmental regulations and characterize the waste. Although these are a generally recognized as critical observers continually question the cost speed and regulatory compliance of the Hanford operations. In the budget of the WTSO program is \$-12 million. The work force includes more than 900 employees. And the WTSO program will

continue (at some level) until the ultimate disposal of the waste in the tanks is complete at least forty years hence.

For the past two years Kent F Hansen and Michael W Golay professors of nuclear engineering Sangman Kwak Energy Laboratory technical staff member and Malcolm A Weiss Energy Laboratory senior research staff member have been developing a computer model that will help managers at Hanford find ways to do the job faster cheaper and better. Formulating a model that can simulate Hanford operations is a challenge. Traditional models for simulating such operations are static using a spreadsheet approach to describe a system. But Hanford operations are complex dynamic and subject to outside influences. The tasks of the WTSO program are technically complicated and uncertain. The structure and operation of the Hanford organization are likewise complicated involving many specialties and specialists extensive integration of effort and complex information flows. And Hanford operations are constantly disrupted by internal and external forces. Congress cuts the budget regulators change the environmental requirements or Hanford employees find unexpected underground pollution that requires attention and a shift in personnel. While new programs or policies may serve as effective near term responses to such events they may create unanticipated side effects or even negative long term impacts. All of those features of Hanford make traditional approaches to modeling unsuitable—and also make it imperative for managers to have a formal analytical tool in order to understand and improve Hanford operations.

To simulate Hanford the MIT researchers therefore turned to system dynamics. This approach to modeling constructs a quantitative description of the many elements of a system including both physical quantities such as work accomplished and employment level and soft components such as attitudes and worker morale. Elements that interact are linked by time dependent feedback

loops that may have a positive or negative impact. The diagram on page 1 illustrates the approach. The figure focuses on the flow of work at Hanford. The top component represents long-term work that is known. That work is planned and becomes scheduled work to be done. However there are also new unanticipated tasks that must be done—the result of tightened environmental requirements unexpected leaks and so on. The scheduled work increases at a generation rate determined by how quickly those unanticipated tasks arise. The scheduled work becomes finished work at a given work rate. But the finished work must then be reviewed. Some is accepted but some is rejected and once again becomes scheduled work to be done. And some of the accepted work may move back into the rejected pile because it has been made obsolete for example by more stringent emission standards.

Of course all the components shown are affected by factors that are not shown. For example the work rate is influenced by the number of workers and their productivity which are in turn influenced by whether the workers have been trained and how competent they are. The rate at which the work is rejected or accepted is influenced not only by the quality of the work but also by the speed at which reviews occur. That speed is influenced by the number of managers available to review the work and their productivity. And so on.

To develop the complete model the Energy Laboratory researchers had to identify all the critical components and feedback loops at Hanford. They then assigned starting values to the components and rates to the feedback loops that affect those starting values either positively or negatively. To formulate and quantify the model they used information gathered in interviews with key Hanford personnel. Validating such a model usually involves seeing if the model can reproduce some historical event. The researchers were able to

gather sufficient data on past events to examine subsections of the model but finding data to validate the entire model was impossible. They therefore held further interviews to see if the Hanford personnel thought the model's assumptions, relationships, and starting values were appropriate and reasonable. They focused especially on factors that their sensitivity studies had shown would have maximum impact on the model's ultimate results.

The completed model describes the important activities and features of the WTSO program using about 2,600 components including more than 230 levels and almost 750 rates. The factors modeled include work flow, personnel budgets and expenditures, schedule versus accomplishment, productivity, cross flows between sectors, quality and information flows. Employees are divided into three groups according to their

function: managers, engineers, and craftsmen. And they work in central management or in four other sectors:

- operations and management or O&M (operate and maintain the plant systems needed for safe storage, treatment, and transfer of liquid waste)
- waste tank safety (mitigate or resolve safety issues such as potential releases or leaks)
- waste characterization (carry out core sampling and analysis of tank waste)
- tank farm upgrades (repair, replace, and modify plant hardware as needed for safe operation of the tanks)

Finally, the model provides for changes or events that may affect the behavior of some or all of the system. Some of the changes are internal, such as changes in the organization of the program, in procedures, in work schedule, or in hardware or safety conditions at the site. But other changes originate

outside the system, for example, changes in regulation, technology, budget, or worker numbers, or simple requests on which managers have to spend time. The model is therefore linked to a representation of the outside world.

The researchers have performed a number of case studies using the model. One issue facing Hanford is a possible budget cut. Indeed, while the MIT study was going on, DOE proposed cutting the Hanford budget by about a quarter. Using their model, the researchers analyzed how such a budget cut would affect the time needed for the four sectors of the WTSO program to complete the planned tasks in their long-term programs.

The table shows the results of the analysis. The numbers entered show the years required to complete 90% of the planned work for each sector (Doing the last 10% of the work could take a disproportionately long time, so including it could produce an unrealistic time estimate.) The top row shows the number of years needed to complete the tasks of each sector assuming the original budget. The second row shows the impact of cutting the total budget by 24%. With the cut imposed across the board, each sector operates at 76% of its original budget. But the time to complete the tasks does not scale accordingly; the impacts on O&M and characterization are disproportionately high. Indeed, the model suggests that O&M may never get done. The tasks of maintaining the current waste and coping with new material leave no resources for O&M's long-term tasks, such as transferring the waste into safer tanks.

Allocating the 24% overall cut unequally among the four sectors produces dramatically different results. To keep it simple, the researchers assumed one sector remains at 100% funding and the other three sectors are cut equally. Thus, if O&M retains its full budget, the other sectors receive 68.5% of their original budgets. Given that arrangement, the time needed for the O&M sector to complete its tasks

**Years to Complete 90% of Planned Long-Term Work**

	Operations & Maintenance (O&M)	Safety	Characterization	Upgrades
Years with original budget	35.9	7.7	24.8	10.2
Cut total budget by 24% by cutting all sectors equally (all at 76% of original budget)	>>40	10.2	35.8	12.4
Cut overall budget by 24% by keeping one sector at full budget and cutting the others equally				
O&M at 100% others at 68.5%	37.4	13.3	40	13.3
Safety at 100% others at 70%	>>40	7.8	40	13.3
Characterization at 100% others at 71%	>>40	15.1	27.7	12.3
Upgrades at 100% others at 60%	>>40	>40	>40	10.4

## New Program on Drilling and Excavation

remains essentially unchanged. But the time needed for the other sectors to complete their tasks increases—safety by about 73%, characterization by 61% and upgrades by 30%. Similarly, in the other cases the time needed to complete the tasks of the fully funded sector is not radically altered, but other sectors pay the price. Note that a delay in characterization directly translates into a delay in completing the ultimate cleanup. If the operators do not know the composition of the waste in a tank, they do not know how to prepare it for permanent disposal. According to the model results, the best approach is probably to allow O&M its full budget. In that case, the times required by all other sectors are extended, but none of them greatly exceeds forty years. Thus, the work will eventually be completed.

In another case study, the researchers considered how reorganizing the Hanford system would affect productivity. As an example, they assume that an emergency in another part of the Hanford facility requires extra managers, so the experienced WTSO managers are removed and replaced by less-experienced people. Not surprisingly, the model shows that the productivity of the managers drops immediately and dramatically. But the impact does not end there. In this case study, the engineers and craftspeople continue to perform their usual tasks. But their productivity depends on having their work guided and reviewed by the managers. The inexperienced managers are not familiar with their new jobs, so are slower to make decisions and offer guidance. The productivities of the engineers and craftspeople therefore also drop significantly. The model results emphasize that any reorganization leads to an initial loss in productivity, which translates into lost money. Thus, if managers reorganize to achieve some benefit—such as increased long-term productivity—they must be sure that the ultimate benefit will exceed the initial cost. The model can help managers assess such trade-offs.

The results just described emphasize the importance of having a manager available to review work promptly—a problem at Hanford. In their interviews, the MIT researchers learned that Hanford managers typically spend fully half their time dealing with unanticipated work that arises from outside the WTSO program. As the case study shows, not having a manager available causes serious losses in productivity. Therefore, reducing the number of managers is not a prudent approach to going lean; if the WTSO program is to remain productive.

The WTSO program is only one of many possible applications of the system dynamics methodology to waste management. Other activities at Hanford include disposing of the waste in the tanks, as well as disassembling and cleaning up plutonium-producing reactors and submarine reactors that are stored elsewhere at the 560 square mile Hanford site. And cleanup is needed at the rest of DOE's nuclear weapons complex—a total of 14 sites that cover more than 3,300 square miles and are spread across the country. Appropriate system dynamics models could help managers at each of those sites be more effective. In addition, system dynamics models could be developed to represent the entire DOE nuclear weapons complex. With such models, senior managers could study resource allocation options on a complex-wide basis.

*This research was supported by the US Department of Energy through Los Alamos National Laboratory and the Pacific Northwest Laboratory. Further information can be found in reference 1.*

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coordinate NADET projects that range from research and development to commercial demonstration of advanced systems. Seed funds to establish the program have come from the Geothermal Division of the US Department of Energy (DOE). The first request for research proposals to be issued by the NADET Institute in winter 1996 will therefore focus on geothermal-related areas. However, plans are under way to broaden the program to serve a wide range of industries that can benefit from the innovative technologies, thereby yielding economic, social, and environmental benefits nationwide.

Raw materials for the world's industrial economies and the facilities of modern civilization come from three major industries: energy, materials production, minerals production, and construction. All depend on drilling and excavation, and all are expected to expand dramatically in the coming decades as world population and standards of living increase and urban areas become more congested. In addition, an important emerging industry—environmental restoration—depends critically on drilling and excavation. As all of those industries expand, so will the need to drill and excavate. Significantly better technologies are needed if we are to expand our drilling and excavation activities without harming the environment and if we are to correct prior environmental damage effectively and economically.

Because of curtailed research investment, the United States is no longer a leader in providing drilling and excavation technologies. Superior foreign technologies now dominate many markets. If US-led enterprises could regain that leadership role, the benefits to the national economy would be great. The industries that depend on drilling and excavation are billion- and even trillion-dollar enterprises, and their expenditures on those activities are enormous. In 1991, for example, oil and gas companies worldwide spent a total of \$73 billion on drilling. Providing the