



U.S. DEPARTMENT OF
ENERGY

Office of
Science

Argonne Site Office Oversight Plan "Facilitating Mission Success"

REVISION 0

Approved by:

A handwritten signature in cursive script, reading "Joanna M. Zuenigold".

Date Issued:

A handwritten date in cursive script, reading "April 28, 2011".

Table of Contents

1.0	ASO Oversight Program Objective	1
2.0	ASO Contract Management	1
3.0	Approaches to Oversight	2
4.0	ASO Oversight Elements	4
5.0	ASO Oversight Responsibilities	8
6.0	ASO Oversight Program Effectiveness	10

1.0 Argonne Site Office (ASO) Oversight Program Objective

The objective of the ASO Oversight Program is to; maintain awareness of site conditions and effectiveness of Argonne core processes and Laboratory Management System; ensure Argonne compliance with applicable requirements; ensure effectiveness of the Argonne Contractor Assurance System; and support ASO evaluation of Argonne performance related to contract expectations. Oversight results enable ASO Management to maintain sufficient knowledge of site and Argonne activities to make informed decisions regarding hazards, risks, and resource allocation, and to evaluate the adequacy, effectiveness and performance of Argonne programs and management systems. ASO employs information obtained through ASO oversight activities, in concert with information available from Argonne systems and operations, in evaluating contractor performance. ASO's Oversight Program incorporates collaborative oversight activities, while retaining a degree of independence that is graded to the maturity level of the Contractor's self-assessment processes.

ASO continues to foster robust implementation of Contractor Assurance Systems (CAS) at the Laboratory through development of stronger, more efficient and effective partnerships with Argonne to facilitate mission success¹. The ASO Manager is responsible for ensuring ASO oversight efforts are in line with DOE goals, balanced, coordinated, appropriately prioritized, and properly consider activity risk level and mission impact. The goals of ASO contract management and oversight processes are to reduce duplicative or burdensome processes that may exist and ensure federal oversight efforts are prioritized in areas of higher risk and greater mission impact.

2.0 ASO Contract Management

Each Office of Science (SC) Site Office serves as the U.S. Department of Energy (DOE) line organization accountable for the management and administration of the Management and Operating (M&O) contract, including federal oversight of the day-to-day activities at the Laboratory under their cognizance. Accordingly, SC federal staff administer the M&O contract and facilitate the performance of the M&O contractor by:

- Establishing formal requirements and expectations through the performance-based contract,
- Monitoring and evaluating contractor performance against those expectations,
- Providing value added feedback to the contractor through a variety of formal and informal mechanisms during the year to facilitate mission success, and
- Holding the contractor accountable for achieving performance expectations.

The ASO Oversight program supports the monitoring and evaluation of the M&O contractor performance against the contractor requirements and expectations. The SC approach to oversight for its performance-based M&O contracts emphasizes a customer-supplier partnership between DOE and laboratory contractors. This approach also places greater focus on mission performance, best business practices, cost management, and improved contractor accountability. Of major importance in contract management is the establishment and monitoring of contract performance expectations, including regulatory, technical, quality, safety, security, and business requirements to evaluate that the Contractor performs to the terms and conditions of the contract. Such actions are performed by the

¹ Attachment A is the partnership agreement executed by ASO, UChicago, and Argonne National Laboratory in December, 2010 signifying this partnership.

Attachment A

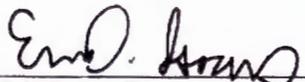
U. S. Department of Energy (DOE), Argonne Site Office (ASO)
UChicago Argonne, LLC (UChicago)
Argonne National Laboratory (Argonne)

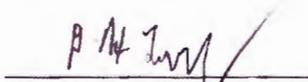
Partnership Agreement

12/21/2010

U.S. Department of Energy has entrusted its national assets at Argonne National Laboratory to UChicago Argonne, LLC to serve the public interest in delivering world-class science and engineering in a safe, effective and efficient manner, while protecting the environment, its workers, and the public. Prime Contract DE-AC02-06CH11357 between the DOE and UChicago establishes the overall commitments, responsibilities and legal obligations of the parties. The leadership of the Argonne Site Office, UChicago and Argonne National Laboratory strongly believe that mission outcomes and stewardship of public assets can be enhanced by nurturing a spirit of partnership based upon shared values, including mutual trust, open communication, and transparency, thereby facilitating excellence in contract execution. Accordingly, the leadership of ASO, UChicago, and Argonne fully commit to the following principles in managing and operating Argonne National Laboratory:

1. UChicago and Argonne are fully responsible and accountable for the sound and safe execution of all Laboratory programs, functions, and deliverables, consistent with the prime contract. UChicago and Argonne are fully engaged in and committed to achieving excellence in all aspects of the Laboratory's science, technology, operational, and business functions.
2. UChicago and Argonne remain committed to performance-based management processes and implementation of a robust contractor assurance system for all mission support functions at the Laboratory.
3. ASO is responsible for performance based contract management and federal stewardship for the safe, secure, effective, and efficient operation of Argonne. Accordingly, a robust and effectively functioning contractor assurance system will allow ASO to revise its oversight function to better leverage the processes and outcomes of the contractor.
4. Argonne, UChicago, and ASO will balance risk with available resources in setting performance objectives with the goal of achieving outcomes more effectively and efficiently.
5. Argonne, UChicago, and ASO leadership will mutually respect and honor each other's management structures and decision-making processes and will assure the partners provide contract direction via proper channels, while striving to solve problems at the lowest appropriate management level.
6. Argonne, UChicago, and ASO will work together in the spirit of cooperation, with communications that are open, honest, transparent, timely, and appropriate.
7. Argonne, UChicago, and ASO mutually embrace a system of self-assessment and continuous improvement in which the parties constructively raise issues, identify shortcomings and consistently develop efficient and effective solutions to problems that could affect performance and/or contract compliance.


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Argonne National Laboratory


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federal Contracting Officers, designated Contracting Officer's Representatives, and other ASO staff. A description of the processes that the ASO utilizes to assure that the terms and conditions of the Laboratory contract are met by the contractor and DOE are found in the ASO Contract Management Plan.

3.0 Approaches to Oversight

ASO emphasizes improved performance driven by contractor accountability in their effective implementation of CAS. In general, ASO oversight focuses on evaluation of core processes and systems performance rather than transactions. ASO oversight activities evaluate the functioning of Argonne Core Processes, systems, programs, and operations, and the line implementation of these elements within Argonne. The basis for ASO oversight flows from the SCMS Quality Assurance and Oversight Management System. ASO adjusts the level of oversight of all Argonne activities based on outcomes of the following core requirements: meeting the PEMP goals and objectives; compliance with contract requirements and standards, meeting schedule; cost management; asset management; and adequacy and maturity of CAS.

ASO employs numerous methods and processes for carrying out its oversight responsibilities. Argonne performance data and information, assessments, and operational awareness activities are utilized in evaluating the adequacy and effectiveness of core processes, programs and management systems. Risk considerations, performance history trends, Argonne self-assessment data, and regulatory/DOE Directive requirements are factored into ASO oversight planning and focus. Divisions, programs, or management systems with significant risks and considered more critical, are likely to be assessed and focused on more frequently. Oversight activities provide a balance between reviews of documentation (e.g., plans, procedures, manuals, records) and observation of actual work activities to evaluate implementation adequacy.

In addition, ASO coordinates oversight activities with Argonne scheduled assessment activities, and may conduct some oversight activities jointly with the Laboratory (e.g., joint assessments, operational awareness activities, etc.). This coordination aids in optimizing the efficient use of resources and aids in helping ASO and Argonne have a shared understanding of issues identified during these activities. In addition, results of assessments performed by external independent oversight entities (e.g., DOE HSS, Federal or State Environmental Protection Agency) are factored into decisions on where to focus oversight efforts. ASO's oversight program also includes sufficient stand-alone assessments of Argonne programs and systems so that ASO maintains an unbiased and independently-formed view of performance, where appropriate or needed.

SC's operational principles are as follows:

- **Line management is accountable for performance.** Argonne and ASO line managers are fully responsible for achieving assigned objectives in a manner that is safe, secure, legally and ethically sound, as well as fiscally responsible.
- **Assurance is reasonable, not absolute.** Argonne is accountable for providing *reasonable assurance* to ASO that the Laboratory's system of management controls when properly implemented provides an effective and efficient means of meeting all applicable requirements while accomplishing assigned missions.

- **Assurance covers the full scope of Laboratory operations.** To provide reasonable assurance, Argonne must identify, monitor, and address existing and/or emerging risks important to the accomplishment of the Laboratory's mission and contract requirements.
- **Assurance is provided by the Contractor.** Argonne management provides performance data to Governance processes, which ultimately provide assurance to ASO.
- **Assurance is an outcome, not a process.** Provisions of reasonable assurance are the result of properly functioning performance management and Governance processes, not a substitute for the processes themselves.
- **Effective Assurance is built on mutual trust between DOE and the Contractor.** Effective assurance and Governance are necessary for ASO to consider modification of its oversight model.

The Argonne CAS is considered effective when: (1) the CAS drives improvements; (2) the CAS self-identifies, corrects, and prevents issues; (3) CAS operational awareness demonstrates effectiveness, which allows ASO assurance oversight activities to be revised; (4) the CAS uses third parties/independent reviews to demonstrate effectiveness of systems and processes; (5) performance metrics demonstrate acceptable levels of performance and/or consistent improvement in performance is demonstrated; and (6) a climate of mutual trust, honesty, and accountability are exhibited by all three parties (i.e., ASO, Argonne and UChicago Argonne, LLC.) as described in the partnership agreement, executed in December 2010.

Elements that ASO considers instrumental in establishing confidence and trust in the CAS program are: (1) timely and transparent disclosure of systems performance, issues, conditions, assessments, and events; and (2) demonstrated performance of CAS in identifying and addressing risk areas resulting in improved Argonne programs and operations; (3) clear pathways and evidence of honest communication between the ASO and Argonne counterparts and management. Timely and appropriate communication is provided to ASO through formal and informal communication and accessibility of UChicago and Argonne intranet websites and databases. UChicago engagement and oversight is a key feature of the CAS.

Argonne is encouraged to identify and evaluate best commercial standards and best business practices and to continuously pursue cost effective and efficient improvements in contract performance. Argonne and UChicago Argonne, LLC shall provide the functional leadership, core processes and policies, and best practices to be deployed under the contract. Argonne shall use the private-sector expertise of its parent organization to improve contract performance as appropriate by: (1) maintaining and enhancing strong ties to UChicago Argonne, LLC.; (2) the exercise of UChicago Argonne LLC accountability over contract operations; and (3) where applicable, maintaining and expanding the application of corporate systems, processes, and human resources to the contract. The specific requirements for a CAS are contained in Clause H.42 of the Argonne contract.

4.0 ASO Oversight Elements

ASO utilizes a wide variety of activities to carry out its oversight responsibilities. These include: (1) PEMP evaluations; (2) review and approval of certain Argonne core processes, systems, plans, and other submissions; (3) operational awareness; (4) assessments; and (5) oversight of the Argonne CAS. The relative mix of each oversight and the number of these oversight activities performed by ASO varies from year-to-year and even within a year depending upon Contractor performance, DOE and SC areas of performance emphasis, and other factors. Details on execution of oversight are found in ASO Contract Management Plan (CMP), ASO Standard Operating Procedures (SOPs) and the Office of Science Management System (SCMS).

4.1 Performance Evaluation and Management Plan (PEMP)

Prior to each Fiscal Year (FY), ASO in conjunction with sponsoring program offices and other SC and HQ elements prepares a PEMP in coordination with UChicago and Argonne. The PEMP formally establishes outcome-based mission expectations and overall Laboratory management performance goals, objectives, and notable outcomes.

ASO, with input from the sponsoring program offices and SC leadership, completes a PEMP evaluation report at the end of each FY. The report is formally presented to the SC Fee Determining Official and staff at SC Headquarters (HQ) for formal fee determination and subsequently forwarded to the Contractor. On a quarterly basis, ASO provides performance feedback as a “snapshot” evaluation of the Contractor performance against expectations. This feedback along with the contractor’s self assessment of their performance to date is used in quarterly discussions with the contractor and laboratory management. To support ASO ratings and evaluation of contractor performance information is obtained from ASO oversight activities, operational awareness, issues management, routine meetings, Argonne self-assessment, CAS outcomes, internal assessments, corporate assessments, external certification/accreditation, performance measures, and event reports. Argonne’s ability to self-identify, correct, and improve performance, as well as provide timely reporting, is taken into consideration in the evaluation process.

4.2 Approval of Argonne Systems, Plans and Other Submissions

ASO’s formal approval of certain Argonne systems, plans, and submissions are required to ensure compliance with laws, executive orders, regulations, policy issuances and procedures, and to protect the government interests. Examples of plans and submissions include, but are not limited to: Contractor Assurance System Description, Integrated Safety Management System, Worker Safety and Health Program Plan, Work-for-Others Proposals, Procurement, Property, Quality Assurance Plan, etc. ASO staff formally performs a thorough review of annual reports, documents, updates, major changes and recommend approval when appropriate. In addition, ASO thoroughly reviews development and content of Argonne’s Laboratory Management System (LMS) and other site-wide systems. Information gathered from ASO’s monitoring of Argonne program documentation and annual reports is a major source of information for assuring contractor performance.

4.3 Operational Awareness and Assessments

Through operational awareness activities, ASO verifies: efficiency and effectiveness of operations; long-term protection and safety of the public and site workers; protection of the environment; and that DOE's assets and resources are maintained and protected.

Operational awareness activities are the routine interactions between ASO and Argonne that provide a basis for comprehensive monitoring of contractor operations and performance. ASO operational awareness activities are documented in written notes, minutes from meetings, and entries into SMART databases: ASO Oversight Activities, ASO Issues Tracking and ASO Document Logging. Identified issues and weaknesses are resolved through various means: discussion with appropriate levels of Argonne staff or management, referral to other ASO Subject Matter Experts (SMEs), technical direction letters, corrective actions, and inclusion in the PEMP evaluation remarks. Problematic systems, program or subject areas identified. Higher risk activities receive increased focus and higher priority of ASO oversight activities.

Operational awareness activities include the planning, implementation, and evaluation of work and work control processes; and the implementation and effectiveness of the Argonne systems. Implementation of Argonne core process and systems is verified by ASO staff through routine interaction and review of information gathered from each discipline or program. A list of ASO operational awareness activities elements and a brief description of each of these activities follows:

Meetings – ASO management meets weekly with Argonne Management to discuss Contractor performance. Counterparts may meet on a more or less frequent basis to discuss and address issues pertaining to laboratory performance. ASO staff conducts routine and issues management meetings with Argonne staff. Observation of Argonne meetings provides ASO personnel with an opportunity to gather information on upcoming activities, examine contractor practices, and scrutinize overall work planning and execution and communications processes. Specific meetings may include: division operations meetings, pre-job briefings, experiment safety reviews, Argonne and division committee meetings, project status review meetings, work planning and control meetings, incident investigations and post-work evaluations. Meetings with Argonne to discuss results from ASO oversight activities provide a valuable opportunity to exchange information, discuss issues, and agree on resolution of findings, concerns, and observations.

UChicago-Argonne senior leadership also provides routine CAS updates to ASO management throughout the year as part of standing UChicago-ASO meetings. UChicago routinely provides access to and shares management information with DOE through a combination of informal and formal mechanisms. UChicago senior leadership conducts standing and impromptu meetings throughout the year with the Argonne Site Office (ASO) to provide information, obtain input, feedback and address issues as they arise. In terms of formal mechanisms, the ASO Manager and other selected members of ASO staff are invited to regularly attend meetings of the Board of Governors. In addition, UChicago provides: access to important corporate governance records, including Committee and Board minutes; executive summaries and verbal closeouts to ASO following programmatic assessments; and access to detailed information regarding the fulfillment of corporate commitments to the prime contract.

Ongoing Interactions – ASO staff and management rely on ongoing interactions with their UChicago-Argonne and Laboratory counterparts as a major part of communication and to maintain awareness

of daily operations. Informal discussions/meetings, electronic mail and phone calls requesting information, and reading of web pages are used to quickly learn of activities not readily communicated by the other means listed above. Information from ongoing interactions is used to substantiate successful program implementation, issues, contract performance, or other items that may need to be elevated to ASO management.

Walkthroughs and Observations – Walkthroughs are a key component of ASO operational awareness activities and oversight. Information from walkthroughs and observations are captured in ASO SMART databases and are qualitatively analyzed for trends on a quarterly basis. The results of these analyses are shared with the Laboratory, or are incorporated in to the PEMP evaluation. Activities involve observation of conditions where work is being performed, interacting with contractor personnel responsible for performing the work, and observing activities in progress. Walkthroughs and observations provide a "snapshot" of workplace conditions. The main objective is to collect general information on conditions associated with the work and on issues requiring additional evaluation. Walkthroughs and observations are generally unstructured oversight activities that spot-check appropriate work planning and controls, and may focus on specific functional areas or disciplines, work authorization and control documentation, hazard controls, concerns of the workers, the workers' knowledge of hazards associated with their work, etc. ASO's Environmental Safety & Health Division (ESHD) perform the majority of walkthroughs however, Infrastructure, Programs & Projects Division (IPPD) and Business Management Division (BMD) staff and ASO senior managers also perform walkthroughs of facilities for projects or reviews. The frequency of activity is risk based according to the level of hazard and activity, or high visibility of the operations.

Surveillances – Surveillance is a slightly more formal oversight activity that involves observation of specific work planning and work activities to evaluate hazards identification, analysis, mitigation, and controls that are associated with the specific work being conducted. Surveillances are used to evaluate the execution and implementation of Argonne programs and compliance with DOE requirements and standards. Surveillances focus on specific work activities and evaluate adequacy of personnel training and qualification, adequacy of and adherence to administrative controls, effectiveness of engineering controls, effectiveness of specific Argonne programs, and overall performance. ASO surveillances are also documented within ASO SMART data bases to facilitate operational awareness and trending.

Issue Management - Both ASO and Argonne individually develop and implement databases for collecting assessment information and observations of operational performance. The Argonne Issues Management Tracking System (IMTS) is used to appropriately document and determine resolution of issues. The Argonne Issues Management process recognizes issues identified by any level of staff, line management, and by the highest levels of senior management. Issues can also originate from external assessments, independent assessments, management assessments, inspections, nonconformances, walkthroughs, lessons learned, worker feedback, or other review activities. The ASO Issue Tracking system is used primarily to track the results of issues raised by ASO staff from operational awareness activities and assessments. This system is used to communicate issues and track closure/mitigation of issues.

Incident and Occurrence Follow-up – ASO monitors the Argonne response and management of incidents and occurrences, including investigations, causal analysis and follow-up. Events may include security, accidents and injuries, environmental releases, damage to equipment or structures,

or failure of safety systems to perform as intended. Argonne develops and provides ASO performance analysis reports to identify trends to enable management to take appropriate mitigating actions.

4.4 Assessments

ASO uses a risk-based assessment approach in planning its formal oversight activities which considers Argonne self-assessment activities, third party assessments and routine operational awareness. Annually, ASO develops a rolling three year Integrated Assessment Schedule (IAS) designed to minimize overlaps of assessments, promote cooperative assessments and address high risk areas. The ASO IAS takes into account the Argonne IAS and HQ reviews. Joint reviews with Argonne are performed to promote collaboration. Goals for assessments are specified in the ASO Annual Performance Plan. All ASO assessment activities are performed in accordance with SCMS procedures.

ASO Functional Area Reviews are in-depth assessments of Argonne programs and operations performed to verify the adequacy of Argonne management systems and compliance of Argonne operations with stated requirements. These activities are performed by ASO in all functional areas, including Quality Assurance, Budget, Business Management, ES&H, Security, Infrastructure, Project Management, and Facilities, as appropriate. The objective of a Functional Area Review is to determine the effectiveness of specific programs across the Laboratory and to identify programmatic weaknesses before they become significant issues. ASO may also perform “for cause” reviews to evaluate programs or areas where weaknesses have resulted in poor performance of systems, inefficient operations, or occurrences and incidents. ASO utilizes resources from the SC Integrated Support Center, Headquarters, other Site Offices, and support contractors in performing reviews:

Readiness Reviews and Assessments (RAs) are an evaluation of operations, activities, or facilities before start-up or restart to determine whether they can be conducted safely. ASO performs on new operations, activities, or facilities, and/or those that were suspended for reasons relating to operational safety. ASO personnel may observe readiness reviews performed by the contractor, or may participate as members of DOE teams assigned to independently validate contractor reviews. Readiness reviews and assessments may require review of authorization basis documents, operational procedures, program documents, and special safety program documents. These efforts may also entail observation of work activities, evaluation of personnel training and qualification, walk-downs of systems and equipment, and interviews with personnel.

External Assessments – External assessments are performed by organizations outside of Argonne and ASO, such as Illinois Environmental Protection Agency (IEPA), and other third parties. DOE HQ performs assessments or reviews that are coordinated through ASO. ASO works with Argonne to ensure that third party independent reviews are scheduled and conducted to support demonstration of program effectiveness in accordance with CAS. Argonne’s external certification audits to the ISO9001 and ISO14001 standards are completed by its International Organization for Standardization (ISO) Registrar. Argonne arranged third-party assessments are evaluated by ASO for value and depth of coverage and are utilized during development of the ASO IAS.

Corrective Actions - ASO reviews the extent and effectiveness of the Contractor's corrective action system in responding to internal (self-assessments) or external assessments (third-party or federal oversight). ASO has access to the Argonne IMTS and DOE systems (ORPS, NTS, etc.) to verify completion of corrective actions. As the Argonne CAS matures, the vision is for ASO to shift to validation of corrective action closure on an as-needed basis and focus on looking at system effectiveness for process and systems related to corrective action development and closure. ASO also provides feedback to Argonne during development of causal analysis and corrective action. For DOE lead assessments, ASO approves corrective action plans and verifies closure of findings.

4.5 Oversight of CAS

ASO determines the effectiveness of the CAS by evaluating its various elements, including: (1) the frequency, breadth, and depth of the internal independent assessments; (2) the rigor of line management self-assessments; (3) the frequency, breadth and depth of third party audits, peer reviews, independent assessments, and external certification/accreditation to national/international management system consensus standards [e.g. ISO 9001, ISO 14001], (4) use of performance measures and lessons learned; (5) Argonne oversight personnel and SME technical expertise and qualifications; (6) the number and severity of findings identified by CAS and those cited by external assessments; (7) Argonne's demonstrated success in self-identifying and correcting problems; (8) the effectiveness of completed corrective actions; (9) the existence of rigorous and well-documented programs; and (10) sustained management support for the Contractor Assurance System.

Annually, ASO reviews the CAS effectiveness determination and assurance statement. As part of this review, the UChicago CAS Description, implementing processes descriptions and systems data are examined, as well as, evidence of self-assessment of the CAS². ASO also reviews Argonne's Annual Integrated Safety Management System Declaration to verify that Argonne has self-identified vulnerabilities, as appropriate, and continues to have an effective ISMS. Other routine and annual reports developed by Argonne are reviewed by ASO staff (SMEs, FRs, Federal Project Directors, CORs, etc.) to verify viability of programs. ASO also reviews information and outcomes from Argonne's Integrated Assessment Program to further evaluate CAS. Various aspects of the Argonne Integrated Assessment Program include: management assessments, line management self-assessments, independent assessments, internal audits, Board of Governors assessments, external assessments, project reviews and third party certification assessments. To enhance overall operational awareness, ASO may participate as an observer or team member in a number of Argonne assessments.

Weaknesses in Argonne's CAS may necessitate increased oversight of specific transactions; increase in ASO reviews and/or ASO requested external reviews. ASO oversight activities focus on assistance and emphasis on Argonne to improve its Contractor Assurance System to an acceptable level. Conversely, if continued effectiveness and maturity of the Argonne CAS is demonstrated, ASO may revise its level and/or mix of oversight activities accordingly.

² In addition to Laboratory self-assessments, UChicago established a CAS Oversight Committee within its Board of Governors.

5.0 ASO Oversight Responsibilities

ASO Managers (ASO Manager and Deputy Manager) – The ASO Manager executes DOE line management oversight over Argonne operations, functions and facilities. The ASO Manager is responsible for ensuring that Argonne programs meet the overall expectations of the contract. This includes ensuring ASO operations are balanced and appropriately take into account mission-relevance, programmatic risk, and long-term cost to the Department. The ASO Manager maintains ultimate responsibility for the planning, execution, and quality of ASO’s oversight activities. ASO’s Manager provides overall leadership for ASO programs, utilizing oversight results to make decisions regarding Argonne performance, allocation of DOE resources, direction of ongoing projects and programs, and resolution of issues or problems identified. ASO Managers also request assistance and support from the SC Integrated Support Center as needed to perform accomplish oversight responsibilities.

Business Management Division - The ASO BMD includes Contracting Officers, and other Administrative and Business subject matter experts. The BMD supports 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. From an oversight perspective, the BMD coordinates reviews of contractor performance for purpose of evaluating compliance with the prime contract terms and conditions. The BMD is also responsible for the oversight of the Laboratory’s core processes for business development, contract management, financial management, and procurement.

Environment, Safety and Health Division – The ASO ESHD consists of Facility Representatives (FRs) and ESH subject matter experts. Oversight performed by FRs provides ASO Managers with insight into the effectiveness of Argonne’s work performance and practice. This includes implementing an oversight program that focuses resources on selected assessments, operational awareness activities, performance measure monitoring and improvement, and monitoring Argonne systems and programs. The FR role involves routine presence in Argonne facilities and participation in operational awareness activities to ensure the application of ISM core functions to all work. Each ASO FR monitors the work at the assigned facilities to ascertain appropriate planning and work performance within the approved safety controls. FRs identify and evaluate safety and health issues and concerns, and work with the contractor to diagnose root causes for problems and identify short-term compensatory measures and/or long-term solutions, and follow problem resolution to a satisfactory conclusion.

ASO ESHD includes subject matter experts in the major disciplines related to ESH (e.g., environment, emergency management, health physics, industrial hygiene, nuclear safety, and occupational safety). Each FR is also an ESH subject matter expert depending upon their education and technical expertise. ESHD staff has substantial expertise and experience in one or more functional areas important to ensuring safe operation of Argonne facilities. ESHD utilizes a mix of operational awareness and assessments to adequately verify that Argonne systems are functional and adequately implemented. ESHD is responsible for oversight of ESH related Argonne systems and programs, including: Integrated Safety Management System, Environmental Management System, Worker Safety and Health Program, and Radiation Protection Program.

Infrastructure Programs and Projects Division (IPPD) – The ASO-IPPD includes engineers and physical scientist serving in the role of Federal Project Directors. IPPD executes the lead role within ASO for the safe and efficient conduct of all EM environmental restoration projects, SC line item projects, Infrastructure General Plant Projects (IGPP), Accelerator Improvement Projects (AIP), Excess Facility projects and other projects at Argonne, including those related to energy efficiency. The IPPD is

responsible for DOE oversight of site infrastructure; including facility mission readiness, aspects of asset management, space banking, and maintenance. The Program/Project Engineers and Managers monitor progress against established schedule milestones and budgets to ensure that each project and assigned program meets ASO quality objectives. Other oversight roles include ensuring that ESH is built into assigned projects or programs from planning through implementation, performing project status, including: design reviews, reviewing ongoing physical construction and ESH walkthroughs, project reviews and serving as the point of contact with Headquarters Program Managers on project and program status.

COR Designation – The ASO COR(s) are designated by the CO(s) to advise and assist the Site Manager/CO(s) in management of the contract. COR(s) are designated in writing to act as an authorized representative of the CO for specified functions in accordance with DEAR 970.242. The Contractor will receive a copy of the written COR designation from the Contracting Officer. It will specify the extent of the COR’s authority to act on behalf of the Contracting Officer. COR(s) will be selected for their specific area of expertise and training.

6.0 ASO Oversight Program Effectiveness

ASO utilizes self-assessment to ensure it has deployed the tools to achieve effective line management oversight of Argonne operations and facilities. ASO assesses the effectiveness of its oversight Program through three primary mechanisms: External Reviews and Assessments, ASO Annual Assessment Report, and ASO self-assessments.

External reviews and assessments, including those performed by SC, provide a source of independent data that is used to assess the effectiveness of the ASO oversight program and may lead to corrective action plans and opportunities for improvement. Annually, ASO develops an Annual Performance Plan (APP) which includes goals and objectives related to oversight of the site contractor. At the completion of the fiscal year, ASO prepares an Annual Assessment Report, which documents a management self-assessment of performance against the commitments made in the APP. In doing so, the adequacy and rigor of ASO oversight activities are summarized along with any corrective actions or other measures designed to mitigate risks to operations. Finally, ASO performs periodic self-assessments (facility representative, Annual ISM declaration, etc.) to document the adequacy of oversight programs and activities.