

**“To Be” Condition Report
Office of Science (SC)
Site Office (SO)
Roles, Responsibilities,
Authorities, and Accountabilities (R2A2)**

(rev 18)

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A. Introduction

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

This document explains the desired end state (“To Be” condition) for SC Site Office (SO) roles, responsibilities, authorities, and accountabilities (R2A2s). The desired end state for the nine SC SOs is essentially the same.

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, implementation and/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.

There are two additional “To Be” Condition Reports that are being developed that describe the roles, responsibilities, authorities, and accountabilities for DOE-SC. These two additional documents are for DOE-HQ/SC organization and the SC Integrated Support Center (ISC). There are important inter-relationships between DOE-HQ, SOs, and the ISC and an understanding of these inter-relationships is necessary to ensure that an integrated DOE SC organization and management system is in place.

B. Who are the SC Site Offices?

The nine DOE SC Site Offices are:

Argonne Site Office (ASO)
Ames Site Office (AMSO)
Brookhaven Site Office (BHSO)
Fermi Site Office (FSO)
Princeton Site Office (PSO)
Berkeley Site Office (BSO)
Stanford Site Office (SSO)
Pacific Northwest Site Office (PNSO)
Thomas Jefferson Site Office (TJSO)

In the “As Is” Condition Report, the nine SC Site Offices were identified as either Area Offices or Site Offices. This difference in title was removed in the “To Be” Condition. All nine of the SOs will report to DOE-HQ/SC management (i.e. SC-3, the Chief Operating Officer) and receive technical and business management support from the ISC. The R2A2s for the Oak Ridge National Laboratory reside with the Oak Ridge Office Manager.

C. What is the role of an SC Site Office in the “To Be” condition?

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 policy and direction, the field (SOs and ISC) is responsible for implementing that policy and direction. The SO provides an on-site presence by the Office of Science at each of the Laboratory sites. The specific SC SO roles are:

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

Attachment #1 is a summary table of the Site Office “To Be” roles, responsibilities, authorities and accountabilities and the relationship among them. In performing the four major roles identified above, the SO Manager serves as the line manager.

D. What are the SC 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. Below is a list of responsibilities assigned to each of the Site Offices. In some cases, because of the limited activities performed at an SC Laboratory, not all of the responsibilities will need to be performed by the associated SO. For example, single program sites generally do not have LDRD, so they will not have to perform the LDRD Review Process. The SO performs the following responsibilities:

List of Roles and Associated 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 and Project Implementation (PPI) related responsibilities

- 1) Based on acceptable risk, scope and definition, authorize work through formal processes (such as 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 the contractor's management systems and self-assessment programs.
- 13) Develop a "sense of the Laboratory", including a 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, Integrated Support Center, or other SC Site Offices 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 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.
- 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, etc.).
- 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 Integrated Support Center to assist the SO, as necessary.
- 4) Conduct self-assessments and revise internal SO planning and operations, based on results and lessons learned.

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

Authority is defined as the set of decision-making powers and controls required to fulfill assigned 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. An objective of the Office of Science Restructuring is to establish clear line management accountability through a single federal official for Laboratory performance with the responsibility and authority to integrate administrative and operations requirements into program missions. This single federal official for each SC Laboratory is the Site Office Manager.

The "To Be" Condition Report summarizes the results of a detailed study that was approved by the Director of the Office of Science on March 3, 2004. This study addressed the delegation of authorities within the Office of Science. DOE Orders and other DOE documents were reviewed which led to the assignment of responsibilities and authorities to the different Field Organizations (Site Offices or Integrated Support Center). For DOE Orders, the Site Office Manager will serve as a Head of an Organizational Element (HOE). Delegation of responsibilities and authorities can also occur through a position description for the SO Manager or through an announcement, notice or memoranda. Some authorities can also be re-delegated from SC HQ to the SO Manager. Some key authorities that are assigned to the SC SOs are:

- 1) Contracting Officer (CO) authority involves the signing of contracts, decisions within the contracts (specific approvals that require CO authority), and to modifications of the contract. This Contracting Office authority flows down from the Head of Contracting Activity (HCA) through a warrant. Site Office Managers will serve as Administrative Contracting Officers. Each of the Site Offices will also have a warranted Level III Contracting Officer.
- 2) Contracting Officer Representative (COR) authority involves giving direction to a contractor within the bounds of the existing contract. This authority flows from the HCA or an authorized Contracting Officer and is often assigned to an individual in the SO based on their position, such as a Federal Project Director. An authorization letter from the HCA or CO defines the specific authorities of each COR.
- 3) NEPA authorities flow from DOE Order 451.1B to Heads of Organizational Elements. NEPA approvals require a concurrence from a NEPA Compliance Officer and legal counsel. A NEPA Compliance Officer position can be developed internally at the SO or can be obtained through the Integrated Support Center. SO approval is needed for the contractor to proceed with the NEPA covered action.
- 4) Approval of ES&H documents and authorizing the Laboratory contractor to proceed with an action flows from DOE Orders to the Head of an Organizational Element. Approval to operate certain hazard level facilities is delegated to the SO Managers as a Head of an Organizational Element. Approving Safety Basis documentation is a line management responsibility assigned by HQ Program Sponsors to the Site Offices. SC can also use a Functions, Responsibilities, and Authorities Manual (FRAM) to re-delegate authorities to the SO.
- 5) The SO Manager, as the senior federal official on the Laboratory site, signs facility permits (Federal, State, and local) as the facility owner and, if required, as the facility operator. The required signature authorities are often dictated by the regulatory organization.
- 6) SO Real Property authorities require a concurrence from a certified real estate specialist. Typically, these services are provided by the Integrated Support

Center. Real property actions taken by the contractor require Site Office CO approval.

The Allottee function is not assigned to the SO in the “As Is” condition. In the “To Be” Condition the Allottee continues to reside with the Chief Financial Officer at the Chicago Office and the Oak Ridge Office. The Allottee is responsible for ensuring that costs and commitments do not exceed Congressional appropriations.

Contracting Officer Authorities

The DOE Contracting Officer responsibility and authority is key to the Site Office serving as line management accountable for the Laboratory contract. This Contracting Officer authority involves the following:

- 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 FAR, the DEAR, and the Laboratory prime contracts include specific decisions that require CO authority. The CO authority flows down from the Head of Contracting Activity. The SO CO's warrant provides general, specific and defined limitations of these authorities. 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 Laboratory 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 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. The sources of the requirements and delegation of authority are DOE Order 482.1, 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).

Contracting Officers obtain assistance from Contracting Officer Representatives (COR) whose 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.

Authorities from DOE Policy, Orders, Notices, and Directives

The Site Office Manager is a line management position accountable for Laboratory performance with the responsibility and authority to integrate administrative and operations requirements into program missions. The Site Office Manager serves as the owner and operator of the SC Laboratories. The DOE Policy, Orders, Notices, and Manuals refer to responsibilities and authorities that are assigned to the Head of an Organizational Element. In the “To Be” Condition, the Site Office Manager will serve as the Head of an Organizational Element. Attachment #2 is a table of specific authorities assigned to the Site Office Manager either as the Head of Organizational Element or through delegation from SC HQ.

Program Directions

Roles and authorities can be delegated by program direction documents from the HQ program offices. These take the form of Memoranda of Agreement (MOA), Program Execution Agreements (PEA), approved project execution and/or management plans, and memoranda. For example, MOAs presently exist among many of the DOE Program Offices (such as ASO has with NE) and specific Project Offices (such as BHSO has with the DOE SNS Project). These documents reflect assigned responsibilities and authorities. 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. Generally, these documents and associated authorities will be specific to a particular Site Office.

External Requirements

Some roles performed by the Site Office are specified by external requirements. These take the form of Federal, State or Local laws and agreements with other governmental authorities. Authorities to perform these functions are part of the SO Manager responsibilities as the senior federal official on-site. In many cases the SO Manager is the “owner’s representative” for permitting and other general regulatory activities. Interagency agreements usually specify responsibilities and authorities by titles and are approved by SC, the Program Office and/or General Counsel. Generally, these documents and associated authorities will be specific to a particular Site Office.

F. What accountabilities are assigned to the SC 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. The SO Manager reports to SC-3, the Chief Operating Officer within the Office of Science. The SC SO Manager is accountable to the following individuals:

- 1) DOE SC-1 through SC-3 for Laboratory Stewardship responsibilities of the Laboratory.
- 2) DOE SC-1 through SC-3 for assigned SC Program and Project Implementation activities.
- 3) Various DOE Assistant Secretaries and Directors for assigned Program Implementation activities
- 4) DOE SC-1 through SC-3 for Internal Operations
- 5) the Head of Contracting Activity for Contracting Officer actions.

Attachments

1) Site Office “To Be” Roles, Responsibilities, Authorities, and Accountabilities

Attachment #1
Site Office “To Be” Roles, Responsibilities, Authorities, and Accountabilities

Roles	Responsibilities	Authorities (see attachment #2 for specifics)	Accountabilities
Role1: 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.	Per delegated authority from the HCA	HCA
	2. Serve as the DOE Contracting Officer Representative.	Per delegated authority from the HCA; CO warrant; COR letter	HCA
	3. Negotiate and modify the Laboratory contract, as required.	Per delegated authority from the HCA; CO warrant	HCA
	4. Authorize payment of costs and fee under the contract provisions.	CO warrant	HCA and Alottee depending on the issue
	5. Seek approval from the HCA for those required approvals that are not delegated to the SO.	Per delegated authority from the HCA	HCA
	6. Review and approve contract deliverables.	Per delegated authority from the HCA; CO warrant; COR Letter	HCA, SC-1 (through SC-3)
	7. Enforce the contract requirements.	Per delegated authority from the HCA	HCA
	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.	HCA and DOE Policy and Orders, depending on the issue	HCA, SC-1 (through SC-3)
	9. Periodically review the contract and modify to keep current.	Per delegated authority from the HCA; CO warrant	HCA
	10. Provide formal direction and guidance to the contractor.	Per delegated authority from the HCA; CO warrant; COR Letter	SC-1 (through SC-3)
	11. Develop contract performance measures and include in the contract.	Per delegated authority from the HCA; CO warrant	HCA, SC-1 (through SC-3)

Roles	Responsibilities	Authorities (see attachment #2 for specifics)	Accountabilities
	12. Periodically evaluate contractor performance, develop performance ratings and provide feedback to the Laboratory.	Per delegated authority from the HCA; CO warrant; COR Letter	HCA, SC-1 (through SC-3)
	13. Review, approve, and oversee contractor business and administrative systems, such as financial, property (intellectual, real, personal), human resources, litigation, small business, etc. consistent with applicable contract requirements.	Per delegated authority from the HCA; CO warrant; COR Letter	SC-1 (through SC-3)
Role 2: Program and Project 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 (such as the LDRD Approval Process, Project Directives, Technical Work Plans. etc.).	Per DOE Policy and Orders; CO warrant; COR Letter	HCA, SC-1 (through SC-3)
	2. Perform program management/implementation as delegated by program sponsors.	Per the sponsoring organization	SC-1 (through SC-3)
	3. Serve as the federal project manager for line-item construction and infrastructure projects at the laboratory (as assigned through the PEP).	Per DOE Policy & Orders concerning Project Management and Infrastructure	SC-1 (through SC-3)
	4. Coordinate all DOE and external reviews, evaluations, and inspections of the Laboratory.	SC-1 expectations or DOE Policy or Orders or external regulations depending on the issue	SC-1 (through SC-3)
	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.	SC-1 expectations or DOE Policy and Orders or external regulations depending on the issue	SC-1 (through SC-3)
	6. Participate, as requested, in the planning and establishment of overall SC expectations and directions and provide feedback.	SC-1 expectations	SC-1 (through SC-3)
	7. Seek approval for activities where authority does not reside within the SO.	HCA or per DOE Policy and Orders depending on the issue	SC-1 (through SC-3)
	8. Conduct negotiations with other federal agencies, as appropriate, related to WFO agreements, Technology Transfer (including CRADAs), Interdepartmental Work Orders and other agreements.	Per DOE Policy and Orders	SC-1 (through SC-3)

Roles	Responsibilities	Authorities (see attachment #2 for specifics)	Accountabilities
	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.	SC-1 expectations or sponsoring organization expectations depending on the issue	SC-1 (through SC-3) and other Assistant Secretaries, as required
	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).	Per DOE Policy and Orders, depending on the issue.	HCA, SC-1 (through SC-3)
	11. Respond to and provide input to the Annual Field Budget Call and other special financial and budget information requests.	Per DOE Policy and DOE Financial Orders	Allottee, SC-1 (through SC-3)
	12. Assess the adequacy of the contractor's management systems and self-assessment programs.	Per DOE Orders concerning the specific management system	SC-1 (through SC-3)
	13. Develop a "sense of the Laboratory", including a general knowledge of the Laboratory science and technology programs, as well as, the Laboratory operations.	SC-1 expectations	SC-1 (through SC-3)
	14. Provide subject matter experts and support, as requested and available, to HQ-SC, Integrated Support Center, or other SC Site Offices in achieving the overall SC mission. This can include staff expertise for project reviews, readiness reviews, policy development, etc.	SC-1 expectations	SC-1 (through SC-3)
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, FMFIA, Institutional Plans, and others as well as information gathered through routine operational awareness activities.	Per DOE Policy and Orders concerning ES&H, NEPA, Real Estate, etc.	SC-1 (through SC-3)
	2. Coordinate with DOE-HQ, the contractor and other potential stakeholders to determine the optimal allocation of resources to meet these 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.	Per DOE Policy and Orders depending on the issue	SC-1 (through SC-3)
	3. Serve as the owner for transactions affecting the government's rights in federal assets, such as transfers of interest and execution of permits.	Per DOE Policy and Orders or external regulations depending on the issue	SC-1 (through SC-3)

Roles	Responsibilities	Authorities (see attachment #2 for specifics)	Accountabilities
	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.	SC-1 expectations and/or external regulations depending on the issue	SC-1 (through SC-3)
	5. Oversee the Laboratory's community stakeholder and media relations programs.	SC-1 expectations and DOE Public Affairs/Public Relations Orders	SC-1 (through SC-3)
	6. Provide feedback to SC and other HQ Program sponsors on the HQ planning and direction activities that impact the Laboratory site or infrastructure.	SC-1 expectations	SC-1 (through SC-3)
Role 4: Internal Operations: Managing the AO/SO staff, resources, and administrative systems to assure effective operations	1. Manage the SO, assigned staff, and associated budgets (i.e. travel, training, awards, salaries, employee relations, recruiting, etc.).	Per DOE Orders concerning travel, Human Resources, etc.	SC-1 (through SC-3)
	2. Develop appropriate tools and techniques (such as standard operating procedures) to successfully accomplish the assigned SO roles, responsibilities, and functions.	SC-1 expectations	SC-1 (through SC-3)
	3. Seek required expertise from the Integrated Support Center to assist the SO, as necessary.	SC-1 expectations and DOE Orders, consistent with the need for specific expertise	SC-1 (through SC-3)
	4. Conduct self-assessments and revise internal SO planning, based on results and lessons learned.	SC-1 expectations	SC-1 (through SC-3)

Attachment 2

Site Office Authorities

The following four tables provide a list of Administrative Authorities and Similar Authorities granted to Site Office (SO) Managers as a Head of an Organizational Element (HOE) or equivalent (such as the Head of a Field Organization) for all DOE 3-digit Orders. The source of this list of authorities is the March 3, 2004 memoranda signed by the Director of the Office of Science on this subject. The following tables include only those authorities assigned to the Site Office Managers. The following notes apply to all four tables.

- 1) Due to the scope of SC activities, no nuclear weapons orders were evaluated
- 2) The tables do not address Directives that assign responsibilities to PSOs or CSOs, even if SC-1 has assigned that responsibility to an HOE. Re-delegation by SC-3 to the Site Office Manager is a separate action.
- 3) The SO Manager, serving as an HOE, may request additional redelegations of authority not ascribed to him/her in the tables. Unless prohibited by law, rule, or delegation order, responsibilities and authorities in a directive may be redelegated through SC-3, if necessary.
- 4) Directive responsibilities related to management of a DOE contract, apply only to the cognizant SO Manager serving as the HOE. The HOE in this case is the organization with CO authority for that contract.
- 5) The responsibilities apply to the extent relevant to personnel, facilities, and activities under the HOE's cognizance. For example, DOE Order 420.2A Accelerator Safety would not be relevant to all SOs.
- 6) The SO Manager remains responsible and accountable for protection of workers, information, systems, and property under their cognizance, as well as protection of the public, national security, and the environment from adverse effects from operations under their cognizance.

Part I - For the following DOE orders, HOE includes the Heads of the SC Site Offices because of their responsibilities for DOE facilities.

DOE Order	Originating Office	DOE Order Title	Specific Reference in the Order equal to HOE
110.3	ME	Conference Management	Heads of Departmental Elements
135.1	ME	Budget Execution – Funds Distribution and Control	Heads of Field Elements
151.1B	SO	Comprehensive Emergency Management System	Operations/Field Office Managers
200.1	IM	Information Management Programs	Heads of ... Field Offices
205.1	CIO	Cyber Security	Heads of ...Field Offices
221.1	IG	Reporting Fraud, Waste, and Abuse to the Office of Inspector General	Heads of All Elements

221.2	IG	Cooperation with the Office of Inspector General	Responsible Management Officials
221.3	IG	Establishment of Management Decisions on Office of Inspector General Reports	Responsible Management Officials
224.2	IG	Auditing of Programs and Operations	Heads of All Field Elements
225.1A	EH	Accident Investigations	Heads of Field Elements
231.1A	EH	Environment, Safety and Health Reporting	Heads of Department Elements
241.1A	OSTI	Scientific and Technical Information Management	Heads of Departmental Elements
243.X	SO	Records Management Program	Directors of Field Offices
251.1A	ME	Directives System	Heads of Departmental Elements
252.1	EH	Technical Standards Program	Cognizant ... Field Office Managers
311.1B	ED	Equal Employment Opportunity and Diversity Program	Heads of Field Elements
327.1	ME	Furlough or Reduction in Force in the Senior Executive Service	DOE Elements
331.1B	ME	Employee Performance Management System	Heads of Other than HQ Departmental Elements
341.1	ME	Federal Employee Health Services	Heads of Departmental Elements
360.1B	ME	Federal Employee Training	Heads of DOE Elements
413.1A	ME	Management Control Program	Heads of Departmental Elements
414.1A	EH	Quality Assurance	Field Element Managers
420.1A	EH	Facility Safety	Heads of Field Organizations
425.1C	EH	Start-up and Restart of Nuclear Facilities	DOE and NNSA Line Management
430.1B	ME	Real Property Asset Management	Site/Field Manager
435.1	EM	Radioactive Waste Management	Field Element Managers
440.2B	ME	Aviation Management and Safety	Heads of Departmental Elements
442.1A	ED	Department of Energy Employee Concerns Program	Field Element Manager
450.1	EH	Environment Protection Program	DOE Operations/Field/Site Office managers
451.1B	EH	National Environmental Policy Act Compliance Program	Head of Field Organization
460.1A	EM	Packaging and Transportation Safety	Heads of Operations Offices or Field Offices/Site Office Manager
460.2	EM	Departmental Materials Transportation and Packaging Management	Heads of Field Elements
470.2B	OA	Independent Oversight and Performance Assurance program	Heads of Field Elements
471.1A	SO	Identification and Protection of Unclassified Controlled Nuclear Information	[Named Operations Offices and Others]
471.2A	SO	Information Security program	Heads of Departmental Elements
473.1	SO	Physical Protection Program	Heads of DOE Elements

473.2	SO	Protective Force Program	Heads of Field Elements
474.1A	SO	Control and Accountability of Nuclear Materials	Heads of Field Elements
481.1B	ME	Work for Others	Heads of DOE and NNSA Field Elements
542.2A	ME	Unsolicited Proposals	Heads of Departmental Elements
551.1B	SO	Official Foreign Travel	Heads of Organizations
552.1	ME	Travel Policy and Procedures	Heads of Departmental Elements

Part II – For the following DOE Orders, which address matters limited to Management and Operating Contracts, the HOE is the Head of the cognizant Site Office, since the Site Managers will become Administrative Contracting Officers at the time of stand-up. If this does not occur, the responsibility will be carried out by the cognizant CO on the SO staff.

DOE Order	Originating Office	DOE Order Title	Specific Reference in the Order equal to HOE
143.1	ME	Payments in Lieu of Taxes	Heads of Field Elements
350.1	ME	Contractor Human Resources Management Programs	Heads of Field Elements
350.2A	ME	Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington DC Area	Heads of Field Elements
412.1	ME	Work Authorization System	Managers of DOE Field Elements
413.2A	SC	Laboratory Directed Research and Development	Operations Office Managers
420.2A	SC	Safety of Accelerator Facilities	DOE Field Element Manager
430.2A	EE	Departmental Energy and Utilities Management	DOE Field Elements
433.1	EH	Maintenance Management Program for Nuclear Facilities	DOE Elements
443.1	SC	Protection of Human Subjects	Heads of Field Organizations
482.1	PO	DOE Facilities Technology Partnering Programs	Heads of Field Elements
483.1	PO	DOE Cooperative Research and Development Agreements	Heads of Field Elements

Part III - For the following DOE orders, the responsibilities of the Site Office Manager depends upon the specific authority of the individual/position, as qualified in the last column in the table.

DOE Order	Originating Office	DOE Order Title	Specific Reference in the Order equal to HOE	Organizations that serve as the HFO
130.1	CR	Budget Formulation	Heads of Field Offices	SO Manager for those responsibilities not requiring CFO authority.
137.1A	CR	Plan for Operating in the Event of a Lapse in Appropriations	Heads of Departmental Elements	
320.1	ME	Acquiring and Positioning Human Resources	Heads of Departmental Elements	SO Manager for those responsibilities not requiring DPA.
322.1A	ME	Pay and Leave Administration and Hours of Duty	Heads of Departmental Elements	
361.1	ME	Acquisition Career Development Program	DOE "Career Managers"	SO Manager does not serve as HOE but must complete CO training requirements and ensure SO Level III CO performs required CO training
413.3	ME	Program and Project Management for the Acquisition of Capital Assets	Operations/Field Office Manager	SO Manager for those responsibilities not requiring Certified Real Estate Authority.
440.1A	EH	Worker Protection Management for DOE Federal and Contractor Employees	Heads of ... Field Elements ...	SO Manager with respect to Federal Employees and on-site contractor employees.
470.1	SO	Safeguards and Security Program	Heads of Field Elements: Lead Responsible Offices and Surveying Offices	SO Manager will serving as the Lead Responsible Office.
471.3	SO	Identifying and Protecting Official Use Only Information	None	To the extent SC-1 has established responsibilities for HOE.
472.1C	SO	Personal Security Activities	Managers of the Chicago, ... Oak Ridge, ... Operations Offices.....	SO Manager for those responsibilities not requiring "Manager" authority under Part 710.
520.1	ME	Office of Chief Financial Officer	Heads of Field Elements	SO Manager for those responsibilities not requiring allotment authority
533.1A	ME	Collection from Current and Former Employees for Indebtedness to the United States	Field Organizations	
534.1B	ME	Accounting	Heads of Departmental Elements	

540.1	ME	Departmental Business Instrument Numbering System	Initiating Office Heads Awarding Office Heads	SO Manager does not serve as HOE but will work with the ISC to ensure consistent use of the numbering system.
541.1	ME	Appointment of Contracting Officers and Contracting Officers Representatives	Heads of Departmental Elements	SO Manager to the extent that responsibilities do not require HCA authority.

Part IV – Some DOE authorities are delegated by formal DOE Delegation Orders, Redelegations, and Regulations. The following table tracks these delegations and redelegations, beginning with the statutory reference and concluding with the authorities that are to be assigned to the Site Office Managers under the OneSC restructured organization. There may be some overlap with the DOE Orders.

Authority Category	Statutory Reference	Initial Delegations	Redelegations	Ultimate Delegation	Under OneSC Organization (may also identify specific actions)
Contracting Officer (CO) and Contracting Officer Technical Representative (COTR) Designations	DOE Act § 646	<p>DOE Order 541.1 DEAR 901.6, OFPP Policy Letter No. 92-3 Extant CO Warrants.</p> <p>Current CO warrants are held by the CH and OR Managers, Directors of Acquisition and selected other individuals in CH and OR, and in the CH Area Offices and other Area/Site Offices. Specific limitations on the exercise of Contracting Officer authorities are established in internal CH and OR directives. An HCA or CO designates Contracting Officer Representative by letter.</p>			Field Element Contracting Officer (CO) appointments, including appointment of all Site Managers as Administrative COs, will require reissuance or ratification by SC-3 as the cognizant HCA. The new HCA also must issue an internal directive or other issuance to replace CH and OR directives establishing the limitations on the CO authorities of each contracting officer and contracting officer's representatives by name or by position. So long as the cognizant CO retains authority, his/her COR designations are valid.
Real Property	DOE Act § 646 § 647 AEA § 161	S-1 > ME-1 00-008.00 (12-06-01)	ME-1 ME-1 retained authority for		ME (HQ) and OM (Field) Redelegations 00-008.09 and 00-008.11 would need to be revoked and replaced by new delegations that effect OneSC assignments,

			<p>HQ real estate actions.</p> <p>And</p> <p>ME-1 > OM 00-008.09 and 00-008.11 (12-11-01)</p> <p>ME-1 redelegated authority for real estate actions to the Chicago and Oak Ridge Offices</p>		<p>including the CH and OR responsibilities for providing Certified Real Estate Specialist signatory functions to the Site Offices, in accordance with the SC Service Plan. ME-1 would continue to provide the Certified Real Estate Specialist for HQ real estate transactions.</p>
Personal Property	<p>DOE Act } 642 } 647</p> <p>AEA } 161</p>	<p>S-1 > ME-1 00-008.00 (12-06-01)</p>	<p>ME-1 > ME-60 00-008.18 (12-11-01)</p> <p>Authority to acquire, manage, and dispose of personal property delegated to the Procurement Executive.</p>	<p>Heads of Field Organizations 41 CFR Part 109 DOE Property Management Regulations Field Organizations is defined as Departmental Offices located outside of the Washington, D.C. metropolitan area.</p>	<p>No Change</p>
Safeguards & Security	<p>AEA } 161</p>	<p>S-1 > SO-1 00-030.00</p>		<p>SO-1 > OM (Various)</p>	<p>Directives will need to be modified to change responsibilities that currently apply to named</p>

Operations		(12-06-01)	SO and predecessors delegated certain authorities to field, including Firearms and Arrest Authority.	Operations Office Managers to refer to Site Office Managers. To be consistent with OneSC, responsibilities could be assigned to SC-3 and redelegated, or SC could distinguish between “line management” and “support”. Each manager would have responsibility for S&S of activities under his/her cognizance.
Classification and UCNI	DOE Act § 641 AEA § 141 -149 and AEA § 148	S-1> SO-1 00-030.00 (12-06-01)	SO-1 > Individual Classification Officers 10 CFR Part 1045 DOE O 471.2A DOE M 475.1-1A The Office of Information Classification and Control Policy (SO-12) designates Classification Officers. The Manual requires “[e]ach DOE field element that generates classified information must have a Classification Officer.” Currently, the CH and OR Managers designate Classification Officers who handle classification issues for all site/area offices. and Classification Officers > UCNI Reviewing Officials 10CFR Part 1017 DOE Order 471.1	Classification Officer designations unaffected. Some SOs will qualify as “DOE field elements that generate classified information”, and therefore the SO Manager will have responsibility for assuring Classification Officer services, either within the SO, or from the ISC or another SO. Existing UCNI reviewing official designations remain in effect.
NEPA	PL91-190	10 CFR Part 1021	Heads of Field Organizations DOE O 451.1B The Managers, CH and OR, have the authority to determine that a categorical	While the Managers of CH and OR retain their determination and EA authorities, the Site Office Managers as HOEs will need to satisfy the program requirements of the Order either in-house or through the services of CH or OR.

			<p>exclusion applies, and that an environmental assessment or an environmental impact statement, is appropriate or required. They also have authority to approve and adopt environmental assessments, and to issue findings of no significant impact. Environmental assessment responsibilities may be delegated to the head of a subsidiary Field Organization (e.g., Area or Project Office) after confirming that the subsidiary organization has prepared adequate internal scoping procedures, a quality assurance plan and a public participation plan; has designated a NEPA Compliance Officer; and has adequate DOE legal resources available. This authority has not been redelegated, although authority to determine that a categorical exclusion applies has been delegated to the CH Area Offices upon confirmation that they have the requisite NCO, legal support, NEPA SOPs, QA Plan, and Public Participation Plan.</p>	
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