

LECTURER'S VITAE

IAEA/ANL TRAINING COURSE

Name: Richard N. Swanson, P.E.

Present Position: President

Affiliation: Performance Management Initiatives, Inc.

Address: 720 S. Greenbrook Circle
St. Joseph, Michigan 49085

Phone Number: (269) 428-7447

Fax Number: (269) 428-7409

E-mail Address: RNS@PMI-inc.com

Scope of Present Duties:

Consultant to High Hazard Industries in the area of investigations (Root Cause Analysis/Event Investigation; Referred Allegations; Employee Concerns; Management Concerns.

Consultant/Mentor in the areas of: Engineering Management; Quality Assurance; Regulatory Affairs.

Most Relevant Past Experience:

Mr. Swanson has thirty-nine years of experience with organizations in capital-intensive technical industries. Budgetary responsibilities have included annual budgets of \$245 million (capital) and \$74 million (expense), with organizations of up to 550 employees. Line management responsibilities at nuclear utilities have included Engineering General Manager, Quality Assurance Director (covering both performance-based and compliance-based QA), Nuclear Safety Assessment Manager, Regulatory Affairs Director, Director of Project Management, and Construction Management Group Leader.

Programmatic responsibilities have included designing and performing readiness assessments, diagnosing organizational weaknesses, designing and conducting independent program assessments, designing and mentoring self-assessments, analyzing and improving processes, developing and implementing organization-wide improvement strategies, leading and coaching event investigation teams, managing technical programs, managing regulatory relationships, responding to NRC inquiries

and managing NRC correspondence, and managing project organizations (from one to over one hundred simultaneous projects).

Clients have included nuclear and fossil generating companies; uranium enrichment facilities; electric transmission and distribution companies; manufacturing organizations; DOE; NRC; and state agencies.

INVESTIGATIONS

Mr. Swanson has over two decades of formal investigation experience, including leading, performing, overseeing, and mentoring Root Cause Assessments, organizational Performance Evaluations, Event Investigations, Employee Concerns Investigations, SCWE-based Investigations, and Referred Allegations. The majority of his investigations have included consideration of management effectiveness, process and program breakdowns, and training program content and effectiveness. He has investigated a substantial number of equipment failures, personnel errors, and Corrective Action Program breakdowns.

His high-profile investigations include (among many other investigations): MSPI ROP Indicator Degraded to Yellow (95002); Corrective Action Program breakdown (several locations); QA Program Breakdown (several locations); Loss of Chemistry Control Leading to Near Destruction of a Fossil Generating Plant; Injection of Concrete Sealant into Service Water Tunnel; Loss of Accountability for Nuclear Fuel Rods, Unusual Event Following Steam Generator Tube Leak; Failure of NRC to Find License Renewal Application 'Sufficient'; Causes of Accredited Training Programs Placed on Probation; Collective Significance Analysis of Switchyard Events, and Collective Significance of Security Events.

He is one of three individuals contracted by the NRC to train inspectors how to evaluate licensee Root Cause Assessments, and has taught NRC classes since 2006 and has supported utilities in performing and defending RCAs associated with NRC Inspection Procedure 95002. He has conducted 'just in time' training for event investigation teams, as well as several two-day courses in 'Apparent Cause Analysis', 'Critical Thinking for Performance-Based Assessors' at a number of Midwest nuclear facilities, and a one-week course ('Causal Analysis') for the Louisiana Workforce Commission.

Educational Background:

MBA (Finance): Babson College, Wellesley, MA

MS (Engineering Management & Operations Research): Northeastern University, Boston, MA

BS (Operations Research): US Naval Academy, Annapolis, MD

Licensed Professional Engineer (Mechanical)

Licensed to teach "The Phoenix Method" of event investigation

NOTE: If you do not want the above information published to the training course website, please check this box.