

**Argonne Site Office
Annual Management Plan
Fiscal Year 2005**

**Revision 7
February 11, 2005**

**Argonne Site Office
Office of Science
U. S. Department of Energy**

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1.0 Introduction

The purpose of the FY-05 Argonne Site Office (ASO) Management Plan is to:

- Describe the ASO organization
- Establish the ASO mission, and set forth a vision for ASO
- Reaffirm the ASO roles and responsibilities
- Establish a five-year goal and five-year objectives for ASO
- Identify specific ASO FY-05 performance measures
- Identify and describe the resources needed to achieve our mission
- Describe how the FY-05 performance expectations flow down to the individual ASO organizational units and staff members

This ASO FY-05 Management Plan reflects the Site Office "To Be" Condition Report developed by the OneSC Project Team and issued on March 22, 2004 and the approved ASO Mission and Function Statement.

2.0 Organization

ASO is a DOE line management organization reporting to the Chief Operations Officer for the Office of Science. ASO is physically located at Argonne National Laboratory (ANL) in Illinois. ASO roles and responsibilities are identified in Attachment 1. The ASO is a technical and business management organization comprised of experienced, talented, and dedicated individuals organized into four teams:

Business Management Team
Safety and Health Team
Environmental and Emergency Management Team
Infrastructure and Project Management Team

Each team has developed a Team Charter showing how ASO functions, responsibilities, and performance expectations flow down to that team and staff. The Team Charters may be found in Attachment 2.

The ASO Manager's Office includes three supervisory positions: the ASO Manager, the ASO Deputy Manager, and another Supervisor. The ASO Manager's Office also supervises the administrative support staff. The ASO staff includes a variety of subject matter experts. The Chicago Office (CH) provides additional subject matter expert support to ASO on an as-needed basis. An ASO organization chart is Attachment 3.

3.0 Mission

The ASO mission is to successfully manage and administer the DOE performance-based Management and Operating (M&O) contract for the safe, secure, effective, and efficient operation of the Argonne National Laboratory (ANL). ASO supports the SC mission to encourage and conduct forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish DOE missions.

The functions we perform to assure that we successfully achieve our mission fall in four general categories we call roles. These roles are Contract Management, Program and Project Implementation, Federal Stewardship, and Internal Operations.

- Contract management entails setting expectations and communicating them to our M&O contractor; integrating DOE requirements into the M&O contract; authorizing and funding work; and providing feedback to our contractor.
- Program and project management encompasses such tasks as planning, budgeting, reviewing, approving, directing, and monitoring implementation of programs and projects by the M&O contractor in order to assure the best possible outcomes.
- Federal stewardship is our obligation to maintain and protect Federal assets such as: appropriated funds; buildings, infrastructure, and scientific facilities; intellectual resources and the contractor and Federal workforce; significant archaeological and historic cultural resources, and habitat and ecological resources. Federal stewardship also includes ensuring long-term protection of people and the environment at cleaned-up contaminated sites.
- Internal operations refers to the ASO management system and use of assigned ASO and other DOE staff and associated budgets. This includes items such as employee relations, recruiting, travel, training, awards, and salaries, and maintenance of ASO plans and procedures.

These roles and the functions that comprise them are described in more detail in the ASO Mission and Function Statement provided as Attachment 4.

4.0 Vision

The ASO vision is to excel in meeting our mission and be the model SC Site Office under the OneSC organization.

5.0 Overall Five-Year Goal and Objectives

The overall five-year goal is to successfully plan and implement the ASO mission and functions through an effective ASO organization while continuing to contribute to the overall success of the SC mission.

Each year, we will examine these objectives to determine if they represent a complete set and remain appropriate to attain the ASO 5-year goal. We will also perform annual self assessments to assess progress against these objectives.

We will measure our success by comparing our performance against the following objectives and obtaining SC Management's judgment that we have effectively implemented our objectives:

5.1 Overall Objectives

- 1) Successfully perform the ASO mission, roles, and responsibilities consistent with the authorities and accountabilities established for Site Offices under the OneSC restructuring
- 2) Successfully respond to the President's Management Agenda, DOE Management Challenges and the Office of Science initiatives, as applicable to ASO

5.2 Internally Focused Performance Objectives (tied to ASO Internal Operations role)

- 3) Establish an internal ASO organization that supports the successful performance of the ASO mission, roles, and responsibilities
- 4) Develop Position Descriptions for the entire ASO that reflect the roles, responsibilities, authorities, and accountabilities of the OneSC Site Office
- 5) Ensure the flow-down of Site Office roles, responsibilities, authorities, and accountabilities to individual Site Office Teams and further to Site Office staff
- 6) Ensure that staff performance plans reflect the required ASO performance goals for each year and provide periodic feedback
- 7) Ensure an adequate training and development program so that the ASO staff have the required skills to complete their assignments
- 8) Ensure that the ASO Rewards and Recognition System is consistent with key accomplishments and performance plans needed to ensure ASO success
- 9) Establish and maintain effective ASO management systems that are consistent with the roles, responsibilities, authorities, and accountabilities of a OneSC Site Office
- 10) Establish ASO self assessment processes that effectively identify areas of weakness and opportunities for improvement in ASO management systems
- 11) Establish effective plans and systems for achieving the ASO mission and functions
- 12) Develop an Annual Management Plan that identifies clear objectives consistent with the objectives of the President's Management Agenda, DOE Management Challenges, OneSC, and SC Strategic Objectives, as well as achieving these objectives
- 13) Maintain effective communications throughout the Site Office

5.3 Externally Focused Performance Objectives (tied to ASO Contract Management, Program and Project Management, and Federal Stewardship roles)

- 14) Continue to support the OneSC Project by participating in the Phase II Re-engineering
- 15) Develop and implement an arrangement with the Integrated Support Center that can be used to establish significant Support Center assignments (scope, schedules, resources) to meet ASO needs
- 16) Work with the SC Program Associate Directors (PADs) to establish an effective method of operation between the PADs and ASO
- 17) Establish clear performance objectives for ANL/University of Chicago through the performance based contract that will challenge the contractor's performance to improve

- 18) Measure ANL performance against the established performance objectives at mid-year to ensure that mid-course corrections can be made and at the end-of-year to provide a final rating; provide effective feedback
- 19) Maintain effective levels of oversight and cognizance of ANL activities to maintain a “sense of the Laboratory”
- 20) Ensure that the Work for Others (WFO) program is consistent with DOE policy and customer expectations are met
- 21) Ensure an effective public outreach program
- 22) Ensure support of other DOE Programs and initiatives, such as the Radiological Assistance Program, as well as programs and initiatives of other Federal agencies, such as the National Institutes of Health, Federal Bureau of Investigation, and Illinois Environmental Protection Agency
- 23) Ensure continuous improvement of the ANL Integrated Safety Management System
- 24) Maintain effective communications between ASO and SC HQ and between ASO and the contractor, ANL, and Federal and State regulatory agencies
- 25) Ensure ANL programs and projects are conducted using sound management practices
- 26) Ensure that ecological and cultural resources at ANL are preserved and protected

5.4 Key shorter-term objectives (that respond to the ASO contract management role)

- 27) Support the re-competition of the ANL contract (2 year objective)
- 28) Support the transition to the Idaho National Laboratory (1 year objective)
- 29) Support the competition of the Ames Contract (2 year objective)

5.5 President’s Management Agenda, DOE Challenges, and SC Strategic Objectives

Section 5.2 identified an internally focused performance objective to develop an Annual Management Plan that identifies clear ASO objectives that are consistent with the objectives of the President’s Management Agenda, DOE Management Challenges, and SC Strategic Objectives. This document achieves that objective. The Tables in Attachment 5 illustrate how ASO supports the President’s Management Agenda, the DOE Management Challenges, and the SC Strategic Objectives.

6.0 Specific FY-05 Performance Measures

The following performance measures have been established for FY-05 in order to achieve our overall 5-year goal and objectives.

6.1 Contract Management

	Objective	Measure	Target
1.1	Establish clear FY-05 performance objectives for the ANL contract	Develop ANL contract Appendix B performance metrics for FY-05 and complete	10/15/04

		negotiations with the University of Chicago (includes the best-in-class MII and ES&H goals)	
1.2	Perform a mid-year assessment of the contractor performance under the ANL contract and provide feedback	Complete a mid-year assessment report of the University of Chicago performance through mid-year FY-05	6/1/05
1.3	Perform an end-of-year performance review of the University of Chicago under the ANL contract and provide feedback	Complete a final evaluation Report that meets contract requirements	2/27/05 (FY-04 end-of-year)
1.4	Establish clear performance objectives for the FY-06 ANL contract	Develop ANL contract Appendix B performance metrics for FY-06 and complete negotiations with the University of Chicago	9/30/05
1.5	Plan for and initiate the ANL contract competition	Prepare a plan for the ANL contract competition and begin to implement the plan. SC will establish a source selection team which will prepare an RFP. ASO will actively participate in these functions.	9/30/05

6.2 Program and Project Implementation and Federal Stewardship

	Objective	Measure	Target
2.1	Perform a review of the ANL Project Management System	Review the ANL Project Management System and prepare a review report. Identify any deficiencies. Issue the report and request corrective action plan, as appropriate.	12/30/05
2.2	Establish an arrangement between ASO and the key SC Program Associate Directors (PAD) for areas of mutual interest concerning ANL operations	Prepare a document that describes the operating arrangement between ASO and the key PADs on those areas of mutual interest for ANL operations	7/30/05
2.3	Prepare third-party financing request for approval	Revise the mission need statement and prepare and submit the acquisition strategy for the Theory and Computing Sciences Building	12/30/04
2.4	Ensure that projects are successfully achieved	Take management actions that ensure that projects successfully achieve their baselines	9/30/05
2.5	Ensure adequate communication with local stakeholders	Actively participate in the quarterly Community Leaders Round Table Meetings	Once per quarter

		Maintain ongoing communications with the FPDDC, regulators and other interested parties	Ongoing
2.6	Ensure that the ANL Integrated Safety Management (ISM) System is maintained and achieving continuous improvement	Actively review the ANL ISM System and make recommendations to promote improvements in ANL safety programs.	9/30/05
2.7	Support the SC Initiatives including OneSC Re-engineering	As needed	9/30/05
2.8	Ensure that the WFO program is consistent with DOE policy and customer expectations are met	Perform WFO self assessment annually	9/30/05
2.9	Maintain effective communications with ANL management and the University of Chicago management	Conduct weekly meetings with ANL management and monthly meetings with University of Chicago management	As regularly scheduled
2.10	Maintain an effective working relationship and communications with HQ SC	Participate in weekly SC senior staff conference calls and provide regular email status reports on important issues	As regularly scheduled or as needed
2.11	Establish an effective working relationship with the ISC	Identify ISC support needs and communicate those to the ISC. Provide a scope and schedule for ISC support assignments	As needed
2.12	Develop, implement, and maintain a Cultural Resource Management Plan	Make Draft Cultural Resource Management Plan available for comment	9/30/05
2.13	Ensure effective stewardship of ecological resources at ANL	Continue to encourage ANL to incorporate cost-effective habitat management practices into its grounds program and develop an achievable long-term plan	Ongoing

6.3 ASO Internal Operations

	Objective	Measure	Target
3.1	Develop an ASO Rewards and Recognition System that encourages exceptional performance	ASO Rewards System is documented and shown to be consistent with key goals and accomplishments of ASO	1/1/05
3.2	Establish required ASO Management Systems	ASO Management Systems are reviewed and needs identified; business systems are evaluated against ASO's R2A2s; SOPs developed where evaluation shows they are needed	Identified needs 1/31/05; SOPs revised, in place and implemented 2/28/05
3.3	Develop ASO Annual Management Plan for FY-06	Review and revise ASO Annual Management Plan to reflect OneSC Site Office R2A2s	9/30/05

3.4	Begin modifying position descriptions (PDs) for ASO staff to reflect the specific roles, responsibilities, authorities, and accountabilities for ASO under OneSC	Develop 2 or 3 ASO staff position descriptions and begin working with the CH Personnel Office to get these approved. From this, establish a model that can be used to develop and get approval for all ASO PDs.	3/30/05
3.5	Revise ASO staff performance plans to be consistent with ASO goal and objectives	Staff performance plans are reviewed and revised to reflect FY-05 ASO Annual Management Plan	3/30/05
3.6	Ensure critical ASO staff skills are in place	Certify or recertify, as required, ASO Facility Representatives, Project Directors, and Contracting Officers	1/30/05
3.7	Support Developmental Assignments	Support at least one developmental assignment during FY-05	9/30/05
3.8	Maintain effective communications within ASO	Conduct regular ASO Management meetings and ASO All Hands meetings to ensure an effective communication channel remains open. Continue to maintain the ASO issues and priorities list.	Weekly and monthly
3.9	Develop a FY-06 and FY-07 budget and justification for ASO operations	Per HQ guidance, prepare an ASO FY-06 and FY-07 budget and justification	9/30/05

7.0 Management Systems

In order to achieve the ASO goal and objectives, we have developed management systems and implementing documents to govern and assist us in our activities. Key examples include the ASO Environment, Safety and Health Program Plan, ASO Quality Assurance Plan, ASO Infrastructure Management System Description, and ASO Standard Operating Procedures (see Attachment 6, ASO Document Hierarchy).

ASO Team Charters (Attachment 2) provide ASO teams with clear flow-down of functions, responsibilities, and performance expectations, which are then implemented individually through Position Descriptions and Employee Evaluation Plans.

Another key management system is our annual self-assessments which evaluate the effectiveness of management systems and documents, and the effectiveness of their implementation in achieving ASO objectives, identify weaknesses and opportunities for improvement.

8.0 Changes from FY-04 that Impact FY-05 ASO Performance

There have been a number of significant changes that occurred in FY-04 that impact the operation of ASO in FY-05. Significant changes include the following:

- 1) Approval of the OneSC Restructuring which re-assigns all of the SC Site Offices from the DOE Operations Offices to SC HQ. These Site Offices now report to the SC Chief Operating Officer (COO). Additional authorities now reside within the SC Site Offices, each of which has become a "Head of Field Element".
- 2) Establishment of an Integrated Support Center to provide subject matter expertise in support of the Site Offices. This Integrated Support Center includes the Chicago Office and the Oak Ridge Office.
- 3) Initiation of the OneSC Phase II Re-engineering.
- 4) Decision to compete all of the SC Management and Operating Contracts, including the ANL-E contract.
- 5) Decision to establish an Idaho National Laboratory (INL) and include ANL-W as part of that contract.
- 6) Decision to re-assign ASO-W staff to the Idaho Operations Office (ID).
- 7) Decision to assign Chicago Office Environmental Management Program staff to ASO to support ASO and the Brookhaven Site Office (BSO), and the use of Indefinite Delivery Indefinite Quantity contracts for Decontamination and Decommissioning work at ANL.
- 8) Decision to run a competition for the Rare Isotopes Accelerator Project.
- 9) Assignment of the ASO Manager as an Administrative Contracting Officer.
- 10) Approval of the Regional Biocontainment Laboratory lease that involves the construction of an NIH funded facility at ANL and requires ASO involvement.
- 11) Approval of a two-year extension of the ANL contract, using the DOE model contract provisions.
- 12) Initiation of a third-party financed building, the Theory and Computing Sciences Building, on the ANL site.
- 13) Initiation of the Center for Nanoscale Materials at ANL, which is funded by DOE and the State of Illinois.

The decision to establish the INL had a significant impact on ASO. ANL-W is no longer part of the ANL contract. The ASO-W Team was transferred to ID on October 3, 2004 to assist in the management of the INL. However, ASO maintained the ANL contract, including ANL-W, until February 1, 2005. This change required a close working relationship between the ID and ASO through the first half of FY-05.

The net effect of the changes listed above has been to clarify the roles, responsibilities, authorities, and accountabilities for ASO; reduce the overall staff size of ASO while eliminating ASO responsibility for ANL-W; increase the environmental management program staff while including responsibility to support the BNL environmental management program; significantly increase the workload associated with the ANL competitions; increase workload to support the Ames competition; and increase the workload in support of the OneSC re-engineering.

9.0 Resources

ASO FY-05 resources come from two specific sources, SC and EM. The SC-dedicated resources are shown below:

SC Funded Resources	FY 2004	Expected FY 2005
FTE's	24	24
Salaries, Benefits, Awards	\$2,661,000	\$2,938,000
Travel	\$35,000	\$35,000
Training	\$30,000	\$24,000
Support Services	\$170,000	\$170,000
Other Related Expenses	\$289,000	\$310,000
Total SC Funding Required	\$3,185,000	\$3,477,000

Staffing

ASO has a total of 28 staff on board in FY 2005. This includes 24 SC-funded positions and 4 EM-funded positions. For FY-05, 3 additional EM positions were allocated to ASO for a total of 4 EM positions at ASO. Three of the 4 EM positions in ASO also support the BSO. EM will provide salary, benefits, travel, and training funds as required for these 4 ASO staff members to meet their EM mission.

Travel

The FY-05 ASO SC-funded travel budget is approximately \$1,400 per person for the SC funded staff for the year. The travel budget includes support for the ASO participation in OneSC Phase II Re-engineering, support of ASO participation in SC Project Reviews, for travel to Washington for the ANL contract competition, as well as, business travel to support ongoing ANL related business.

Training

The ASO SC-funded training budget is \$1,000 per person. This includes meeting the extensive requirements for Project Management Certification for ASO staff, continued Facility Representative Certification training and procurement training for the ASO Manager. The ASO training budget is focused on meeting the Individual Development Plan requirements.

Support Services

This includes computer and other communication services provide and/or billed through the Chicago Office that support ASO.

Other Related Expenses

This includes the ASO portion of utilities and other services provided by ANL and billed to the Chicago Office (ASO and the Chicago Office are co-located on the ANL site).

10.0 Functional Area Support

The SC Integrated Support Center has been organized to perform functional area support for SC HQ and the SC Site Offices. Attachment 7 includes a list of the functional areas, as well as the applicable DOE Orders, Policies, Manuals, Guides and other federal regulations. Attachment 7 also identifies those functional areas where the ISC will provide regular support to ASO.

11.0 List of Acronyms

ANL	Argonne National Laboratory
ASO	Argonne Site Office
BNL	Brookhaven National Laboratory
BSO	Brookhaven Site Office
CH	Chicago Office
CO	Contracting Officer
COO	Chief Operating Officer
COR	Contracting Officer's Representative
CRADA	Cooperative Research and Development Agreement
DART	Days Away, Restricted and Transferred
DOE	Department of Energy
EM	Environmental Management
FBI	Federal Bureau of Investigation
FPDDC	Forest Preserve District of DuPage County
FTE	Full-Time Equivalent
GPE	General Plant Equipment
GPP	General Plant Project
HCA	Head of Contracting Activity
ID	Idaho Operations Office
IDP	Individual Development Plan
IEPA	Illinois Environmental Protection Agency
IGPP	Institutional General Plant Project
INL	Idaho National Laboratory
ISC	Integrated Support Center
IT	Information Technology
LDRD	Laboratory Directed Research and Development
MDSS	Management Decision Support System
MII	Maintenance Investment Indices
MOU	Memorandum of Understanding
M&O	Management and Operating
NE	Office of Nuclear Energy, Science and Technology
NEPA	National Environmental Policy Act
NIH	National Institutes of Health
OMB	Office of Management and Budget
PAAA	Price-Anderson Amendments Act
PAD	Program Associate Director
PD	Position Description
QA	Quality Assurance

RAP	Radiological Assistance Program
RFP	Request for Proposal
SC	Office of Science
TRC	Total Recordable Cases
WFO	Work for Others

12.0 Attachments

1. ASO Roles and Responsibilities
2. ASO Team Charters
3. ASO Organization Chart
4. ASO Mission and Function Statement
5. President's Management Agenda, DOE Challenges, and SC Strategic Objectives
6. ASO Document Hierarchy
7. SC Integrated Support Center Matrix Support to ASO

Attachment 1 ASO Roles and Responsibilities

The following table links the ASO Management Systems (plans, system descriptions, documents and standard operating procedures) and external guidance and tools to ASO roles and responsibilities. While the DOE Order System identifies requirements for what needs to be done and how it needs to be done, they are not included in this table because the list would be exhaustive due to the redundancy of many requirements in multiple Orders. Attachment 7 “SC Integrated Support Center Matrix Support to ASO” contains a thorough listing of applicable Orders. The purpose of this list is to graphically represent the ASO and external systems, guidance and tools that define the roles, responsibilities, authorities, and accountabilities (R2A2s) of ASO; and describe how these R2A2s will be accomplished. The ASO Policies and Standard Operating Procedures are included in the ASO Shared Directory that is available to all ASO staff members.

Site Office Roles and Responsibilities	External Documents and Other Tools	ASO Management Systems
Role 1: Contract Management: setting and communicating expectations, integrating DOE requirements, authorizing and funding work and providing feedback to the contractor.		Contract Management Plan
1. Serve as the DOE Contracting Officer.	FAR, DEAR, DOE Contract Administration Guide, Acquisition Letters, CO Warrant, Milt Mail #2, Milt mail #5	
2. Serve as the DOE Contracting Officer Representative.	COR Delegation Letters	
3. Negotiate and modify the Laboratory contract, as required.		SOP-8 Processing Contract Modifications
4. Authorize payment of costs and fee under the contract provisions.		
5. Seek approval of the SC HCA for the required approvals not delegated to the CO.		
6. Review and approve contract deliverables.		
7. Enforce the contract requirements.		
8. Determine the applicability of policy, administrative, operational, and	ANL Contract; DEAR; FAR;	SOP-5 Directives Distribution and

Site Office Roles and Responsibilities	External Documents and Other Tools	ASO Management Systems
programmatically requirements from all sources (including external requirements). Develop a single set of integrated requirements and place these into the contract.	Program Guidance.	Implementation Program
9. Periodically review the contract and modify to keep current.		SOP-8 Processing Contract Modifications to Argonne National Laboratory Contract
10. Provide formal direction and guidance to the contractor.	ANL Contract requirements.	
11. Develop contract performance measures and include in the contract.	SC Lab Appraisal Process Guidance	SOP-22 Implementation of Contractor Performance-Based Management Systems (includes 22A, 22B, and 22C) Annual Strategic Plan for Developing Contractual Performance Measures
12. Periodically evaluate contractor performance, develop performance ratings and provide feedback to the Laboratory.		SOP-22C Final Evaluation and Reporting; Infrastructure Management System Description ESH Program Plan; ASO QA Plan
13. Review, approve, and oversee contractor business and administrative systems such as procurement, financial, property (intellectual, real, and personal), human resources, litigation, small business, etc. consistent with applicable contract requirements.	DOE Order System; Milt Mail #4	Contract Management Plan
Role 2: Program Implementation: monitoring operations, reviewing and approving work and coordinating activities related to assigned programs and projects.		
1. Based on acceptable risk, scope and definition, authorize work through formal processes (LDRD Approval Process, Project Directives, Technical Work Plans, etc.)	Approved Funding Changes Program Guidance and Work Authorizations	Infrastructure Management System Description; SOP-7 Authorization Agreement, Authorization Basis Document and Safety Analysis Report (SAR) Review; SOP-3 Technology Transfer; SOP-14 Davis Bacon Determinations; SOP-19 Project Baseline Approval; SOP-24 Reimbursable Work for the Department of Homeland

Site Office Roles and Responsibilities	External Documents and Other Tools	ASO Management Systems
		Security; SOP-25 Foreign Travel Management System; SOP-28 Work for Others (Non-DOE Funded Work); SOP-6 Emergency Management for Argonne National Laboratory – East; SOP-9 Operational readiness Reviews (ORR) and Readiness Assessments (RA) and for the Authorization of Startup and Restart of Nuclear Facilities; SOP-15 Review/Approval of Accelerator Safety Documentation; Accelerator Readiness Reviews; SOP-30 Safe Handling, Transfer, Use, and Receipt of Biological Etiologic Agents and Toxins at Argonne National Laboratory; SOP-29 ASO Review of Argonne National Laboratory (ANL) Environment, Safety and Health (ESH) Manual
2. Perform program management/implementation as delegated by program sponsors.	Program Guidance	Infrastructure Management System Description ESH Program Plan ASO Management Plan
3. Serve as the federal project director for line-item construction, infrastructure management and other projects at the laboratory (as assigned through the PEP).	Project Execution Plan	Infrastructure Management System Description; ASO Management Plans; Plans, SOP-18 Baseline Change Control; SOP-19 Project baseline Approval; SOP-20 Measuring Project Performance Against Project Baselines
4. Coordinate all DOE and external reviews, evaluations, and inspections of the Laboratory.	Program Guidance and Expectations	SOP-13 Environmental, Safety, and Health/Quality Assurance (ESH/QA) Functional Area Reviews and Focused Reviews; SOP-26 Facility Representative Program; ESH Program Plan, Infrastructure Management System Description
5. Participate, as appropriate, in reviews, evaluations, and inspections of the contractor	Program Guidance and	ESH Program Plan, Infrastructure Management

Site Office Roles and Responsibilities	External Documents and Other Tools	ASO Management Systems
by DOE and/or external reviewers of both programmatic and operational areas.	Expectations	System Description
6. Participate, as requested, in the planning and establishment of overall SC expectations and directions and provide feedback.	Program Guidance and Expectations	ASO Management Plan, ESH Program Plan, Infrastructure Management System Description
7. Seek approval for activities where authority does not reside within the SO.		
8. Conduct negotiations with other federal agencies, as appropriate, related to WFO agreements, Technology Transfer (including CRADAs), Interdepartmental Work Orders and other agreements.	Program Guidance and Expectations	SOP-3 Technology Transfer; SOP-24 Reimbursable Work for the Department of Homeland Security; SOP-28 Work for Others (Non-DOE Funded Work)
9. Serve as the point of contact for integrating the needs of SC and others such as other DOE Assistant Secretaries, other agencies, federal and non-federal sponsors and stakeholders.	Program Guidance and Expectations	ASO Management Plan
10. Ensure safe, secure, reliable, and efficient operations of government assets through oversight and operational awareness, including ES&H, QA, Security, NEPA, PAAA, Cyber-security, maintenance, Davis-Bacon and other areas.	Milt Mail #3; ASO Integrated Safety Management Plan; ASO Operational Awareness Program Description; EPA-approved environmental permits	SOP-2 Implementation of and Compliance with National Environmental Policy Act (NEPA); SOP-4 Occurrence Reporting; SOP-10 DOE-CH Construction and Service Center Safety; SOP-13 Environment, Safety and health/Quality Assurance (ESH/QA) Functional Area Reviews and Focused Reviews; SOP-16 Stop Work and Shutdown of Facilities for Safety or Environmental Reasons; SOP-21 Price Anderson Amendments Act (PAAA) Coordination; SOP-14 Davis Bacon Determinations; SOP-2 Implementation of/and Compliance with National Environmental Policy Act (NEPA); SOP-16 Stop Work and Shutdown of Facilities for Safety or Environmental Reasons; SOP-26 Facility Representative Program
11. Respond to and provide input to the Annual Field Budget Call and other special financial and budget information requests.	Annual Budget Call; Program Guidance and Expectations	Contract Management Plan Infrastructure Management System Description;

Site Office Roles and Responsibilities	External Documents and Other Tools	ASO Management Systems
12. Assess the adequacy of the contractor's management systems and self-assessment programs.	SC Lab Appraisal Process Guidance	Periodic guidance issued by the SO Manager prior to the start of the assessment.
13. Develop a "sense of the Laboratory", including general knowledge of the Laboratory science and technology programs, as well as, Laboratory operations.	OneSC paper on Sense of the Laboratory;	Management Plan; ESH Program Plan, Infrastructure Management System Description; SOP-13 Environmental, Safety, and Health/Quality Assurance (ESH/QA) Functional Area Reviews and Focused Reviews; SOP-26 Facility Representative Program
14. Provide subject matter experts and support, as requested and available, to HQ-SC, Support Centers, or other SC SO Offices in achieving the overall SC mission. This can include staff expertise for project reviews, readiness reviews, policy development, etc.	Program Guidance and Expectations	
Role 3: Federal Stewardship: maintaining and protecting Federal assets.		
1. Review and assess the long-term stewardship needs of the Laboratory including contractor operations to assure protection of workers, site assets (both physical and intellectual), the public, and the environment and take action, as appropriate. Use tools such as the ESH&I Management Plan, Institutional Plan, FMFIA, Management Representation Letter, as well as, information gained through routine operational awareness activities.	DOE and specific program expectations and guidance; various ANL process descriptions	ASO Management Plan; ESH Program Plan, Infrastructure Management System Description
2. Coordinate with DOE-HQ, the Laboratory/contractor and other potential stakeholders to determine the optimal allocation of resources to meet the stewardship needs. This includes the review and assessment of Laboratory support activities (such as administration, overhead activities, maintenance, GPP, GPE, IGPP, physical security, etc.) against stewardship requirements and approval of the annual allocation of resources.	DOE and specific program expectations and guidance; various ANL process descriptions	Management Plan; ESH Program Plan, Infrastructure Management System Description
3. Serve as the owner for transactions affecting		Management Plan; ESH

Site Office Roles and Responsibilities	External Documents and Other Tools	ASO Management Systems
the government’s rights in federal assets, such as transfers of interest and execution of permits.		Program Plan, Infrastructure Management System Description
4. Maintain effective working relationships and communication with DOE-HQ, the Laboratory, the respective contractor, and appropriate federal, state and local agencies, including those responsible for regulatory oversight.		Management Plan; ESH Program Plan, Infrastructure Management System Description
5. Oversee the Laboratory’s community stakeholder and media relations programs.	Community Leaders Round Table charter	ASO Management Plan
6. Provide feedback to DOE-HQ on the HQ funding, as well as, planning and direction activities that impact the Laboratory site or infrastructure		ASO Management Plan; Contract Management Plan ESH Program Plan, Infrastructure Management System Description
Role 4: Internal Operations: managing the SO staff and administrative systems to assure effective operations.		
1. Manage the SO and assigned staff and associated budgets (i.e. employee relations, recruiting, travel, training, awards, salaries, employee relations, recruiting, etc.).		SOP-1 Standard Operating Procedure (SOP) System ASO Management Plan; ASO Quality Assurance Plan; ASO SOP System
2. Develop appropriate tools and techniques (such as standard operating procedures) to successfully accomplish the assigned SO roles, responsibilities, and functions		SOP-1 Standard Operating Procedure (SOP) System; SOP-5 DOE-CH Directives Distribution and Implementation Program (as adapted)
3. Seek required expertise from the Support Centers to assist the SO/AO as necessary.		ASO Management Plan
4. Conduct self-assessments and revise internal SO planning, based on results and lessons learned.		ASO Management Plan; ASO Quality Assurance Plan; ASO SOP System

Attachment 2 ASO Team Charters

FY05 Business Management Team Charter

ASO MISSION: The ASO mission is to successfully manage and administer the DOE performance-based management and operating contract for the safe, secure, effective, and efficient operation of the Argonne National Laboratory (ANL).

FUNCTION: The ASO Argonne Site Office (ASO) Business Management Team (BMT) is one of the four ASO work teams. The BMT function is to support the ASO mission to successfully manage and administer the DOE performance-based management and operating contract for the safe, secure, effective and efficient operation of Argonne National Laboratory (ANL).

The BMT includes Contracting Officer authorities and is responsible for assuring contractor compliance with the DOE Prime Contract terms and conditions. Major emphasis lies within the areas of oversight of contractor Business Management Systems. In order to successfully perform this function, the BMT supports the ASO Manager in administration of the Prime Contract. This function includes Contracting Officer participation in M&O Extend/Compete negotiations/transactions, Prime Contract funding transactions, development and assessment of the annual DOE/Contractor Performance Evaluation and Measurement Plan, update of Prime Contract terms and conditions, oversight of business systems (see functional area table below), Contracting Officer review and approval of business systems, and authorization of work at the Laboratory.

PRINCIPLES: The BMT is made up Contracting Officers/Contract Specialists, Reimbursable Technology Specialists, Program Managers, and Laboratory Management Specialists.

ASO Performance Measures Requiring Support from and/or Assigned to the ASO Business Management Team:

- 1.1) Establish clear FY-05 performance objectives for the ANL contract. (By 10/15/04)
- 1.2) Perform a mid-year assessment of the contractor performance under the ANL contract and provide feedback. (by 6/01/05)
- 1.3) Perform an end-of-year performance review of the University of Chicago under the ANL contract and provide feedback. (by 2/27/05 – FY-04 end of year)
- 1.4) Establish clear performance objectives for the FY-06 ANL contract. (by 9/30/05)
- 1.5) Plan for and initiate the ANL contract competition. (by 9/30/05)
- 2.4) Ensure that ANL projects are successfully achieved. (by 9/30/05)

- 2.5) Ensure adequate communication with local stakeholders. (once per quarter and ongoing)
- 2.6) Ensure the ANL safety program is achieving continuous improvement. (by 9/30/05)
- 2.9) Maintain effective communications with ANL management and the University of Chicago management. (ongoing)
- 2.10) Maintain an effective working relationship and communications with HQ SC (and other HQ sponsors). (ongoing)
- 2.11) Establish an effective working relationship with the ISC (Integrated Support Center, former Chicago Operations and Oak Ridge Operations). (ongoing)
- 2.13) Ensure effective stewardship of ecological resources at ANL. (ongoing)
- 3.3) Develop ASO Management Plan for FY-06. (by 9/30/05)
- 3.4) Begin developing position descriptions (PD's) for ASO staff that reflect the specific roles, responsibilities, authorities, and accountabilities for ASO. (by 7/30/05)
- 3.5) Revise ASO staff performance plans to be consistent with ASO goal and objectives. (by 1/30/05)
- 3.6) Ensure critical ASO staff skills are in place. (by 1/30/05)
- 3.8) Maintain a high level of communication within ASO. (ongoing)

BMT Functional Area and Point of Contact Chart

Functions and Objectives	PRIMARY ASO POINT OF CONTACT	SECONDARY CONTACTS
a. Counterintelligence - to ensure effective protection of national security interests, proprietary information, personnel, property and the general public.	S. Martinez	D. Krok
b. Cyber Security – to ensure that a sound cyber security program is in place that establishes appropriate protection for laboratory computer systems and data while maintaining the environment necessary to effectively conduct DOE and Laboratory business.	J. Kasprowicz	S. Martinez
c. Diversity/EEO – to strengthen laboratory commitment and accountability for equal employment opportunity, affirmative action and workforce diversity.	J. York	J. Stricker
d. Financial Management - to ensure for a sound and responsive financial management system, which has economical management programs to assure the safeguarding of DOE financial assets; including oversight activity for University Central Office expenditures and University Board of Governors budget.	N. Oetter	J. York

<p>e. Human Resources/Compensation and Benefits – to assure that the laboratory maintains a viable human resource management and compensation system in order to successfully support the mission of the laboratory. This function includes:</p> <ul style="list-style-type: none"> - J-1 Visas - M&O’s in DC 	J. York	J. Stricker
<p>f. Information Management – to support the laboratory in employing sound business practices for Information Management to achieve strategic IT goals. IM includes Freedom of Information Act requests/documents, and collection of data pertaining to “Conference Management”.</p>	J. Stricker	J. York
<p>g. Safeguards and Security – To ensure implementation of an integrated Safeguards and Security (S&S) Program to assure adequate protection of special nuclear materials, classified matter and property against theft, diversion, or destruction to prevent radiological, toxicological, and other malevolent acts that may have adverse impacts on the public or National Security. This functional area includes oversight and administration of the ANL-Site Security Contract.</p>	R. Simpson	S. Martinez
<p>h. Legal Management – to ensure quality, timely, and cost effective legal services, and promote protection and utilization of inventions and laboratory-generated data, in support of the DOE/laboratory R&D mission.</p>	S. Martinez	A. Handwerker/v. Prouty
<p>i. Personal Property – to establish and maintain a program for managing and protection of property consistent with applicable laws, regulations, and contract terms and conditions. This functional area includes oversight and approval of “Real Property Leases”.</p>	J. Stricker	N. Oetter
<p>j. Procurement – to establish and maintain a program for delivery of the best value products/services to laboratory procurement department customers, consistent with applicable laws, regulations, and prime contract terms and conditions. This functional area includes oversight and approval of:</p> <ul style="list-style-type: none"> - Small Business Sub-Contracting - MOU’s/MOA’s - Utility Contracting 	R. Simpson	S. Martinez
<p>k. Communications and Trust/Stakeholder Relations – to provide coordinated and effective communications and outreach to the laboratory’s stakeholders that serve the laboratory’s needs.</p>	S. Martinez	B. Quirke
<p>l. Technology Transfer – to ensure that DOE’s missions are supported through partnerships having the potential to benefit the nation through support of national policy objectives, or to contribute to the national economic and scientific base. This will be accomplished through technology characterization and marketing leading to Work for Others, Cooperative Research and Development Agreements (CRADA's), licensing and other contracts to facilitate efficient and expeditious development, transfer, and exploitation of Federally owned or originated technology.</p> <ul style="list-style-type: none"> Federal (J. Stricker/R. Dalton) Private (J. Stricker) 	R. Dalton	J. Stricker

m. Programmatic Guidance/Work Authorization – to review, approve, and authorize work that is consistent with the established mission of the laboratory.	J. Kasprowicz	N. Oetter
n. DOE Directives – to ensure that the laboratory is aware of, and fully compliant with appropriate applicable DOE Directives.	J. Kasprowicz	K. Panek

The BMT further supports the ASO mission by performing the following contract management activities:

1. Establish effective working relationships with DOE-HQ, DOE Field Organizations, and with the contractor. Serve as the single point of contact between DOE and the contractor.
2. Determine the applicability of policy, administrative, operational, and programmatic requirements from all sources and integrate these into a single set of requirements. Formally communicate these requirements to the contractor and enforce the contract requirements.
3. Negotiate annual Board of Governors budget to assure costs are consistent with Prime Contract and allowable cost provisions.
4. Authorize the Laboratory to perform work. Review and approve contract deliverables that result from the approved work.
5. Provide formal CO direction and guidance to the contractor.
6. Obligate funding to ANL Prime Contract as required.
7. Develop and incorporate Performance Measures and other expectations in the Laboratory contract to measure contractor success.
8. Conduct oversight of the Laboratory and assess contractor performance. Provide timely feedback to the contractor on their performance. Authorize payments and fee.
9. Approve contractor business and administrative systems consistent with prime contract requirements.
10. Periodically review the laboratory contract; negotiate changes and modify the Laboratory contract, as required.
11. Obtain approval from the Head of Contracting Activity for contractual items not delegated to the Site Office.
12. Provide Contracting Officer and Technology Transfer support to the Ames Site Office as necessary.
13. Participate as a member of the DOE Procurement Evaluation and Review Team (PERT) in support of DOE SC/NNSA Contractor Procurement System Approval(s).
14. Laboratory Directed Research and Development (LDRD) is a significant Laboratory activity which requires resources from several Business Management Functional Areas.

FY05-High-Level Contract Management Objectives:

Provide Contracting Office/Procurement Member support for the FY06 ANL contract competition (Date: TBD)

FY05 Environmental and Emergency Management Team Charter

The ASO mission is to manage the DOE performance-based contract with the University of Chicago for the safe, effective, and efficient operation of ANL. An ASO objective is to ensure the protection of the public, workers, and the environment for work performed at ANL. The ASO EEMT has primary responsibility for ensuring that Environmental Stewardship and Emergency Management programs are maintained at ANL. Further, DOE requires that the Environmental Stewardship Program be part of an Integrated Safety Management Program. Environmental Stewardship encompasses compliance with environmental regulations, minimization of environmental impacts, protecting and caring for ecological and cultural resources, and ensuring long-term protection of people and the environment at cleaned-up contamination sites. On a day-to-day basis, ASO performs the DOE line management oversight of ANL operations and facilities.

The ASO Manager is ultimately responsible and accountable for the successful performance of all ASO responsibilities, functions, objectives, and mission. From a practical standpoint, the responsibility for performing these functions is assigned to specific internal ASO organizational elements (supervisors and teams). Some of the functions are assigned to a single internal ASO organizational element, while others apply to more than one element. Each supervisor and ASO Team has developed a Team Charter that identifies the specific objectives, functions and responsibilities, and performance goals for the Team.

Following is a list of major functions and responsibilities performed by the ASO that if successfully achieved will ensure that the mission of the ASO is achieved.

ASO Performance Measures Requiring Support from or Assigned to the EEMT

The following list of performance measures with target dates is drawn from the January 27, 2005 ASO FY 2005 Annual Management Plan (AMP) Revision 5, section 6.0. The numbers preceding each item are the numbers listed in the AMP. The EEMT may have limited responsibilities for measures not listed below; however these are the ASO measures most relevant to the EEMT, whether the EEMT has the lead role or a supporting role with respect to ASO's performance.

- 1.1) Establish clear FY-05 performance objectives for the ANL contract. (by 10/15/04)
- 1.2) Perform a mid-year assessment of the contractor performance under the ANL contract and provide feedback. (by 6/01/05)
- 1.3) Perform an end-of-year performance review of the University of Chicago under the ANL contract and provide feedback. (by 2/27/05 – FY-04 end of year)
- 1.4) Establish clear performance objectives for the FY-06 ANL contract. (by 9/30/05)
- 1.5) Plan for and initiate the ANL contract competition. (by 9/30/05)
- 2.4) Ensure that ANL projects are successfully achieved. (by 9/30/05)
- 2.5) Ensure adequate communication with local stakeholders. (once per quarter and ongoing)

- 2.6) Ensure the ANL safety program is achieving continuous improvement. (by 9/30/05)
- 2.9) Maintain effective communications with ANL management and the University of Chicago management. (ongoing)
- 2.10) Maintain an effective working relationship and communications with HQ SC (and other HQ sponsors). (ongoing)
- 2.11) Establish an effective working relationship with the ISC (Integrated Support Center, former Chicago Operations and Oak Ridge Operations). (ongoing)
- 2.12) Develop, implement, and maintain a Cultural Resource Management Plan (CRMP). (Make Draft CRMP available for comment by 9/30/05)
- 2.13) Ensure effective stewardship of ecological resources at ANL. (ongoing)
- 3.3) Develop ASO Management Plan for FY-06. (by 9/30/05)
- 3.4) Begin developing position descriptions (PD's) for ASO staff that reflect the specific roles, responsibilities, authorities, and accountabilities for ASO. (by 7/30/05)
- 3.5) Revise ASO staff performance plans to be consistent with ASO goal and objectives. (by 1/30/05)
- 3.6) Ensure critical ASO staff skills are in place. (by 1/30/05)
- 3.8) Maintain a high level of communication within ASO. (ongoing)

Detailed responsibilities carried out by the EEMT:

- 1) Maintain technical mission operational knowledge of work and facilities.
- 2) Review regulations, DOE Orders, and policy.
- 3) Identify and provide relevant guidance to the Contractor for safety, health, environmental, and emergency management.
- 4) Develop contract requirements including objectives, measures, and expectations.
- 5) Determine ANL compliance with regulations, DOE Orders, and DOE policy.
- 6) Review ANL Tier 1 and 2 documents and some Tier 3 documents such as the Integrated Safety Management Plan (including the Environmental Management System), ESH Manual, Quality Assurance Plan, Emergency Management Plan, and others.
- 7) Review and report on ANL annual self-assessment including the overall ES&H rating.
- 8) Perform a yearly assessment of ANL's ES&H performance for the DOE-ASO Manager.
- 9) Conduct systematic assessments of ES&H and Emergency Management programs and processes.
- 10) Follow-up on occurrences.
- 11) Perform for cause reviews as appropriate for injuries, illnesses, accidents, occurrences, releases and/or complaints.

- 12) Monitor, audit and evaluate contractor environment, safety and health management structure.
- 13) Develop and maintain standard operating procedures for ASO. (ASO SOP-1)
- 14) Exercise stop-work authority when necessary.
- 15) Review and recommend approval of the contractor's ESH&I prioritization list and ES&H management plan.
- 16) Monitor completion of corrective actions taken by ANL to eliminate deficiencies identified through self-assessments, investigations of accidents, incidents, occurrences, external compliance inspections, injuries or illnesses. (ASO SOP-13)
- 17) Maintain tracking systems for DOE-ASO commitments, DOE-wide S&H issues, deliverables to environmental regulatory agencies, and ASO NEPA actions.
- 18) Review and prepare NEPA documentation and recommend NEPA determinations. (ASO SOP-2)
- 19) Coordinate preparation of environmental permit applications and maintenance of permits.
- 20) Ensure Land Management and Cultural Resource Management Plans are maintained and implemented.
- 21) Review and provide input to Ten Year Site Plan to ensure ES&H needs are addressed.
- 22) Develop and maintain an ASO Continuity of Operations Plan (COOP) and work with ANL on development of an ANL COOP.

The attached Environmental and Emergency Management Team Responsibility Matrix gives principle and secondary responsibilities by team member for specific areas; shows interfaces between the EEMT and other ASO Teams; and identifies support provided by the Chicago Office.

FY05 Infrastructure and Project Management Team Charter

The ASO mission is to successfully manage and administer the DOE performance-based management and operating contract for the safe, secure, effective, and efficient operation of the Argonne National Laboratory (ANL). ASO supports the SC mission to encourage and conduct forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish DOE missions.

This charter reflects the mission of the ASO IPM Team formed in FY04, consistent with the evolving nature of our responsibilities. Early in FY04, the Environmental & Special Projects Team and the Infrastructure Management Team were merged into one group named the IPMT.

The IPMT mission is to successfully execute the lead role within DOE ASO for the safe and efficient conduct of all EM environmental restoration projects, SC line item projects, GPP, AIP, and Excess Facility projects, the CNM project, and other projects at the ANL site, including those related to energy efficiency. Current project related assignments include support to the RBL project focusing on interfaces with ANL infrastructure and support to the proposed third party financed TCS project. IPMT also supports the SC PARS project management system and provides limited data to support the EM IPABS system. The IPMT develops and maintains ASO procedures related to infrastructure and project management as needed. IPMT is responsible for DOE oversight of site infrastructure; including facility strategic planning, aspects of real estate management, space banking, and maintenance management.

Current challenges faced by the IPMT include:

- Completing EM D&D cleanups in a tight financial and evolving contracting strategy situation;
- Disposing historic RH TRU waste in a tight financial environment and an extremely demanding regulatory and QA situation, also requiring major integration of disparate DOE and contractor resources;
- Providing support to BHSO for certain EM projects and support to DOE's MIT Bates Accelerator regarding disposition of future D&D liability;
- Maintaining or disposing of contaminated excess facilities requiring significant D&D project effort;
- Fulfilling demanding multiple DOE customer expectations related to project management.
- Increasing the pace of project management expertise development and documentation, in an environment of limited development funding, changing staffing, and increasing work loads
- Supporting project and site development in an evolving funding scenario where DOE direct funding is generally falling and third party or other government agency funding is becoming increasingly common.

- Improving the maintenance of ANL to achieve a “21st Century” infrastructure, considering the average age of the facility, the shrinking resource base (loss of ANL-W), major budget cuts to SLI funding, and the size of the deferred maintenance backlog.

ASO Specific FY-05 Performance Measures and Objectives Requiring Support from or Assigned to the IPMT

The following list of performance measures and objectives is drawn from the October 18 2004 ASO FY 2005 Annual Management Plan (AMP) Revision 3, section 7.0. The numbers preceding each item are the numbers listed in the AMP. The IPMT may have limited responsibilities for objectives not listed below; however these are the ASO objectives most relevant to the IPMT, whether the IPMT has the lead role or a supporting role with respect to ASO's performance.

- 1.1) Establish clear FY-05 performance objectives for the ANL contract. (by 10/15/04)
- 1.2) Perform a mid-year assessment of the contractor performance under the ANL contract and provide feedback. (by 06/01/05)
- 1.3) Perform an end-of-year performance review of the University of Chicago under the ANL contract and provide feedback. (by 02/27/05 FY-04 end-of-year)
- 1.4) Establish clear performance objectives for the FY-06 ANL contract. (by 09-30-05)
- 1.5) Plan for and initiate the ANL contract competition. (by 09/30/05)
- 2.1) Perform a review of the ANL Project Management System. (by 12/30/04)
- 2.4) Ensure that ANL projects are successfully achieved. (by 09/30/05)
- 2.6) Ensure the ANL safety program is achieving its “best in class” safety goals. (by 09/30/05)
- 2.8) Maintain effective communications with ANL management and the University of Chicago management. (ongoing)
- 2.9) Maintain an effective working relationship and communications with HQ SC (and other HQ sponsors). (ongoing)
- 2.10) Establish an effective working relationship with the ISC (Integrated Support Center, former Chicago Operations and Oak Ridge Operations). (ongoing)
- 3.3) Develop ASO Management Plan for FY-06. (by 09/30/05)
- 3.4) Begin developing position descriptions (PD's) for ASO staff that reflect the specific roles, responsibilities, authorities, and accountabilities for ASO. (by 07/30/05)
- 3.5) Develop ASO staff performance plans that are consistent with ASO goal and objectives. (by 09/30/04)
- 3.6) Ensure critical ASO staff skills are in place. (by 09/30/04)

3.8) Maintain a high level of communication within ASO. (ongoing)

Detailed responsibilities carried out by the IPMT

The following program and project responsibilities and tasks are not meant to be all-inclusive but are typical and representative of the types of responsibilities and specific tasks commonly carried out by staff of the IPMT, in either the lead or supporting role.

Program Management

- 1) Decontamination and Decommissioning program (EM)
- 2) Excess Facilities program (SC)
- 3) Legacy TRU waste disposal (EM)
- 4) Departmental Energy Management Program (DEMP), including annual energy management plans (EE)
- 5) Line Item Construction Projects (typically R&D facilities by SC)
- 6) Science Laboratory Infrastructure (SLI, SC)
- 7) General Plant Projects (GPP, SC)
- 8) Accelerator Improvement Projects (AIP, SC)
- 9) FIMS maintenance
- 10) Site infrastructure maintenance management
- 11) Site infrastructure planning, site development planning
- 12) ESHI prioritization program input and monitoring

Project Management

- 1) D&D at Juggernaut Reactor, ZPR, and Bldg. 301 Hot Cells
- 2) D&D at various contaminated Excess Facilities
- 3) Disposal of RH TRU waste
- 4) Support to BHSO EM projects
- 5) Support to DOE's MIT Bates Accelerator Disposition Strategy including monitoring of approved work scope
- 6) GPP projects
- 7) AIP projects
- 8) Energy efficiency and conservation projects (DOE or third party funded)
- 9) SLI projects
- 10) Center for Nanoscale Materials (CNM) project
- 11) Infrastructure interfaces to third party funded projects at ANL (currently RBL and TCS)

Projects Tasks

- 1) All tasks consistent with Federal Project Director as listed in the Order
- 2) All tasks consistent with COR when so designated by the CO
- 3) Development of key project documentation such as Project Execution Plans, Acquisition Strategy documentation, and various project control and safety related documents as required by scope, regulations, and program
- 4) Baseline development and monitoring
- 5) Baseline Change Proposal Review/Negotiation/Approvals
- 6) Budget Negotiations/Justification/Option planning
- 7) Current Year Work Plan Review/Negotiation/Approval
- 8) Current Year Work Authorization Review/Negotiation/Approval
- 9) Routine Progress/Issue Resolution Meetings w/ Contractor

- 10) Progress/Status Reviews
- 11) Weekly teleconferences with contractor and sponsor
- 12) Periodic meeting with M&O management
- 13) Weekly reports
- 14) ORPS/PAA Monitoring and Follow-up
- 15) Construction Field Progress and Quality Inspections
- 16) Project status presentations to sponsors
- 17) Inspections for Final Acceptance
- 18) Project Close-out/Completion Reports

Miscellaneous Management Tasks

- 1) GMRA/GPRA reporting
- 2) FMFIA assessments and reporting
- 3) Support for M&O Contract Evaluation
- 4) Support for M&O Contract Performance Measures
- 5) Ad Hoc Program and Project Reporting

DOE Policy and Order Implementation

- 1) Real Property Asset Management (RPAM), DOE O 430.1B
- 2) Radiation Protection of the Public and the Environment, DOE Order 5400.5
- 3) Environmental Protection Safety and Health Protection Standards, DOE O 5480.4
- 4) Radioactive Waste Management, DOE Order 435.1
- 5) Program and Project Management for the Acquisition of Capital Assets, DOE O 413.3
- 6) ASO SOP Development and maintenance

Administrative/Technical Support

- 1) Weekly Reports to HQ
- 2) Weekly Highlights to CH
- 3) ASO Priority Updates
- 4) Monthly Reports to HQ
- 5) Quarterly and Annual Progress Status Reports to HQ
- 6) Presentations/Graphs/Charts special reports as requested
- 7) Lessons learned documentation, presentations
- 8) Project Close-out/Completion reports
- 9) Updates to Facilities Information Management System (FIMS)

ES&H Related Activities

- 1) Construction Field Safety Inspections
- 2) Construction Field Progress and Quality Inspections
- 3) Inspections for Final Acceptance

The attached Infrastructure & Project Management Team Responsibility Assignment Matrix shows principle and secondary responsibilities by team member for specific areas; shows interfaces between the IPMT and other ASO Teams; and identifies support provided by the Chicago Office.

FY05 Safety and Health Team Charter

The ASO mission is to manage the DOE performance-based contract with the University of Chicago for the safe, effective, and efficient operation of ANL. An ASO objective is to ensure the protection of workers and the public for work performed at ANL. The ASO Safety and Health Team has primary responsibility for ensuring the establishment of an overall Safety and Health Program at ANL. Further, DOE requires that ANL's Safety and Health Program be part of an Integrated Safety Management Program that is established at all its Laboratories. ASO also performs the DOE line management oversight of ANL operations and facilities.

The ASO Manager is ultimately responsible and accountable for the successful performance of all ASO responsibilities, functions, objectives, and mission. From a practical standpoint, the responsibility for performing these functions is assigned to specific internal ASO organizational elements (supervisors and teams). Some of the functions are assigned to a single internal ASO organizational element, while others apply to more than one element. Each supervisor and ASO Team has developed a Team Charter that identifies the specific objectives, functions and responsibilities, and performance goals for the Team.

Following is a list of major functions and responsibilities performed by the ASO that if successfully achieved will effectively support the accomplishment of the ASO mission.

ASO Performance Measures Requiring Support from or Assigned to the S&H Team

The following list of performance measures with target dates is drawn from the ASO FY 2005 Annual Management Plan (AMP). The numbers preceding each item are the numbers listed in the AMP. These are the ASO measures most relevant to the S&H Team, whether the S&H Team has the lead role or a supporting role with respect to ASO's performance.

- 1.1) Establish clear FY-05 performance objectives for the ANL contract. (by 10/15/04)
- 1.2) Perform a mid-year assessment of the contractor performance under the ANL contract and provide feedback. (by 6/01/05)
- 1.3) Perform an end-of-year performance review of the University of Chicago under the ANL contract and provide feedback. (by 2/27/05 – FY-04 end of year)
- 1.4) Establish clear performance objectives for the FY-06 ANL contract. (by 9/30/05)
- 1.5) Plan for and initiate the ANL contract competition. (by 9/30/05)
- 2.4) Ensure that ANL projects are successfully achieved. (by 9/30/05)
- 2.5) Ensure adequate communication with local stakeholders. (once per quarter and ongoing)

- 2.6) Ensure that the ANL Integrated Safety Management (ISM) System is achieving continuous improvement (by 9/30/05)
- 2.7) Support the SC Initiatives including OneSC Re-engineering. (by 9/30/05)
- 2.9) Maintain effective communications with ANL management and the University of Chicago management. (ongoing)
- 2.10) Maintain an effective working relationship and communications with HQ SC. (ongoing)
- 2.11) Establish an effective working relationship with the ISC. (as needed)
- 3.3) Develop ASO Annual Management Plan for FY-06. (by 9/30/05)
- 3.4) Begin modifying position descriptions (PDs) for ASO staff to reflect the specific roles, responsibilities, authorities, and accountabilities for ASO under OneSC. (by 7/30/05)
- 3.5) Revise ASO staff performance plans to be consistent with ASO goal and objectives. (by 1/30/05)
- 3.6) Ensure critical ASO staff skills are in place. (by 1/30/05)
- 3.8) Maintain effective communications within ASO. (weekly and monthly)

Safety & Health Team Responsibilities

The following responsibilities are those related to the ASO Roles and Responsibilities found in Attachment 1 of the ASO FY 2005 AMP.

1. Provide formal direction and guidance to contractor on safety and health contract elements. (Role 1, #10)
2. Develop contract safety and health performance measures (Role 1, #11)
3. Periodically evaluate contractor performance related to safety and health, develop performance ratings and provide feedback to the Laboratory (Role 1, #12)
4. Based on acceptable safety and health risk, scope and definition, authorize work through formal processes (Role 2, #1)
5. Coordinate, as appropriate, DOE and external safety and health reviews, evaluations, and inspection of the Laboratory (Role 2, #4)
6. Participate, as appropriate, in programmatic and operational safety and health reviews, evaluation, and inspections of the contractor by DOE or external reviewers (Role 2, #5)
7. Provide safety and health expertise, as appropriate, for negotiations with other Federal agencies related to WFO agreements, Technology Transfer, Interdepartmental Work Orders and other agreements. (Role 2, #8)
8. Ensure safe operations of government assets through oversight and operational awareness. (Role 2, #10)
9. Assess the adequacy of ANL Integrated Safety Management System and self-assessment programs (Role 2, #12)

10. Develop and maintain a “sense of the Laboratory,” including general knowledge of safety and health aspects of ANL science and technology programs, as well as, ANL operations. (Role 2, #13)
11. Provide safety and health subject matter expertise and support, as requested and available, for project reviews, readiness reviews, policy development, etc. (Role 2, #14)
12. Review, assess and take action regarding the long-term stewardship safety and health needs of ANL including: operations to assure protection of workers, site assets, the public and environment. (Role 3, #1)
13. Maintain effective working relationships and communication with DOE-HQ, ANL, and appropriate Federal, state and local agencies. (Role3, #2)
14. Contribute, as appropriate, to the oversight of the ANL community stakeholder and media relations programs (Role 3, #5)
15. Conduct self-assessments related to safety and health assignments and responsibilities, and revise ASO ESH Program based on results and lessons learned. (Role 4, #4)

The attached Safety and Health Team Responsibility Matrix gives principle and secondary responsibilities by team member for specific areas; shows interfaces between the S&H Team and other ASO Teams; and identifies support provided by the Chicago Office.

ASO EEMT RESPONSIBILITY ASSIGNMENT MATRIX	RESPONSIBLE PERSON										
Angela C. Harvey - Supervisor Donna L. Green - Team Leader Kenneth Chiu - Environmental Compliance Specialist Kaushik N. Joshi - Environmental Engineer Katrina L. Panek, Safety & Occupational Health Specialist	A. Harvey	D. Green	K. Chiu	K. Joshi	K. Panek	Adm Supt - Miller	Adm Supt - Terry	ASO Safety & Health Team	ASO IPMT	ASO Business Mgmt. Team	Chicago Office
Supervision	P	S									
Processes	S	P									
Maintain ASO SOP System					P		S				
Maintain ASO NEPA Tracking System and NEPA SOP		S	P								
Track ANL Completion of DOE-Identified ES&H Deficiencies					P						
Review and Prepare NEPA Documents; Make CX Determinations		P	S								
Maintain Environmental Permits			P	S							
Communication with Forest Preserve District of DuPage County		P			S						
Track Submittals to Regulatory Agencies			P	S							
Env. & Emergency Mgmt. Functional Area Reviews		P	S	S	S		S				S
Programs	S	P									
Emergency Management		S			P						
MOU with DuPage County		S			P						
Continuity of Operations		S			P						
Hazardous Materials Transportation				S	P						
Waste Management			S	P							
Waste Minimization and Pollution Prevention			S	P							
DOE Technical Standards					P						
DOE Directives Management					S					P	
Long-Term Stewardship O&M			S	P							
Site Environmental Report (and Monitoring)			P	S							
Planning	S	P									
Ten Year Site Plan		S							P		
ES&H Management Plan		P					S				
ESH&I Management Plan		S						P			
Cultural Resource Management Plan		P			S						
ISM and EMS Plans			P	S							
Land Management and Habitat Restoration Plans		P									S
Regulations and DOE Orders											
Clean Air Act			P	S							
Asbestos NESHAP					P		S				
Clean Water Act			P	S							
Resource Conservation and Recovery Act (RCRA)			P	S							
Federal Facility Compliance Act - mixed waste		S		P							
CERCLA/SARA			P	S							
EPCRA (SARA Title III)			P	S							
Toxic Substances Control Act (TSCA)			S	P							
Endangered Species Act		P									S
National Historic Preservation Act		P			S						
DOE Order 435.1			S	P							
Floodplain and Wetland Executive Orders		P									

P=Principal S=Secondary

ASO EEMT RESPONSIBILITY ASSIGNMENT MATRIX	RESPONSIBLE PERSON										
	A. Harvey	D. Green	K. Chiu	K. Joshi	K. Panek	Adm Supt - Miller	Adm Supt - Terry	ASO Safety & Health Team	ASO IMPT	ASO Business Mgmt. Team	Chicago Office
DOE Order 5400.5			S	P							
DOE Order 450.1			S	P							
Projects											
Wildlife Management Interagency Agreement with USDA		P								S	
Regional Biocontainment Laboratory		P						S	S		
ASO ADMINISTRATIVE/TECHNICAL SUPPORT											
Secretarial/clerical						S	P				
Weekly Highlights						S	P				
CPPR Support			P					S			

P=Principal S=Secondary

ASO IPM RESPONSIBILITY ASSIGNMENT MATRIX - Rev 3.1 January 19 2005	RESPONSIBLE PERSONS												
Angela C. Harvey - Supervisor Andrew D. Gabel - Team Leader Susan L. Heston - Senior Scientist Jurgis "George" Paliulionis - General Engineer Frank Gines - General Engineer Dale Dietzel - General Engineer John Loomis - General Engineer	A. Harvey	A. Gabel	S. Heston	D. Dietzel	F. Gines	J. Loomis	J. Paliulionas	Adm Supt - Miller	Adm Supt - Terry	ASO Safety & Health Team	ASO E&EM Team	ASO Business Mgmt. Team	Chicago office
OFFICE OF SCIENCE (SC)													
Supervision	P	S											
Program Management	S	P											
Science Laboratory Infrastructure (SLI)			S				P						
Excess Facilities Disposition Program/Space Banking				P		S							
General Plant Projects (GPP)				S		P							
General Plant Equipment (GPE)				S		P							
Maintenance Management				P		S							
Real Property (Space Utilization, FIMS, Easements, and Land Transfers)				P		S							Su
Bldg. 201				P		S							Su
Project Management	S	P											
Center for Nanoscale Materials (Nanoscale Equipment)		S			P					Su	Su		
Center for Nanoscale Materials (Conventional Facility)		S			P					Su	Su		
Regional Biocontainment Laboratory Building Project				S		P					P		
Theory and Computing Sciences Building Project	P	S									Su		Su
SLI			S			P				Su	Su		
Excess Facilities Disposition Projects				P		S				Su	Su		
General Plant Projects				S		P				Su	Su		
Accelerator Improvement Projects				S		P				Su	Su		
MIT Bates Linear Accelerator Facility D&D Liability			P			S							Su
Planning	S	P											
Ten Year Site Plan			S	P									
Maintenance Plans				P		S							
ESH&I Management Plan		P	S								P		
Facilities and Infrastructure (F&I) Budget Crosscut	S		P										
Federal Project Manager Development		S			P								Su
DOE Orders	S	P											
Program & Project Mgt. for the Acquisition of Capital Assets (413.3)			S		P								Su
Real Property Asset Management (430.1B)			S	P									Su
Management Reporting													
Project Assessment & Reporting System (PARS)					P	S							
Project Reports Requirements (Monthly, Quarterly, Semiannual, Annual)					S	P							
Comprehensive Approved Project Funding List			S			P							
OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY													
Program Management		S	P										
Energy & Water Efficiency Management (Electric, Gas and Water)					S	P							
Utilities Management (Electric, Gas and Water)					S	P							

P=Principal S=Secondary

Project Management				S	P														
DEMP				S	P						Su	Su							
SESPC/UESC				S	P						Su	Su	Su						
Planning				S	P														
Energy Management Plans				S	P														
Annual CFC Chiller Phase-out Plan				S	P														
DOE Orders				S	P														
In-House Energy Management (430.2)				S	P														
Departmental Energy and Utilities Management (430.2X)				S	P														
Management Reporting				S	P														
Annual Energy Management Performance Report				S	P														
Annual CFC Chiller Phase-out Report				S	P														
Semi-annual Energy Retrofit Project Report				S	P														
OFFICE OF ENVIRONMENTAL MANAGEMENT																			
Program Management		P	S																
FOCUS/IDIQ Development		P	S																
Support to BEMCP (Brookhaven Site Office)			S		P														
Transition, EM to SC, CD-4 Completion, LTS Transfer			S	P															
Transition, EM to SC, Sunset Plan Implementation	P		S																
A-76 Support			S	P															
EM Weekly Meetings/HQ calls			S	P															
Project Management		P	S																
Juggernaut D&D Project		S	S		P						Su	Su							
Building 301 D&D Project			P		S						Su	Su	Su						
Zero Power Reactor #6 D&D Project			S	P							Su	Su	Su						
RH-TRU Waste Disposal Project			P	S							Su	Su	Su						
Planning		P	S																
DOE Orders			S	P															
ASO MATRIX SUPPORT																			
EM Program Direction (travel, etc.)			P														Su	Su	
Budget & reporting (IPABS, AFP, etc.)				S														P	
Baselining, project controls				P														Su	
OFFICE OF SECURITY																			
Program Management	P		S																Su
Project Management	P		S																Su
New Brunswick Laboratory	P		S																P
Planning	P		S																Su
DOE Orders	P		S																Su
ASO ADMINISTRATIVE/TECHNICAL SUPPORT																			
Secretarial/clerical											S	P							
Weekly Highlights											S	P							

P=Principal S=Secondary

ASO S&H TEAM RESPONSIBILITY ASSIGNMENT MATRIX	RESPONSIBLE PERSON												
Creig Zook - Supervisor Paul Neeson - Team Leader Deb Terry - Administrative Support John Houck - Senior Facility Representative Steve Ludwig - Senior Facility Representative Craig Schumann - Senior Facility Representative Eric Turnquest - Senior Facility	C. Zook	P. Neeson	J. Houck	S. Ludwig	C. Schumann	E. Turnquest	P. Washburn	Adm Supt - Terry	ASO BMT	ASO EEMT	ASO IPMT	ASO SHT	Chicago Office
Supervision	P	S											
Facility Representative Program	S	P										P	
Accelerator Facilities - Physical, Biological and Computing Sciences			S				P						
Laboratory Large Scale D&D			S				P						
Laboratory Activities - Applied Science and Technology					S	P							
Laboratory Activities - Physical, Biological and Computing Sciences					S	P							
Nuclear Facilities - 205 G&K Wings			S	P			S						
Nuclear Facilities - AGHCF			S	P			S						
Nuclear Facilities - Waste Management Operations			S	P			S						
Operations and Plant Facility Services					P	S							
Scientific User Facilities - APS Accelerator Systems			P				S						
Scientific User Facilities - APS Experimental Facilities			P				S						
Scientific User Facilities - APS Operations			P				S						
Scientific User Facilities - Intense Pulsed Neutron Source			S				P						
*Rare Isotope Accelerator							P						
*Center for Nanoscale Materials			P			S							
ES&H Program													
Functional Area and Other Reviews	S	P							P			P	
Incident and Occurrence Follow-up													P
Meetings (ANL Mgt., ANL ESH personnel, etc.)													P
Surveillances													P
Walkthroughs and Observations													P
Document Review													P
S&H SME Areas	S	P											P
Accelerator Safety			P				P						
Asbestos						S			P				
Beryllium						P							
Biosafety/ANL Institutional Biosafety Committee						P							
Chemical Safety					S	P							
Construction Safety					P								
Electrical Safety					P								
Emergency Management						S			P				
Fire Protection					P	S							
Human Subjects						P							
Industrial Hygiene					S	P							
Industrial Safety					P	S							
Laser Safety			S			P							
Occupational Medicine						P							
Packaging and Transportation			P										
Nuclear Safety				P									
Surety Agents						P			S				

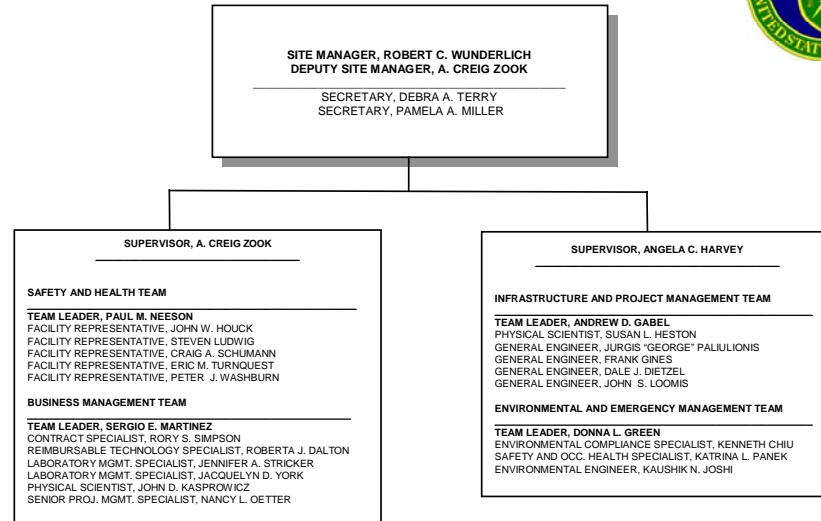
P=Principal S=Secondary *=Future facility or regulation

Planning	S	P																	
ASO Operational Awareness Plan	S	P																	
ES&H Management Plan						S							P						
Ten Year Site Plan																		P	
Regulations and DOE Orders																			
10 CFR 745 - Human Subjects						P													
10 CFR 820 - Procedural Rules for Nuclear Facilities							P												
10 CFR 830 - Quality Assurance						P													
10 CFR 835 - Radiation Protection		P	S						S										
10 CFR 850 - Beryllium									P										
*10 CFR 851 - Worker Safety and Health																			P
29 CFR 1910 - OSHA									P										
29 CFR 1926 - Construction									P										
40 CFR 300 - Community Right-to-Know									S						P				
42 CFR 72 - Interstate Shipment of Etiologic Agents									P										
42 CFR 73 - Select Agents									P										
DOE N 450.7 - Biological Etiologic Agents (DOE N 450.13 extension)									P										
DOE O 225.1 - Accident Investigation									P										
DOE O 231.1 - ORPS																			P
DOE O 420.2B - Accelerator Facilities							P				P								
DOE O 420.1A - Facility Safety						S	P			S									
DOE O 435.1 - Radioactive Waste Management							P												
DOE O 440.1A - Worker Protection																			P
DOE O 443.1 - Human Subjects									P										
DOE O 450.1 - Environmental Protection															P			S	
DOE O 451.1B - NEPA															P			S	
DOE O 460.1B - Packaging and Transportation							P		S										
DOE O 481.1 - Work for Others															P			S	
DOE O 483.1 - CRADA															P			S	
DOE O 5480.19 - Conduct of Operations																			P
DOE P 441.1 - Radiological Health							P												P
DOE P 450.4 - Safety Management System	P	S																	P
Projects																			
Wildlife Management Interagency Agreement with USDA									S						P				
Regional Biocontainment Laboratory									S						P				
ASO ADMINISTRATIVE/TECHNICAL SUPPORT																			
Secretarial/clerical															P				
Weekly Highlights															P				
CPPR Support									S									P	

P=Principal S=Secondary *=Future facility or regulation

Attachment 3 ASO Organization Chart

U.S. Department of Energy Office of Science Argonne Site Office



Attachment 4
Mission and Function Statement
Argonne Site Office
Office of Science

Mission

The Argonne Site Office (ASO) mission is to successfully manage and administer the DOE performance-based management and operating contract for the safe, secure, effective, and efficient operation of the Argonne National Laboratory (ANL). ASO supports the SC mission to encourage and conduct forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish DOE missions.

Organizational Relationships

ASO is an Office of Science (SC) line management organization that reports to the SC Chief Operating Officer. Within SC, the SC-Headquarters organization establishes policy and direction while the field organizations are responsible for implementing that policy and direction. The Site Offices are responsible and accountable for the management of an assigned laboratory contract and oversight of the operational and management performance of the assigned laboratory contractor. ASO has been assigned the ANL contract. ANL is a multi-program, government-owned, contractor-operated facility with sites and facilities in Illinois and Idaho and is one of ten world-class, contractor-operated laboratories under the management of SC. Direct technical and administrative assistance to ASO comes from the SC Chicago Office and the SC Oak Ridge Office.

Functions

ASO is responsible for performing a set of functions that will assure the site office mission will be successfully achieved. To effectively perform these functions, ASO will develop and maintain a "Sense of the Laboratory", including a general knowledge of the Laboratory science and technology programs, Laboratory operations, performance, and conditions. The site office functions have been categorized by the roles assigned to the Site Offices. These roles are contract management, program and project implementation, federal stewardship, and internal operations.

Contract Management – provide effective leadership and maximize the effective working relationship between DOE and the contractor; manage and administer the contract by setting and communicating expectations, integrating DOE requirements, authorizing work, and providing timely feedback to the contractor.

15. Establish effective working relationships with DOE-HQ, DOE Field Organizations, and with the contractor. Serve as the single point of contact between DOE and the contractor.
16. Determine the applicability of policy, administrative, operational, and programmatic requirements from all sources and integrate these into a single set

- of requirements. Formally communicate these requirements to the contractor and enforce the contract requirements.
17. Authorize the Laboratory to perform work. Review and approve contract deliverables that result from the approved work.
 18. Provide formal direction and guidance to the contractor. Develop and include performance measures and other expectations in the Laboratory contract to measure contractor success.
 19. Conduct oversight of the Laboratory and assess contractor performance. Provide timely feedback to the contractor on their performance. Authorize payments and fee.
 20. Review and approve contractor business and administrative systems consistent with contract requirements.
 21. Periodically review the laboratory contract; negotiate changes and modify the Laboratory contract, as required.
 22. Obtain approval from the Head of Contracting Activity for contractual items not delegated to the Site Office

Program and Project Implementation – monitor overall contractor operations, review and approve work and coordinate activities related to assigned programs and projects.

23. Conduct program management/implementation/oversight as delegated by program sponsors. This includes determining applicability of DOE policies and direction for assigned work and performing oversight and operational awareness reviews, as required.
24. Review and authorize work to the contractor through formal processes (such as LDRD Approval process, Project Directives, Technical Work Plans, etc.).
25. Serve as the federal project director for assigned projects
26. Maximize the effective working relationship between the contractor and DOE in executing programs. Serve as the point-of-contact for integrating the needs of SC and other non-SC sponsors.
27. Facilitate the execution of programs by resolving DOE and/or other stakeholder issues. This includes conducting negotiations with other federal agencies, as appropriate, related to WFO agreements, Technology Transfer (including CRADAs), Interdepartmental Work Orders and other agreements
28. Participate in reviews, evaluations, and inspections of the contractor in programmatic and operational areas to ensure the adequacy of the contractor's management and administrative systems to manage the program work. This includes the areas of ES&H, Safeguards and Security, and Project Management Systems. Coordinate DOE and external reviews, evaluations, and inspections of the Laboratory.
29. Participate in the planning and establishment of overall SC expectations and directions, and provide feedback. Provide input and respond to the Annual Field Budget Call and other special requests, as required.
30. Seek approval for activities where authority does not reside within the SO
31. Develop and maintain a working relationship with the sponsoring research program offices, such as the SC Program Assistant Secretary level, to ensure integration of the Laboratory science programs and operations.

Federal Stewardship – maintain and protect federal assets at the site or assigned to the Site Office

32. Review and assess the Laboratory support activities and stewardship needs against the contract requirements and take action, as necessary, such as the reallocation of resources.
33. Develop and maintain an effective working relationship and communication with DOE-HQ, other DOE organizations, elected officials, federal, state and local agencies, and as appropriate other key stakeholders, such as the national and international science community. Develop and maintain effective community stakeholder and media relations programs.
34. Coordinate with DOE-HQ and other potential stakeholders to determine the optimal allocation of resources to meet the stewardship needs.
35. Provide feedback to SC and other HQ Program sponsors on the HQ funding, planning, and direction that impact the Laboratory site or infrastructure.
36. Serve as the owner for transactions affecting the government's rights in federal assets, such as transfers of interest and execution of permits. Serve as the federal steward and ensure the protection and maintenance of federal assets located at the Laboratory.

Internal SO Operations – manage the Site Office resources and business systems to ensure that the Site Office successfully achieves its mission.

23. Manage the SO resources. Determine the site office needs (staffing, travel, training, and awards) and request those needs through the SC Chief Operating Officer.
24. Identify, develop, and maintain appropriate tools and techniques (such as standard operating procedures) to ensure that the Site Office can successfully accomplish its assigned mission
25. Work with the Chicago Office and the Oak Ridge Office to obtain required ASO technical and administrative support. Provide ASO resources when needed and available to support the rest of the SC organization.
26. Conduct self-assessments of ASO management, organization, and operations. Revise internal ASO management structure, organization, and operations, as appropriate.

**Attachment 5
 President's Management Agenda, DOE Challenges,
 and SC Strategic Objectives
 (consisting of three Tables)**

**Table 1
 ASO Actions that Respond to the President's Management Agenda**

President's Management Agenda	ASO Actions	Comments
#1 Strategic Management of Human Capital	ASO links the performance of ASO managers and staff to the roles and responsibilities of ASO and to the specific annual objectives in the annual ASO Business Plans. ASO has a Rewards & Recognition Plan in place that rewards exceptional performance and an evaluation process that identifies and corrects deficient performance. ASO has identified critical positions within the office, and appropriate cross-training is underway.	Staff are required to complete IDPs to identify training needs and encourage individual development. ASO participates in or leads developmental programs for internal ASO staff as well as for others.
#2 Competitive Sourcing	ASO is presently supporting an A-76 study of engineering and environmental support positions.	This is a broad study across all of DOE.
#3 Improved Financial Performance	ASO conducts reviews and supports audits of the ANL financial systems. When an issue is identified, then ASO takes the lead to ensure that it is resolved.	ASO requires corrective action plans and then tracks the specific actions to ensure that they are successfully completed.
#4 Expanded Electronic Government	ASO is a key participant in the OneSC Re-engineering to automate the SC business systems.	CH Office provides support and automated systems for ASO use.
#5 Budget and Performance Integration	ASO has a performance-based contract in place for ANL. ASO uses timely financial data in its decision-making. ASO uses the MDSS System for internal financial data.	ASO participated in the OMB review that determined SC rated "green".

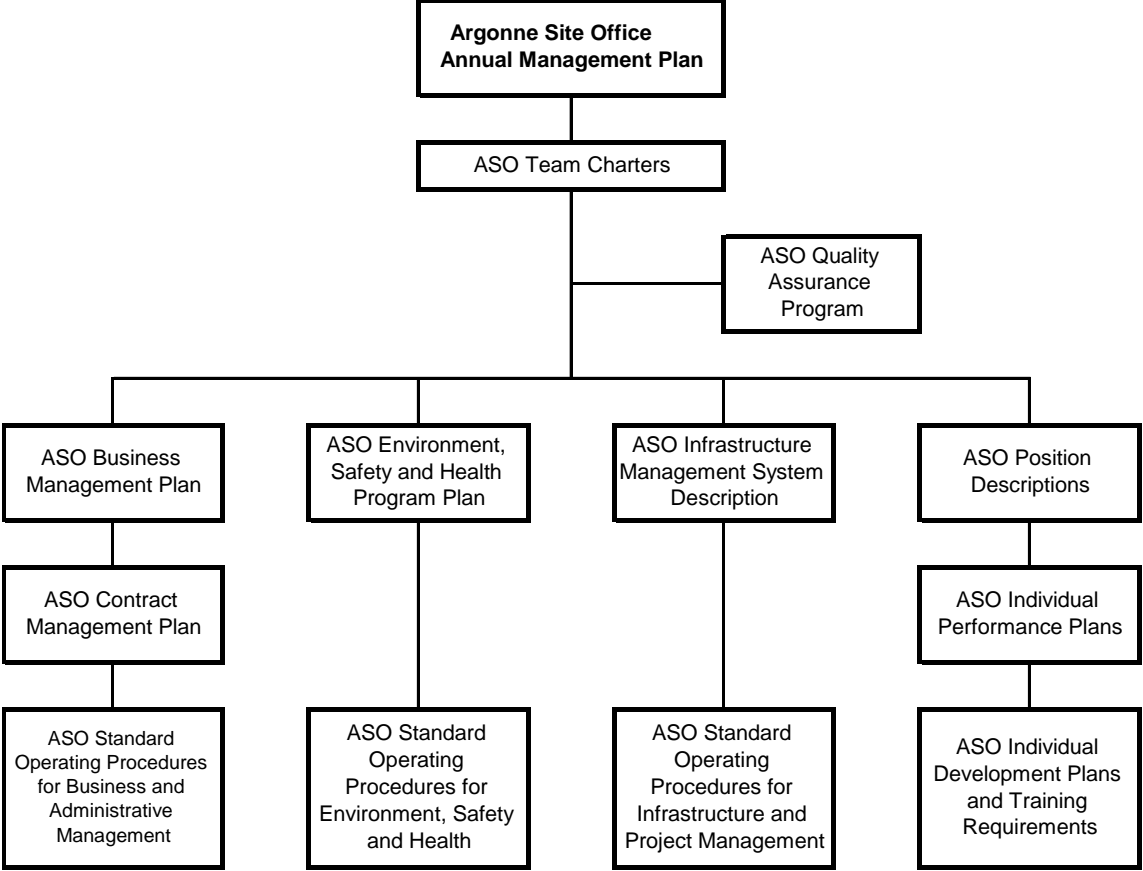
**Table #2
ASO Actions that Respond to the DOE Management Challenges**

DOE Management Challenges	ASO Actions	Comments
#1 Safety	ASO has included performance metrics in the ANL contract that are focused on achieving "best in class" in worker safety, continuously improving implementation of ISM, improving radiological and nuclear safety, and improving environmental protection and stewardship performance.	Continue to monitor ANL safety performance; review ANL incidents and identify any root/common causes; work with ANL to ensure a plan is in place to achieve "best in class" performance.
#2 Security	ASO, with CH assistance, has reviewed the ANL Safeguards and Security Program and identified a number of findings. ANL is preparing a corrective action plan.	Monitor ANL performance to ensure that review findings are successfully resolved. Ensure root causes are identified and resolved.
#3 Roles and Missions	Participate in the OneSC Project to restructure and re-engineer SC. Prepare documents. Take the lead role for the 9 Site Offices.	The restructuring has been completed. AOS Annual Self Assessment this year focused on reviewing and updating all ASO management systems to reflect SC reorganization. The re-engineering is beginning and ASO will provide SMEs in support of this activity.
#4 IT Management and Cyber Security	ASO has certified that ANL computer systems meet the DOE cyber-security requirements. ASO computer systems are managed by CH.	
#5 Project Management	ASO has required its Federal Project Directors to obtain PMCDP and/or PMI certification. Phase One of a 2-phase review of the ANL Project Management System was completed in early FY-05. No major deficiencies were identified. ASO will track the resolution of any issues from this review and ensure continued progress by the contractor in meeting PMS implementation goals. Phase 2 of the review is scheduled for early FY06 in preparation for sitewide EVMS certification review by the end of FY06. ASO has also taken the lead in developing a draft PD Career Path Issue paper for SC consideration.	ASO also reviewed the ANL Maintenance Management System in FY-04 which is related to the ANL Project Management System.
#6 Contract Competition	ASO has signed a 2-year extension of the ANL contract with the University of Chicago. ASO is also supporting the extension of the Ames contract. In FY-05, ASO will prepare for the ANL contract competition.	With the establishment of the INL, ASO has planned for the transition of ANL-W from the ANL contract February 1, 2005.

Table #3
ASO Actions that Respond to SC Strategic Objectives

SC Objectives	ASO Actions	Comments
#1 OneSC Restructuring and Re-engineering	ASO representatives have served in a number of key positions to support the OneSC changes.	ASO will continue to support the Phase 2 Re-engineering effort.
#2 ES&H	ASO has included the SC FY-05 goals into the ANL FY-05 contract performance measures.	These are 1) Total Recordable Case (TRC) rate and 2) Days Away, Restricted, and Transferred (DART) rate.
#3 Maintenance Management	The SC Maintenance Investment Indices (MII) goals for FY-05 have been included in the ANL contract performance measures.	ASO recently reviewed the ANL Maintenance Management Program and did not identify any significant deficiencies.

**Attachment 6
ASO Document Hierarchy**



Attachment 7 SC Integrated Support Center Matrix Support to ASO

The ISC provides services through the integration of the capabilities of the Oak Ridge and Chicago Offices. These services are provided to support the total SC enterprise and are designed to ensure effective customer support and operating efficiency. ISC support is provided on a functional basis as opposed to assigning a site entirely to either Chicago or Oak Ridge as had been done historically.

The ISC provides services through the integration of the capabilities of the Oak Ridge and Chicago Offices. These services are provided to support the total SC enterprise and are designed to ensure effective customer support and operating efficiency. ISC support is provided on a functional basis as needed. This attachment represents functional areas in which ASO has in the past, and/or is currently and/or anticipate using ISC matrix support to execute its roles and responsibilities. ISC support is required both on an ad hoc basis and, in some functional areas, on a continuous basis.

Integrated Support Center (ISC) Functions and Capabilities	Integrated Support Center Assistance to ASO	DOE Orders, Notices, Manuals, Guides, and other Federal Regulations as applicable
1.0 Human Capital Management		
Functions requiring Delegated Personnel Authority		DOE Directives Series: DOE Order 3792.3
Annual Notice of Competitive Areas/RIF Program		DOE Order 320.1
Federal Employee Health Services Administration		DOE Order 341.1
Acquiring and Positioning Human Resources		DOE Order 320.1; DOE Order 426 Series
Pay and Leave Administration		DOE Order 322.1A
Position Suitability Determinations	X	DOE Order 3731.1; DOE Order 5480.20A
Preparation of Furlough Notices		DOE Order 137.1A; DOE Order 327.1
Workforce Discipline		DOE Order 3750.1
Merit Promotion Program		DOE Order 320.1
Career Transition Planning		DOE Order 320.1
EAP Coordinator	X	DOE Order 341.1
Annual Fair Act Inventory Coordination	X	OMB A-76
Drug Testing Program Manager	X	DOE Order 3792.3
Federal Employee Training Program Administration	X	DOE Order 360.1B
Employee Performance Management System	X	DOE Order 331.1B
Grievance Process Administration	X	DOE Order 3771.1
Employee Concerns Program Coordinator	X	DOE Order 442.1A
Diversity Program Administration	X	DOE Order 311.1B
2.0 Contractor Human Resources		
Davis Bacon	X	DOE Order 350.1
Labor Relations	X	DOE Order 350.1; DOE Guide 3710.1
Compensation	X	DOE Order 350.1
Pension and Benefits Administration	X	DOE Order 350.1

Integrated Support Center (ISC) Functions and Capabilities	Integrated Support Center Assistance to ASO	DOE Orders, Notices, Manuals, Guides, and other Federal Regulations as applicable
Workplace Substance Abuse	X	10 CFR Part 707
Worker Transition Administration	X	DOE Order 350.1
Contractor Employee Protection Program		10 CFR Part 708
Diversity	X	DOE Order 311.1B
Contractor Employees in Washington		DOE Order 350.2A
3.0 Procurement and Contract Management		
Contracting Officer		DOE Order 541.1B
Contracting Officer Representative	X	DOE Order 541.1B
Acquisition Career Development Program	X	DOE Order 361.1A
Warrant Program	X	DOE Order 541.1B
Contract/Procurement Specialists	X	
WFO/CRADAs/Tech Transfer		DOE Order 481.1B, Manual and Guide DOE Order 482.1, DOE Order 483.1, DOE O 522.1
Small Business Program Administration	X	Federal Acquisition Regulations
Procurement e-commerce		Federal Acquisition Regulations
PADS database management	X	
Contract Negotiations	X	Federal Acquisition Regulations
Financial Assistance Management	X	
Performance Management/Assessment	X	
Conference Management		DOE Order 110.3
Unsolicited Proposals	X	DOE Order 542.2A
4.0 Real and Personal Property Management		
Certified Realty Official Services	X	DOE Order 430.1B
Personal Property Management		41 CFR 109
Utilities		DOE Order 430.2A
Maintenance		DOE Order 433.1; DOE Order 430.2A;
5.0 Finance and Accounting		
Functions of CFO-designated Field CFOs	X	DOE Order 520.1
Accounting	X	DOE Order 534.1B;
Payroll Liaison	X	DOE 535.1
Receivables/collections Management [including Wage Garnishment]	X	DOE Order 533.1; 10 CFR Part 1015; DOE Order 323.1
Travel Charge Card Program Coordinator	X	DOE Order 552.1
Travel Management	X	DOE Order 552.1; DOE Order 137.1A
6.0 Budget and Resources Management		
Functions requiring Allotment Authority	X	
Work Authorization Approvals		DOE Order 412.1; DOE Order 137.1A
Funds Control and Distribution	X	DOE Order 135.1
Budget Development and Execution	X	DOE Order 130.1
7.0 Program and Technical Support		
LDRD	X	DOE Order 413.2A
Project Management and Controls Support	X	DOE Order 413.3
Strategic/Institutional Planning		
Infrastructure Planning/Implementation		

Integrated Support Center (ISC) Functions and Capabilities	Integrated Support Center Assistance to ASO	DOE Orders, Notices, Manuals, Guides, and other Federal Regulations as applicable
Waste Management	X	DOE Order 435.1
8.0 Public Affairs, Information and Intergovernmental Relations	X	
Stakeholder and Media support		
9.0 Environment, Safety and Health		
ES&H Reporting	X	DOE Order 231.1A
Accident Investigations	X	DOE Order 225.1A
Operational Readiness Reviews	X	DOE Order 425.1C
Safety and Health SMEs		
Accelerator Safety		DOE Order 420.2B
Authorization Basis Reviewers		DOE Order 425.1C
Aviation Safety		DOE Order 440.2B
Biological Etiologic Agents		DOE Notice 450.7
Construction Safety		
Criticality Safety	X	
Health Physics		
Industrial Safety/Industrial Hygiene		DOE Order 440.1A; DOE Order 435.1
Occupational Medicine		
Nuclear Facility Safety/ Facility Representatives		DOE Order 420.1A
Fire Safety	X	DOE Order 420.1A
Human Subjects Research		DOE Order 443.1; 10 CFR Part 745
FEOSH Program	X	DOE Order 341.1
Transportation Safety	X	DOE Order 460.1B; DOE Order 460.2
Technical Standards Manager	X	DOE Order 252.1; DOE Order 5480.4
Environment	X	DOE Order 450.1
NEPA	X	DOE Order 451.1B; 10 CFR Part 1021
Permits		DOE Order 450.1
Environmental Management		DOE Order 450.1; 10 CFR Part 1022
Quality Assurance	X	DOE Order 414.1B
Price Anderson Amendments Act		
10.0 Project Management		
Project Directors		DOE Order 413.3; DOE Order 361.1A; DOE Guide 361.1A
PM Career Development Program	X	DOE Order 361.1A; DOE Guide 361.1A
Independent Project Reviews	X	DOE Order 413.3
11.0 Information Management	X	DOE Order 200.1; DOE Order 471.1A; DOE Order 471.2A; DOE Order 471.3
Freedom of Information Act Officer/Program Administration		10 CFR Part 1004
Privacy Act Officer/Program Administration		10 CFR Part 1008
Directives Point of Contact (No support)		DOE Order 251.1A
Records Management		DOE Order 243.X
Technical Information Officer		DOE Order 241.1A

Integrated Support Center (ISC) Functions and Capabilities	Integrated Support Center Assistance to ASO	DOE Orders, Notices, Manuals, Guides, and other Federal Regulations as applicable
Forms Management		DOE Guide 242.1-1
Software Quality Assurance		DOE Notice 203.1; DOE Notice 411.1
Computer Systems Management		
12.0 Legal - General		
Reviews of Confidential Disclosure Reports	X	DOE Notice 326.10
Federal Tort Claim Determination Authority	X	10 CFR Part 1014;
Oversight of DOE/Contractor Outside Legal Services	X	10 CFR Part 719
Ethics Officer	X	FAR 3.108
Contingent Liability Reporting	X	31 U.S.C. 3515
Allowability of Relocation Expenses	X	DOE Order 552.1
Loss or Damage to Personal Property Claims	X	DOE F 2040.3
13.0 Legal - Intellectual Property		
14.0 Safeguards and Security		DOE Order 470.1; DOE Order 471.4;
Cyber security	X	DOE Order 205.1; DOE Notices 205.2 - 205.12; DOE Manual 471.2-2;
Classification	X	DOE Manual 471.2-1C
Personnel Security/Clearance Processing	X	10 CFR Part 710; DOE Order 472.1C
Nuclear Material Accountability	X	DOE Order 474.1A
Information Security	X	10 CFR Parts 1016 and 1017; DOE Manual 471 series; DOE Order 471.3
Protective Force Program	X	DOE Order 473.2; 10 CFR Part 1047
Emergency Management [Moved from ES&H]		DOE Order 151.1B
Physical Protection	X	DOE Order 473.1; 10 CFR Part 1046
15.0 Other		
Internal SO Operations		