

**Draft “As Is” Condition Report
Office of Science (SC)
Area Office/Site Office (AO/SO)
Roles, Responsibilities,
Authorities, and Accountabilities (R2A2)**

(rev 10)

November 22, 2002

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A. Introduction

This document, the “As Is” Condition Report, serves as the first step of a gap analysis that is being performed for the Restructuring of the Office of Science (SC) organization. A gap analysis includes an understanding of the “as is” condition, then describing the “to be” condition (desired end state) and finally identifying the gaps that need to be bridged to achieve the “To Be” condition. The second step is documented in the “To Be” Condition Report. The third step includes preparing and implementing a plan that takes the organization from the existing condition to the desired “end state”.

This document describes the existing condition (“As Is” condition) for SC AO/SO roles, responsibilities, authorities, and accountabilities.

Definitions for the SC Restructuring Project:

Role: the broad umbrella term that defines the functions that individuals play in the organization

Responsibility: the obligation to ensure the initiation, and/or implementation or completion of an assigned activity; implies action and accountability.

Authority: the decision-making powers and controls required to fulfill responsibilities without concurrence or approval of others; include committing resources and making final decisions without further review within the limits established through the delegation of authorities.

Accountability: to be held answerable to a specific position/individual for fulfilling a responsibility for which you have the authority to act.

Line Management: a line manager takes actions or makes final decisions without further review within the limits or conditions established by the source of the authority. Line managers are accountable for the results of their decisions.

Staff Management: a staff manager supports the actions and decisions of line managers either directly in terms of expert analysis, advice or recommendations or indirectly through products and services that enable the effectiveness of the overall operation. Staff managers are accountable for the quality of their service.

While there are similarities among the ten AOs/SOs, they are not identical. This document addresses the most significant variations where they are deemed to impact the gap analysis.

There are two additional documents that are being developed that describe the roles, responsibilities, authorities, and accountabilities for the DOE-SC organizations. These two documents are for DOE-HQ and the SC Operations Offices/Support Centers. There are important inter-relationships between DOE-HQ, AOs/SOs, and the SC Operations Offices/Support Centers. An understanding of these inter-relationships is needed to ensure that an integrated organization and management system is in place.

B. Who are the SC Area Offices/Site Offices?

The DOE SC Area Offices and Site Offices are:

- Argonne Area Office
- Ames Area Office
- Brookhaven Area Office
- Fermi Area Office
- Princeton Area Office
- Berkeley Site Office
- Stanford Site Office
- Pacific Northwest Site Office
- Oak Ridge Site Office
- Thomas Jefferson Site Office

Two of the Site Offices (Berkeley and Stanford) report directly to DOE-HQ/SC, while the remaining eight AOs/SOs report to an Operations Office. All of the AOs/SOs obtain technical and business management support from an associated or parent Operations Office. The Berkeley and Stanford Site Offices receive technical and business management support from the NNSA Service Center. The NNSA Service Center reports to NNSA. The Pacific Northwest Site Office receives technical and business management support from the Richland Operations Office. The Richland Operations Office reports to EM. Five Area Offices report directly to the Chicago Operations Office Manager and two report directly to the Oak Ridge Operations Office at an Assistant Manager level. Both the Chicago Operations Office and the Oak Ridge Operations Office report to the Office of Science.

C. What is the present role of an SC Area Office/Site Office?

For the SC Restructuring Project, a role is the broad umbrella term that defines the functions that individuals play in the organization. While DOE-HQ is responsible for developing policy and program direction, the field (AOs/SOs and Operations Offices) is responsible for implementing that policy and program direction. Implementing this policy and program direction is a shared responsibility among the AOs/SOs and Operations Office. Because of some key differences among the AOs/SOs, including the location of the Contracting Officer, variations in ownership of the property and facilities, and variations in delegated authorities, it is difficult to develop a single statement that summarizes the role of all of the existing AOs/SOs. The AO/SO role includes elements of the following:

- 1) Contract Management - setting and communicating expectations, integrating DOE requirements, authorizing and funding work and providing feedback to the contractor
- 2) Program Implementation - monitoring operations, reviewing and approving work and coordinating activities related to assigned programs and projects.
- 3) Federal Stewardship – maintaining and protecting Federal assets.
- 4) Internal Operations - managing the Site Office staff and administrative systems to assure effective operations

Variations in the roles exist among the SC AO/SOs. Many, but not all, of the SC AOs/SOs possess both the DOE Contracting Officer (CO) and DOE Contracting Officer Representative (COR) responsibilities for the assigned SC Laboratory contract. In some

cases, the CO resides in the Operations Office. COR authority is limited to those actions that are already covered by the contract.

D. What are the SC AO/SO responsibilities?

A responsibility is defined as the obligation to ensure the initiation, implementation, and/or completion of an assigned activity. Responsibility implies action and accountability. For the ten different AOs/SOs, it was not possible to identify a single set of responsibilities that have a consistent level of involvement by all of the AOs/SOs. The approach taken for this report was to develop a broad list of responsibilities (see below) that could be used in both the "As Is" and "To Be" Condition analysis. In addition, a table of the responsibilities was prepared and each of the AO/SO identified their present involvement in carrying out each of the responsibilities (see Attachment #1).

List of Responsibilities

Contract Management (CM) related responsibilities

- 1) Serve as the DOE Contracting Officer.
- 2) Serve as the Contracting Officer Representative.
- 3) Negotiate and modify the Laboratory contract, as required.
- 4) Authorize payment of costs and fee under the contract provisions.
- 5) Seek approval from the HCA for those required approvals that are not delegated to the SO.
- 6) Review and approve contract deliverables.
- 7) Enforce the contract requirements.
- 8) Determine the applicability of policy, administrative, operational, and programmatic requirements from all sources (including external requirements). Develop a single set of integrated requirements and place these into the contract.
- 9) Periodically review the contract and modify to keep current.
- 10) Provide formal direction and guidance to the Laboratory.
- 11) Develop contract performance measures and include in the contract.
- 12) Periodically evaluate contractor performance, develop performance ratings and provide feedback to the Laboratory.
- 13) Review, approve, and oversee contractor business and administrative systems such as financial, property (intellectual, real, and personal), human resources, litigation, small business, etc. consistent with applicable contract requirements.

Program Implementation (PI) related responsibilities

- 1) Based on acceptable risk, scope and definition, authorize work through formal processes (LDRD Approval Process, Project Directives, Technical Work Plans, etc.).
- 2) Perform program management/implementation as delegated by program sponsors.
- 3) Serve as the federal project manager for line-item construction and infrastructure projects at the laboratory (as assigned through the PEP).
- 4) Coordinate all DOE and external reviews, evaluations, and inspections of the Laboratory.

- 5) Participate, as appropriate, in reviews, evaluations, and inspections of the contractor by DOE and/or other external reviewers of both programmatic and operational areas.
- 6) Participate, as requested, in the planning and establishment of overall SC expectations and directions, and provide feedback.
- 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.
- 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.
- 10) Ensure safe, secure, reliable, and efficient operations of government assets through oversight and operational awareness, includes ES&H, QA, Security, NEPA, PAAA, Cyber-security, Davis Bacon, and other areas.
- 11) Respond to and provide input to the Annual Field Budget Call and other special financial and budget information requests.
- 12) Assess the adequacy of contractor's management systems and self-assessment programs.
- 13) Develop a "sense of the Laboratory", including general knowledge of the Laboratory science and technology programs, as well as, the Laboratory operations.
- 14) Provide subject matter experts and support, as requested and available, to HQ-SC, Support Centers, or other SC AOs/SOs in achieving the overall SC mission. This can include staff expertise for project reviews, readiness reviews, policy development, etc.

Federal Stewardship (FS) related responsibilities

- 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 awareness activities.
- 2) Coordinate with DOE-HQ, the 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 (including administration, overhead activities, maintenance, GPP, GPE, IGPP, physical security, etc.) against stewardship requirements and approval of the annual allocation of resources.
- 3) Serve as the owner for transactions affecting the government's rights in federal assets, such as transfers of interest and execution of permits.
- 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.
- 5) Oversee the Laboratory's community stakeholder and media relations programs.
- 6) Provide feedback to SC and other HQ Program sponsors on the HQ funding, as well as, planning and direction activities that impact the Laboratory site or infrastructure.

Internal SO Operations (IO) related responsibilities

- 1) Manage the SO, assigned staff, and associated budgets (i.e. travel, training, awards, salaries, employee relations, recruiting).
- 2) Develop appropriate tools and techniques (such as standard operating procedures) to successfully accomplish the assigned SO roles, responsibilities, and functions.
- 3) Seek required expertise from the Support Centers to assist the SO, as necessary.
- 4) Conduct self-assessments and revise internal SO planning and operations, based on results and lessons learned.

Section G of this report discusses the differences among the AOs/SOs.

E. What authorities are assigned to the SC AO/SO Manager?

Authority is defined as the set of decision-making powers and controls required to fulfill responsibilities without concurrence or approval of others. Authorities typically include committing resources and making final decisions without further review within the limits established through the delegation of authorities.

Responsibilities and authorities are generally assigned to the Field Element Manager (FEM) via DOE Directives, Notices, Orders and Manuals. In turn, some of these have been re-delegated to the AO/SO by a lower tier Order, such as an Operations Office Order, through a position description for the AO/SO Manager or through an announcement, notice or memoranda. Authorities are also delegated by the Contracting Officer's warrant. In some cases the delegation of the authority is not clearly assigned, or may only be to specific individuals, as opposed to positions or organizational units. Authorities that are typically assigned to the SC AOs/SOs are:

- 1) Contracting Officer (CO) authority involves decisions within the contract and to changes in the contract (the contract includes specific decisions that require CO authority). This flows down from the Head of Contracting Authority
- 2) Contracting Officer Representative (COR) authority involves giving direction within the bounds of the existing contract. This flows from the HCA or an authorized Contracting Officer and is often assigned to an individual based on their position.
- 3) NEPA approval flows from DOE-HQ/EH to the Operations Office Manager and portions are re-delegated down to the AO/SO Manager
- 4) Approval of ES&H documents including Safety Basis documentation is a line management responsibility that flows from the HQ Program Sponsors through the Operations Office Manager to the Site Offices. Certain hazard levels are re-delegated to the AO/SO Managers. Many of the Operations Office use a Functions, Responsibilities, and Authorities Manual (FRAM) to re-delegate authorities to the AO/SO.
- 5) Facility Permits (Federal, State, and local) are often signed by the AO/SO Manager as the senior federal official on the site. These signature authorities are often dictated by the regulatory organization.
- 6) Contract work authorization flows from the CO authority.

- 7) Real Estate approvals are delegated from DOE-HQ to the Operations Office Manager and these are, in turn, re-delegated to the AO/SO Manager with concurrence from a certified real estate agent
- 8) Acceptance of Work For Others (WFO), Cooperative Research and Development Agreements (CRADA), Interdepartmental Orders, and other partnering instruments involving the laboratory flow from the CO authority
- 9) DOE Directives and Program Directives provide specific authorities to the AO/SO in a variety of areas

Typically the Allottee function is not assigned down to the AO/SO. The Allottee is responsible for ensuring that costs and commitments do not exceed Congressional appropriations. This flows from HQ through the Operations Office CFO.

Contracting Officer Authorities

- a. Contracting Officer (CO) authority is necessary to carry out all actions required for the solicitation, negotiation, award, and administration of DOE contracts. This delegation includes the authority to carry out all requirements of the performance-based contract, as well as authorization to execute and manage site-related Interdepartmental Procurement Requests, Interagency Agreements, simplified acquisitions, utility contracts, and other prime contracts. It generally involves decisions within the contract and to modification of the contract. The prime contracts include specific decisions that require CO authority. The CO authority flows down from the Head of Contracting Activity. For example, for the AOs/SOs assigned to Chicago Operations Office, the source of the delegation is through CH Order 901.6 "Contracting Authority and Responsibilities" and the CO's warrant. CH Order 901.6 provides broad authorities to individuals under the AO/SO Manager and provides general, specific and defined limitations of these authorities. Comparable Orders exist at the other Operations Offices. The Laboratory prime contracts define a large number of duties and responsibilities of the CO, consistent with their assigned authority. The resulting scope of CO authority relative to the prime contracts is considered very broad.
- b. CO's review and incorporate HQ program guidance into the contract. This is delegated from the HCA to the AO/SO. The source of the authority is DOE Order 412.1 Work Authorization System.
- c. CO's ensure that DOE Performance-Based business management policy is carried out and that the prime contracts are consistent with DOE performance objectives.
- d. CO's have authority for acceptance of Work for Others (WFO), Cooperative Research and Development Agreements (CRADA), and other partnering instruments involving the laboratory. Review of Work for Others and CRADAs is delegated by the Field Element Manager to the AO/SO. The sources of the delegation and requirements are DOE Order 481.2, DOE Facilities Technology Partnering Programs, DOE O 481.1B Work for Others, and DOE Order 483.1 DOE Cooperative Research and Development Agreements.
- e. CO's review allotment figures prior to incorporating into associated contract modifications. (Allotments are currently not broken down by individual site)
- f. Contracting Officer Representative (COR) authority involves giving direction within the bounds of the existing contract. This flows from the HCA or an authorized Contracting Officer and is often assigned to an individual because of their position.

Directives Authorities

DOE directives require numerous DOE functions that impact AO/SO and Laboratory operations. These directives may grant authorities to perform these functions directly to contracting officers, but most often do not. Authorities are most often delegated to “Heads of Field Elements”. The re-delegation of these authorities to the AO/SO Manager or Contracting Officer is not always documented.

Specific DOE Orders, Notices, Manuals, Policies, and regulations such as DOE Order 151.1A on Emergency Management, DOE Order 470.1 and DOE Order 474.1 on Physical Security, DOE Manual 471.2 on Cyber Security, and DOE Order 225.1 on Accident Investigations contain authorities that can and are typically delegated to a AO/SO Manager.

For ES&H specific related functions, typically the Operations Office FRAM and AO/SO level FRAMS provide clearer delineation of the delegation of responsibilities and authorities. This includes ES&H authorities with regard to Safety Basis documentation, NEPA, and other areas. The source of the requirements flow through various Orders, Notices, Manuals, Policy, and regulations from EH, SC through the FEM to the AO/SO. As an example, CH Manual 411.1-1B details the ES&H functions, responsibilities, and associated authorities.

Program Directions

Functions and concurrent authorities are often delegated by program directions either from program offices in HQ or within the Operations Office. These take the form of Memoranda of Agreement (MOA), approved project execution and/or management plans, and memoranda. For example, MOAs exist among many of the DOE Program Offices (such as AAO has with NE), DOE Operations Offices (such as BSO and SSO have with NNSA Service Center), and specific Project Offices (such as AAO has with the DOE SNS Project). Project management plans exist for the larger scoped projects such as environmental restoration projects and for major system acquisitions in which a project charter and execution plan identify delegated authorities.

External Requirements

Some functions performed by the AO/SO are specified by external requirements. These take the form of Federal, State or Local laws and agreements with governmental authorities. Authorities to perform these functions are sometimes simply assumed by the AO/SO Manager. In many cases the AO/SO Manager is the “owner’s representative” for permitting and general regulatory activities. Interagency agreements usually specify responsibilities and authorities by titles and are approved by the Operations Office, Program Office and/or General Counsel.

In the case of real estate actions, which are governed by Secretarial delegation, directives and Federal Regulations, Managers of the AO/SO have often been

delegated authority for real estate actions at their respective sites and for contractor actions under their purview. For example, delegation of this authority to CH Area Managers was through the Field Element Manager by letter (Order No. 00-008.009 from Carnes to Gunn) and is subject to approval by a DOE certified realty specialist.

F. What accountabilities are assigned to the SC AOs/SOs?

Accountability means to be held answerable to a specific position/individual for fulfilling a responsibility for which you have the authority to act. At the present time, there are two distinct models for AO/SO accountabilities. In one model the SO Manager reports directly to the Director of SC. In the second model, the AO Managers report to an Operations Office Manager or to an Assistant Manager within the Operations Office. The SC AO/SO Manager is accountable to:

- 1) DOE SC-1 and/or the Operations Office Manager for stewardship responsibilities of the Laboratory.
- 2) DOE SC-1 and/or the Operations Office Manager for contractor oversight.
- 3) Various DOE Assistant Secretaries and Directors for contractor performance and related mission success, as explicitly identified by the HQ Program Offices
- 4) DOE SC-1 and/or the Operations Office Manager for implementing DOE Contract requirements.
- 5) DOE SC-1 and/or the Operations Office Manager for those areas requiring integrating and formally establishing DOE requirements.
- 6) the Head of Contracting Authority (Operations Office Manager) for Contracting Officer actions.

DOE SC-1 and/or the appropriate Operations Office Manager establish expectations, associated with these accountabilities, for the overall performance of the SC AO/SO Manager.

G. What are the differences among the ten AOs/SOs?

There are many similarities among the SC AOs/SOs, as well as, some significant differences. Attachment #2 includes a description of the differences and an Excel spreadsheet, which compares all ten site offices against a standard set of functions and activities. The SC Functions and Activities Matrix was modeled from the National Nuclear Security Administration restructuring effort.

Based on data provided by the AOs/SOs in completing the SC "As Is" Functions and Activities Matrix, several conclusions concerning the AO/SO roles, responsibilities, authorities, and accountabilities can be made:

- 1) no two AOs/SOs are the same
- 2) the size of the AOs/SOs varies
- 3) the level of authority varies considerably among the AO/SO Managers
- 4) the AO/SO authorities are not always clearly documented and/or consistently applied
- 5) describing a typical or general AO/SO has only limited meaning
- 6) the location and level of authority assigned to the Contracting Officer varies among the AO/SO

- 7) the location and level of authority assigned to Contracting Officer Representatives varies among the AO/SO
- 8) the authority and level of control of the operating funds to manage the operation of the AO/SO varies among the AO/SO
- 9) the AO/SO Manager supervisory reporting varies from SC-3 to the Operations Office Manager
- 10) the source of support (funding and staff positions) for the AO/SO varies
- 11) different Operations Offices under different DOE Program Offices, such as NNSA, EM, and SC provide different levels of support and direction to different AOs/SOs
- 12) even when more than one AO/SO reports to an Operations Office, the level of support from the designated or parent Operations Office varies
- 13) the involvement of the DNFSB varies among the AO/SO
- 14) the permitting requirements for the Laboratories varies, both state-by-state and whether the Lab is only one facility on a larger reservation
- 15) the AO/SO Manager may or may not serve as the facility owner for permitting purposes
- 16) one AO/SO has locations in two different states with different Program leads
- 17) responsibilities are not consistently tied to authorities
- 18) one SO has a non-M&O, FAR –based, contractor reporting directly to them in addition to the M&O Laboratory contractor

A significant difference among the AOs/SOs was the presence or lack of a Contracting Officer (CO) within the AO/SO. In some cases, the CO resides in the Operations Office instead of the AO/SO. In addition, there is an uneven distribution, among the AO/SO for Contracting Officer Representatives (COR). A COR may reside within the Operations Office instead of the AO/SO.

A significant difference among the AOs/SOs was the role of the Operations Office in providing support. For BSO and SSO, their support comes from the NNSA Service Center, which is an NNSA Office. In addition, the Head of Contracting Activity for these two Site Offices comes through NNSA Service Center. The Pacific Northwest SO obtains their support and from the Richland Operations Office, an EM Office. The Pacific Northwest Site Office staff positions are EM positions. The HCA is also in the Richland Operations Office.

Differences in the level of authority assigned to the AOs/SOs were also evident in the ability to authorize spending AO/SO internal operating funds. In some cases, the AO/SO have their own budgets (salaries, awards, training, travel, employee relations, recruiting, etc.) and are expected to manage within those budgets while some AOs/SOs are required to obtain Operations Officer approval for each transaction. Another difference was the number of staff assigned to the AO/SO. The lowest was three staff members and the highest was about 35. One AO/SO has two sites under different DOE Program Offices with different expectations for the AO/SO. One SO has responsibility for a non-M&O FAR-based contractor in addition to the M&O contract. Significant variations were evident in the types and numbers of Operations Office Support staff that assisted the AO/SO.

H. What are the SC performance expectations?

The ultimate goal of the program sponsors is to make the SC Laboratory facilities available to the research community through safe, secure, effective and efficient management of the SC Laboratory. SC has identified a list of high-level performance expectations for the ten SC Laboratories. These expectations are documented standards for decision-making and measuring the results of the Laboratory. The following expectations flow through the SO to the Laboratory contractor:

1. Science and Technology – perform and support outstanding science and technology. Develop and support leading edge enabling technologies that are critical to the DOE program sponsor needs and the nation.
2. Leadership – provide leadership that ensures excellence, relevance, and stewardship in all aspects of the conduct of program activities.
3. ES&H – ensure the safety and health of the workforce and members of the public and the protection of the environment in all program activities.
4. Infrastructure – maintain the infrastructure to support operations in a safe, environmentally responsible, and cost-effective manner.
5. Business Operations – use efficient and effective corporate management systems and approaches to guide decision-making, streamline and improve operations, align resources and reduce costs, and improve the delivery of products and services.
6. Stakeholder Relations – be a good neighbor. Work with the customers, stakeholders, and neighbors in an open, frank, and constructive manner.

I. What functions and activities does the AO/SO perform?

The “As Is” condition includes a description of the functions and activities that are performed by SC to support the successful accomplishment of AO/SO roles and responsibilities. These functions and activities are grouped by Business Systems. Typically, these business systems are owned (developed and maintained) by the Operations Offices. The AO/SO uses these business systems, and associated functions and activities, in their role as the Line Manager for the M&O contractor. These business systems are either required by DOE Orders or provide data and analysis that are needed to make decisions or to comply with DOE Orders. These business systems will be re-examined during Phase II re-engineering. Attachment 3 is a list of the functions and activities, grouped by business systems. Included on the table is a designation (Line or Staff management) of the AO/SO role by the individual AO/SO. This designation is the role of the AO/SO in the “As Is” condition.

Attachments

- 1) Individual AO/SO Involvement in Carrying Out the List of AO/SO Responsibilities**
- 2) Discussion of Key Differences among the Ten Area Offices/Site Offices Responsibilities**
- 3) Consolidated Table for the Area Office/Site Office Functions and Activities**

Attachment #1
Individual AO/SO Involvement in Carrying Out the
List of AO/SO Responsibilities

Roles and Responsibilities	Argonne	Ames	Brookhaven	Fermi	Princeton	Berkeley	Stanford	PNNL	ORNL	TJNAF
Role 1: Contract Management: setting and communicating expectations, integrating DOE requirements, authorizing and funding work and providing feedback to the contractor.										
1. Serve as the DOE Contracting Officer.	L	L	L	L	L	S	S	S	S	L
2. Serve as the DOE Contracting Officer Representative.	L	L	L	L	L	L	L	L	L	L
3. Negotiate and modify the Laboratory contract, as required.	L	L	L	L	L	S-L	S-L	L	S	L
4. Authorize payment of costs and fee under the contract provisions.	L	L	L	L	L	S	S	L	S	L
5. Seek approval of the HCA for the required approvals not delegated to the CO.	L	L	L	L	L	L	L	L	S	L
6. Review and approve contract deliverables.	L	L	L	L	L	S-L	S-L	L	S	L
7. Enforce the contract requirements.	L	L	L	L	L	S-L	S-L	L	S	L
8. Determine the applicability of policy, administrative, operational, and programmatic requirements from all sources (including external requirements). Develop a single set of integrated requirements and place these into the contract.	L	L	L	L	L	S-L	S-L	L	S	L
9. Periodically review the contract and modify to keep current.	L	L	L	L	L	S-L	S-L	L	S	L
10. Provide formal direction and guidance to the contractor.	L	L	L	L	L	S-L	S-L	L	S-L	L
11. Develop contract performance measures and include in the contract.	L	L	L	L	L	S-L	S-L	L	S-L	L
12. Periodically evaluate contractor performance, develop performance ratings and provide feedback to the Laboratory.	L	L	L	L	L	S-L	L	L	L	L
13. Review, approve, and oversee contractor business and administrative systems such as financial, property (intellectual, real, and personal), human resources, litigation, small business, etc. consistent with applicable contract requirements.	L	L	L	L	L	S-L	S-L	L	S	L
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.)	L	L	L	L	L	S-L	S-L	L	L	L
2. Perform program management/implementation as delegated by program sponsors.	L	L	L	L	L	S-L	S-L	L	L	L
3. Serve as the federal project manager for line-item construction and infrastructure projects at the laboratory (as assigned through the PEP).	L	L	L	L	L	L	L	L	L	L
4. Coordinate all DOE and external reviews, evaluations, and inspections of the Laboratory.	L	L	L	L	L	S	S	L	L	L
5. Participate, as appropriate, in reviews, evaluations, and inspections of the contractor by DOE and/or external reviewers of both programmatic and	L	L	L	S-L	L	L	S-L	L	L	L

Roles and Responsibilities	Argonne	Ames	Brookhaven	Fermi	Princeton	Berkeley	Stanford	PNNL	ORNL	TJNAF
operational areas.										
6. Participate, as requested, in the planning and establishment of overall SC expectations and directions and provide feedback.	L	L	L	S	L	S	S	L	S	S
7. Seek approval for activities where authority does not reside within the SO.	L	L	L	L	L	L	L	L	L	L
8. Conduct negotiations with other federal agencies, as appropriate, related to WFO agreements, Technology Transfer (including CRADAs), Interdepartmental Work Orders and other agreements.	L	L	L	L	L	S	S	L	S	L
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.	L	L	L	L	L	L	L	L	L	L
10. Ensure safe, secure reliable, and efficient operations of government assets through oversight and operational awareness, includes ES&H, QA, Security, NEPA, PAAA, Cyber-security, Davis Bacon, and other areas.	L	L	L	L	L	L	L	L	L	L
11. Respond to and provide input to the Annual Field Budget Call and other special financial and budget information requests.	L	L	L	L	L	L	L	L	L	L
12. Assess the adequacy of the contractor's management systems and self-assessment programs.	L	L	L	L	L	S-L	S-L	L	L	L
13. Develop a "sense of the Laboratory", including general knowledge of the Laboratory science and technology programs, as well as, Laboratory operations.	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
14. Provide subject matter experts and support, as requested and available, to HQ-SC, Support Centers, or other SC AO/SO Offices in achieving the overall SC mission. This can include staff expertise for project reviews, readiness reviews, policy development, etc.	S	S	S	S	S	S	S	S	S	S
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.	L	L	L	L	L	S-L	S-L	L	L	L
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.	S-L	S-L	S-L	S-L	S-L	S-L	S-L	S-L	S-L	S-L
3. Serve as the owner for transactions affecting the government's rights in federal assets, such as transfers of interest and execution of permits.	L	L	L	L	L	L	L	S	L	L
4. Maintain effective working relationships and communication with DOE-HQ, the Laboratory, the	L	L	L	L	L	L	L	L	L	L

Roles and Responsibilities	Argonne	Ames	Brookhaven	Fermi	Princeton	Berkeley	Stanford	PNNL	ORNL	TJNAF
respective contractor, and appropriate federal, state and local agencies, including those responsible for regulatory oversight.										
5. Oversee the Laboratory's community stakeholder and media relations programs.	L	L	L	L	L	S-L	S-L	L	S	L
6. Provide feedback to DOE-HQ on the HQ funding, as well as, planning and direction activities that impact the Laboratory site or infrastructure	L	L	L	L	L	L	L	L	L	L
Role 4: Internal Operations: managing the AO/SO staff and administrative systems to assure effective operations.										
1. Manage the AO/SO and assigned staff and associated budgets (i.e. employee relations, recruiting, travel, training, awards, salaries, employee relations, recruiting, etc.).	L	L	L	L	L	L	L	L	L	L
2. Develop appropriate tools and techniques (such as standard operating procedures) to successfully accomplish the assigned AO/SO roles, responsibilities, and functions	L	L	L	L	L	L	L	L	L	L
3. Seek required expertise from the Support Centers to assist the SO/AO as necessary.	L	L	L	L	L	L	L	L	L	L
4. Conduct self-assessments and revise internal AO/SO planning, based on results and lessons learned.	L	L	L	L	L	L	L	L	L	L

L = line management responsibility takes actions or makes final decisions without further review within the limits or conditions established by the source of the authority. Line managers are accountable for the result of their decisions.

S = staff management responsibility supports the actions and decisions of line managers either directly in terms of expert analysis, advice or recommendations or indirectly through products and services that enable the effectiveness of the overall operation. Staff managers are accountable for the quality of their support.

S-L = SO serves partially as line management and partially as staff management for individual functions within the responsibility.

NA = new requirement

Attachment #2
Discussion of Key Differences among the Ten Area Offices/Site Offices

1.0 Issue - Location of the Contracting Officer and impact on the AO/SO

The SC AO/SO Manager role varies among the AO/SOs in the “As Is” condition depending on the presence of the Contracting Officer at the AO/SO, the level of authority assigned to the AO/SO, and the proximity of an AO/SO to an Operations Office. Many of the SC AOs/SOs have both the DOE Contracting Officer and DOE Contracting Officer Representative responsibility for the SC Laboratory contract. In these cases, the AO/SO serves as an integrator and a conduit for interactions (guidance, direction, responses to formal requests, oversight functions, contract negotiations, etc.) between DOE and SC Laboratory. In some cases, the Contracting Officer at the AO/SO has limited authorities. In those cases where the Contracting Officer does not reside in the AO/SO, the CO resides in the respective Operations Office, thereby diminishing the overall authority assigned to the AO/SO Manager.

In the case of BSO, SSO, and the Pacific Northwest SO, the CO does not reside in the AO/SO or the CO has limited authority. For these three Site Offices the Head of Contracting Activity resides in an Operations Office that is managed by NNSA or EM. For those AO/SOs with a Contracting Officer assigned at the AO/SO, the role of the AO/SO is to administer and manage the DOE performance-based contract with the assigned SC Laboratory for the safe, effective, and efficient operation of the SC Laboratory. The AO/SO serves as the steward for the assigned Laboratory in support of the overall SC science and technology mission. A steward is defined as the person or organization that manages or administers the property, finances or other affairs. The AO/SO Manager is also responsible for managing the AO/SO staff and resources

1.1 Area Offices/Site Offices with an assigned Contracting Officer. The HCA is Chicago Operations Office or Oak Ridge Operations Office. Both Operations Offices are managed by SC.

Argonne Area Office
Ames Area Office
Brookhaven Area Office
Fermi Area Office
Princeton Area Office
Thomas Jefferson Site Office

1.2 Area Offices/Site Offices with an assigned Contracting Officer with limited authority. The HCA is the NNSA Service Center which is managed by NNSA.

Berkeley Site Office
Stanford Site Office

1.3 Area Offices/Site Offices without an assigned Contracting Officer. The HCA for PACIFIC NORTHWEST is at the Richland Operations Office which is managed by EM.

Pacific Northwest Site Office
Oak Ridge Site Office

2.0 Issue - Differences in Accountability Associated with the SC AOs/SOs

For the SC Restructuring Project accountability means to be held answerable to a specific position/individual for fulfilling a responsibility for which you have the authority to act. At the present time, there are two distinct models for AO/SO accountabilities. In one model the SO Manager reports directly to (is supervised by) the Director of SC. In the second model, the AO Manager reports to (is supervised by) an Operations Office Manager. Where the SC AO/SO Manager:

- 1) reports directly to SC HQ, then the SO Manager is accountable to DOE SC-1
- 2) reports to an Operations Office Manager then the AO/SO Manager is accountable to the Operations Office Manager
- 3) is a Contracting Officer or whose AO/SO contains a Contracting Officer then the AO/SO Contracting Officer is accountable to the Head of Contracting Authority (Operations Office Manager) for Contracting Officer actions.

DOE SC-1 and/or the appropriate Operations Office Manager establish expectations, associated with these accountabilities, for the overall performance of the SC AO/SO Manager.

Attachment #3
Consolidated Table for the Site Office Functions and Activities