



U.S. DEPARTMENT OF
ENERGY

Office of
Science

Argonne Site Office (ASO)

Annual Performance Plan Fiscal Year 2011

October 2010

A handwritten signature in black ink that reads "Joanna M. Livengood".

Joanna M. Livengood, Manager
Argonne Site Office

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Manager's Introduction

ASO progress against the FY2010 Annual Performance Plan objectives and measures was a combination of notable successes and efforts that fell short of planned objectives. SC's new management team for ASO (Manager and Deputy Manager, selected in June 2010) focused on improved operational performance, where needed. Accordingly, ASO instituted Quarterly APP reviews using MDSS, reestablished formal action tracking, and worked toward enhancing ASO's use of resources to support gaps in training and needs for support contractors to augment oversight responsibilities.

ASO also focused on developing a stronger working relationship with the contractor built on trust to facilitate mission success, while holding the M&O accountable for performance. Successes included certification of Argonne's compensation program and approval of the UChicago Argonne Contractor Assurance System Description (CASD). The Site Office and Argonne collaborated to achieve CD-0 approvals for the Advanced Photon Source Upgrade (APS-U), the Materials Design Laboratory (MDL), and a CD-2b/3 for the Advanced Leadership Computing Facility-2 (ALCF-2). Other notable ASO successes included Argonne's award of the Blue Gene Q supercomputer and effective oversight of ARRA projects for SC, EM, and EERE, as noted by the Office of Inspector General. In support of EM, FY2010 successes included the demolition of the Chicago Pile – 5 (CP-5) reactor and numerous shipments of transuranic (TRU) shipments to the Waste Isolation Pilot Plant (WIPP). ASO project managers played a significant role in these shipments, particularly managing federal interfaces with regulators.

Argonne's Nuclear Footprint Reduction & Deactivation Plan (NFRDP) remains a significant challenge for both the Laboratory and ASO. The site made considerable progress during FY2010 toward establishing 10CFR 830 compliance and completing a number of important risk reduction initiatives. ASO recently verified the laboratory's declaration to categorize B205 K-wing as a <Haz Cat 3 facility. DOE approved its Safety Evaluation Report (SER) for B306 (Haz Cat 3). ASO played a key role in the final strategy to move the facility from Haz Cat 2 status based upon establishing boundary controls for criticality. This progress did not come without a number of shortcomings. Argonne provided its safety basis documents in a timely manner, but none was readily approvable. Laboratory management took aggressive steps to mitigate vulnerabilities in the 4th quarter. ASO continues to oversee their progress and recent results were encouraging, however completing all NFRDP actions in FY2011 will remain a significant challenge to both ASO and Argonne.

ASO developed its FY2011 Annual Performance Plan (APP), primarily based upon results from our quarterly performance reviews during FY2010 and our recent ASO Leadership retreat, held September 9, 2010. During the retreat, we examined our performance over this past year, recognized areas that still need improvement or further attention, and accordingly outlined our FY2011 objectives, measures, and targets. ASO will continue to focus on improved operational performance both within the site office and at the laboratory. We look forward to the challenges ahead and will continue to seek SC-3 support to achieve mission goals during FY2011.

ASO Annual Performance Plan

ASO Management prepared the FY2011 Argonne Site Office Annual Performance Plan (APP) to satisfy the following objectives:

- Establish clear performance goals, objectives and measures for ASO including those that address the Deputy Director for Field Operations (DDFO) expectations for Fiscal Year (FY) 2011;
- Communicate ASO goals and expectations to employees and provide linkages to individuals performance plans;
- Communicate ASO planning priorities to the DDFO;
- Create a basis for strengthening and evaluating performance, conducting self-assessments, and achieving continuous improvement; and
- Create the basis for on-going ASO performance reviews and the FY2011 Annual Assessment Report.

The ASO APP is the highest-level document that ASO staff members need to refer to in order to understand the DOE, SC, and ASO priorities and performance objectives. The content of the ASO APP is written in accordance with the guidance provided by the Office of Science DDFO dated July 28, 2010, Subject: “Annual Planning: Fiscal Year (FY) 2011 DDFO Goals, Objectives, Oversight Plan, and Guidance for Annual Performance Plans and Assessment Reports.”

Argonne Site Office Organization

ASO is a DOE line management organization reporting to the Office of Science DDFO. ASO is physically located at Argonne National Laboratory (ANL) in Illinois. ASO is a technical and business management organization comprised of experienced, talented, and dedicated professionals.

ASO has five management positions: the ASO Manager, the ASO Deputy Manager, and three Division Directors. Current approved staffing is 23 FTEs. With the retirement of an employee in September 2010, ASO enters FY2011 with one vacancy. See Attachment 1 for the current ASO organization chart, dated September 13, 2010.

Mission and Function

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

The SC-Headquarters organization establishes policy and direction while the field organizations are responsible for implementing that policy and direction. Each Site Office is responsible and accountable for the management of an assigned laboratory contract and oversight and evaluation of the operational and management performance of the assigned laboratory contractor. ASO

administers the Argonne contract. Argonne is a multi-program, government-owned, contractor-operated facility with a site and facilities in Illinois and is one of ten world-class, contractor-operated laboratories under the management of SC. Comprising the SC Integrated Support Center (ISC), the SC Chicago Office (SC-CH) and SC Oak Ridge Office (SC-OR) provide direct technical and administrative assistance to ASO through an approved Service Plan.

ASO is responsible for performing a set of functions designed to ensure ASO successfully achieves its site office mission. In effectively performing these functions, ASO maintains operational awareness of the Laboratory's science and technology programs, business and technical operations, performance, and conditions.

Section 1 – DDFO's FY2011 Performance Goals and Objectives

The table below highlights ASO measures and targets for FY2011 aligned with the DDFO goals specified in his July 28, 2010 guidance. Section 2 provides the additional objectives, measures and targets that are specific to the ASO organization and do not fall within any these goals.

DDFO GOAL	ASO OBJECTIVE	ASO Measure	ASO Target
Improve our Operation	Prepare the FY 2011 ASO Annual Performance Plan (APP)	Transmit ASO's FY 2011 APP to the DDFO in accordance with guidance	10/01/2010
	Conduct an assessment of the FY2010 ASO performance against APP	Issue the FY2010 Annual Assessment Report	11/01/2010
	Update ASO staffing analysis	Submit FY2011 ASO Workforce Plan, including: <ul style="list-style-type: none"> • Assess ASO Facility Representative Program • Align with ASO's Oversight Program (i.e. CAS) 	3Q2011

	Implement effective ASO management systems and procedures that are consistent with SCMS procedures field office roles, responsibilities, authorities, accountabilities, and incorporating independent assessments	Prepare, approve, and maintain ASO Management systems. ASO program descriptions and SOPs are instituted and maintained including: <ul style="list-style-type: none"> • ASO CMP • QAPD • COOP • ISMSD/FRA • ASO SOP Updates 	09/30/2011
	Revise ASO oversight model consistent with SC CAS guidance	Issue updated ASO Oversight Program Description	2Q2011
Improve our Laboratories	Ensure Contractor Assurance Systems are effectively implemented	Participate/evaluate in three or more UChicago or Argonne led effectiveness reviews	09/30/2011
	Evaluate Laboratory's efforts to address the Cost of Doing Business initiative	Conduct ASO assessment	3Q2011
Bring Order to Chaos	Reaffirm the federal and contractor roles consistent with DOE's Management Principles	Develop and sign an agreement with ANL that sets forth the operational principles that govern the partnership.	1Q2011
	Support DOE and SC corporate needs and initiatives.	Participate in three or more non-ANL program and project reviews, and similar activities (e.g., PMR, PERT, SCMS updates, accelerator safety working group, CAS peer reviews, project reviews, etc.)	09/30/2011

Help our Laboratories be Successful	Establish a ASO Integrated Assessment Schedule for FY2011	Schedule assessments that are within ASO's control and coordinate with SC Senior Nuclear Safety Advisor (SNSA), as appropriate Seek/secure necessary resources from the ISC or support contractors	10/01/2010 At least 90 days of review start
	Assure Argonne conducts programs and projects using sound management practices Assure Argonne conducts its business systems/operations effectively Assure Argonne conducts its ES&H systems and operations effectively	ESB CD-2 Independent Project Review (IPR) ESB Final Design Review APS Upgrade Conceptual Design Review APS Upgrade CD-1 Independent Project Review (IPR) FIMS Validation Audit of Advanced Leadership Computing Facility user rates Review of Argonne Procurement System for re-certification Review of Argonne Compensation System processes Review of Argonne Property System Review, evaluate, and assure readiness of ESB subcontract award package for IRB/Business Clearance review(s) Review and verify implementation of all Safety Management Programs (SMPs)	Nov 2010 2QFY2011 3QFY2011 3QFY2011 3QFY2011 4QFY2011 4QFY2011 3QFY2011 4QFY2011 30 days following laboratory submittal April 2011

		Review and approve all Emergency Planning Hazard Assessments (EPHAs) and Emergency Hazard Surveys	June 2011
	Conduct joint and independent walkthroughs, reviews, evaluations, and assessments of the contractor in programmatic and operational areas to ensure the adequacy of the contractor's management and administrative systems to manage the program work.	ASO records SMART entries for Federal Stewardship activities planned, executed and completed.	Within 14 working days of oversight activity

Evaluate our Contractors Fairly	Finalize FY2011 ANL PEMP	Incorporate PEMP into contract (Appendix B)	10/01/2010
	Perform an FY2010 end-of year evaluation of ANL contractor performance	Complete draft evaluation and submit to SC-32	10/15/2010
		Finalize evaluation and transmit to the contractor	12/15/2010
	Provide timely feedback of contract performance	Perform FY2011 quarterly reviews of Argonne contract performance	January 2011 April 2011 July 2011
	Prepare the FY2012 ANL PEMP	Submit draft PEMP to SC-32	4Q2011

Section 2 - Specific ASO FY2011 Objective, Measures and Targets

ASO OBJECTIVE	ASO Measure	ASO Target
<p>Implement a robust CAS within ASO</p> <ul style="list-style-type: none"> - ASO self-assessment processes are active and effective - ASO is a self-critical organization and actively seeks improvements - ASO commonly understands our federal role and practices it every day - ASO, UChicago, and Argonne consciously work together on achieving a more trustful and transparent relationship - ASO, UChicago, and Argonne share a common view of risks to operations or understand differences - ASO CAS documents are prepared, approved, staff is trained, and self assessment is conducted in preparation for the FY2012 CAS Peer Review 	<p>Conduct ASO Self-Assessment on Internal Operations in accordance with QAPD/SCMS</p> <p>Conduct joint partnership workshop with UChicago Argonne LLC</p> <p>Outcomes from Argonne's Enterprise Risk Management Program and ASO's Operational Awareness are similarly aligned as evidenced by PEMP quarterly reviews/contract evaluations</p> <p>Prepare checklist/schedule/ Conduct training Conduct Mock Review</p>	<p>4Q2011</p> <p>2Q2011</p> <p>January 2011 April 2011 July 2011</p> <p>2Q2011 3Q2011 4Q2011</p>
<p>Deliver on our Commitments</p> <ul style="list-style-type: none"> - ASO actively tracks organizational commitments - Necessary resources are identified in a timely manner, sought, secured, and acted upon 	<p>Initiate ASO Issues Management System</p> <p>Assure flow down of ASO commitments into individual employee performance plans</p> <p>Award SpectraTech task for reviewing Argonne Safety Management Programs (SMPs)</p> <p>Complete build-out of ASO conference room</p>	<p>01/10/2011</p> <p>12/30/2010</p> <p>1Q2011</p> <p>2Q2011</p>

<p>Be an Enhanced Learning Organization</p> <ul style="list-style-type: none"> - Encourage ASO employees to visit other organizations for continuous improvement opportunities - ASO training is encouraged and each employee has an IDP - Employee certification programs (i.e. TQP, PMCDP, and ACMDP) are active and current within ASO - Enhance ASO Supervisory capabilities 	ASO participates in 5-6 visits/details	09/30/2011
	Supervisors approve employee IDPs	01/30/2011
	Employees are appropriately certified; Certification goals are identified in employee PDs, performance plans/IDPs	As Required
	Develop/maintain ASO Management report for certification	Quarterly
	Current and new supervisors will accomplish at least 50% of required leadership, managerial training for the two year requirement period	9/30/2011

Section 3 - ASO Oversight Program

An important component of ASO's FY2011 APP is to remedy shortcomings in the documentation of its oversight program, beginning with feedback provided by the HSS July 2009 Special Review of Safety, Health, and Emergency Management Programs at Argonne National Laboratory and implementation of SC's new contract H clause for Contractor Assurance System. ASO's will capture its updated oversight program/approach during FY2011 and in accordance with commitments stated within this APP in a yet to be issued ASO Oversight Program Description (OPD). The OPD will support ASO's Contract Management Plan and include references to our QA Program Description, and ISM System Description. ASO is developing on-going improvements and refinements to our oversight approach consistent with the Office of Science Management System (SCMS).

DOE Policy 226.1A, DOE Policy Oversight Policy and DOE Order 226.1A, Implementation of DOE Oversight Policy, establish the requirements for ASO to develop an oversight function to:

- (1) ensure protection of the public, workers, and the environment for work performed at ANL,
- (2) ensure that contractor and ASO oversight programs are comprehensive and integrated, and
- (3) ensure that Argonne and ASO products and services meet or exceed customers' expectations.

In January 2010, ASO modified the DOE contract with UChicago Argonne LLC to add a new H Clause that addressed SC expectations for contractor assurance. In September 2010, the ASO Contracting Officer approved UChicago Argonne LLC's Contractor Assurance System Description (CASD) and removed DOE O 226.1A from its Contract Requirements Document (CRD).

ASO's Oversight Program includes the following elements:

- (1) Operational Awareness
- (2) Functional Reviews/Assessments
- (3) Contractor Performance Evaluation
- (4) Self Assessment

Beginning in FY2011, ASO is adopting/enhancing internal mechanisms for focusing its oversight into higher risk/vulnerabilities areas. In addition and consistent with SC's enhanced approach to CAS, ASO is focused upon strengthening its partnership with university and laboratory officials to seek opportunities to conduct joint reviews, provide subject matter experts for contractor led assessments, or serve as observers to contractor led assessments. Implementation of enhanced CAS expectations also calls for increased attention to operational awareness activities and formalization of oversight activities throughout ASO, including those for projects and business systems.

Integrated Assessment Schedule

Each year ASO updates its assessment activities and reports them within SC's Integrated Assessment Schedule (IAS). Consistent with the SCMS Line Management Oversight Program Description, ASO maintains a three-year rolling schedule of planned oversight activities. These activities include those associated with assessing both the federal and contractor operations. Beginning in FY2011, ASO is focusing its planning with greater connection to those assessment activities planned by UChicago Argonne to observe the contractor's assurance functions and results more closely. In addition, as evidenced by FY2011 ASO Objectives and Measures within this APP, ASO plans to increase our internal assessment activities. ASO's IAS is located on:

<https://chip.ch.doe.gov/smart>

The assessments included on the IAS are low-volume, high-threshold assessments and include but are not limited to the following:

- Reviews required for approval/certification of Argonne management systems (e.g. HR, procurement, ISM, transportation safety, emergency management, personal property, etc.)
- Sensitive to mission, organizational, or legal vulnerabilities
- Special mandated reviews
- Independent assessments
- Broad-scope reviews that provide information regarding overall program performance effectiveness
- Any reviews external to SC, including those by State and local agencies, other Federal agencies, other DOE elements, the GAO, IG, etc. should be included. SC reviews by either SC-1.3 or the various program offices should also be included



Attachment 1

ARGONNE SITE OFFICE

Dr. Joanna M. Livengood, Manager
 Jeffrey B. Roberts, Deputy Manager

Debra A. Terry, Secretary

**John W. Houck, Director
 Environment, Safety and Health Division**

Paul M. Neeson,
 Senior Health Physicist
 Steven Ludwig,
 Nuclear Engineer
 Peter J. Washburn,
 Nuclear Engineer
 Craig A. Schumann,
 Physical Scientist
 Eric M. Turnquest,
 Physical Scientist
 Kaushik Joshi (Acting),
 Environmental Compliance Specialist
 Katrina "Kate" L. Panek,
 Emergency Management Coordinator,
 Safety & Occupational Health Specialist
 Vacant,
 Safety & Occupational Health Specialist

**Sergio E. Martinez, Director
 Business Management Division**

Kristin E. Palmer,
 Contract Specialist
 Roberta J. Dalton,
 Reimbursable Technology Specialist (WFO/LDRD)
 Jacquelyn D. York,
 Laboratory Management Specialist
 Sean M. Seamon,
 Contract Specialist
 John D. Kasprovicz,
 Program Management Specialist
 Nancy L. Oetter,*
 Project Management Specialist
 Pamela A. Miller,
 Laboratory Support Assistant

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Andrew D. Gabel,*
 Physical Scientist
 Susan L. Heston,*
 Physical Scientist, EM Program Manager
 Jurgis "George" Paliulionis,
 General Engineer, Energy Manager
 Frank Gines,
 General Engineer, ALCF Program Manager,
 Dale J. Dietzel,
 General Engineer, Infrastructure Mgmt.
 Kaushik N. Joshi,
 Environmental Engineer, Waste Mgmt.

Joanna M. Livengood
 Joanna M. Livengood, Manager

09/13/10
 Date

26 FTE's (23 SC funded FTE's + 3 EM funded FTE's)
 * EM funded FTE

Filter: ASO IAS FY11 **Category:** Integrated Assessment
Schedule Status: Open **Division:** ASO **Planned Start Date**
After: 09/30/10 **Planned Start Date Before:** 10/01/11 **Sorted by:**
 Planned Start Date ascending, then Key descending Displaying
 items 1 to 26 of 26 matching items.

ASO FY 2011 Integrated Assessment Schedule Attachment 2

SMART Report

Key	Summary	Description	Planned Start Date	Planned Completion Date	Actual Completion Date	Driver, Directive or Regulation	Local Point of Contact	Due	Assignee
<u>OS-2770</u>	FIMS Validation	FIMS Validation	10/01/10	09/30/11			D. Dietzel		Harvey, Angela
<u>OS-2763</u>	Worker Safety and Health Program Review	ASO will conduct a review of compliance and implementation of the WSHP at Argonne. Based on indicators and knowledge of program implementation, the specific subject or area of review will be determined towards the commencement of the review.	10/01/10	12/31/10		10 CFR 851	C. Schumann, E. Turnquest		Schumann, Craig
<u>OS-2406</u>	CD-2 Independent Project Review for ESB	CD-2 Approval	11/01/10	11/30/10			A. Harvey		Harvey, Angela
<u>OS-2399</u>	Fire Protection - SMP Implementation Review	Fire Protection - SMP Implementation Verification Review	11/01/10	11/30/10			C. Schumann		Schumann, Craig
<u>OS-185</u>	Conduct of Operations - SMP Implementation Review	CONOPS SMP Implementation Verification Review - LOTO	11/01/10	11/30/10		DOE O 422.1	P. Washburn		Washburn, Peter

Key	Summary	Description	Planned Start Date	Planned Completion Date	Actual Completion Date	Driver, Directive or Regulation	Local Point of Contact	Due	Assignee
<u>OS-2679</u>	Review Personal COI and Organizational COI policies and procedures	Review will cover Argonne's adherence and implementation of Conduct of Employees (personal COI) and Organizational Conflict of Interest (COI) requirements in the prime contract.	12/01/10	03/31/11		48CFR 970.0371 and DEAR 952.209-72	R. Dalton		Dalton, Roberta
<u>OS-2767</u>	ESB Final Design Review	ESB Final Design Review	01/03/11	03/31/11			A. Harvey		Harvey, Angela
<u>OS-2766</u>	Argonne Independent Assessment Reviews	ASO will participate as oversight observers to central organization independent assessments/reviews of Laboratory programs. Based on the schedule of FY11 reviews, ASO will select 3-4 Argonne assessments to participate. Purpose will be to look at central organization oversight (ESQ and COA), implementation of programs, and performance of line organizations.	01/03/11	09/30/11			J. Houck		Houck, John
<u>OS-2764</u>	Integrated Safety Management Review	ASO will perform a review of ISMS implementation at Argonne. The specific area of review will be determined later based on indicators.	01/03/11	03/31/11		ISM	J. Houck		Houck, John
<u>OS-2400</u>	Hazardous Material Protection - SMP Implementation Review	Hazardous Material Protection - SMP Implementation Verification Review	01/10/11	01/31/11			E. Turnquest		Turnquest, Eric
<u>OS-2777</u>	Rad and Haz Waste Management SMP Implementation Ver. Review	Rad and Haz Waste Management SMP Implementation Ver. Review	02/01/11	02/28/11			K. Joshi		Joshi, Kaushik
<u>OS-2776</u>	SMP Implementation Verification Review of Argonne D&D	SMP Implementation Verification Review of Argonne D&D	02/01/11	02/28/11			C. Schumann		Schumann, Craig

Key	Summary	Description	Planned Start Date	Planned Completion Date	Actual Completion Date	Driver, Directive or Regulation	Local Point of Contact	Due	Assignee
<u>OS-2757</u>	Argonne's Cost Accounting Standard Disclosure Statement implementation	Review of Argonne's Cost Accounting Standard Disclosure Statement implementation. Laboratory has a new Cost Accounting statement that will go into effect 10/1/10. Review looks at implementation after six months.	03/01/11	03/31/11			N. Oetter		Oetter, Nancy
<u>OS-2403</u>	Human Factors - SMP Implementation Review	Human Factors - SMP Implementation Review	03/01/11	03/31/11			J. Houck		Houck, John
<u>OS-215</u>	Surveillance and Maintenance - SMP Implementation Review	SMP Implementation Verification Review of Initial Testing and Surveillance and Maintenance	03/01/11	03/31/11		DOE O 433.1	S. Ludwig		Ludwig, Steve
<u>OS-2769</u>	CD-1 APS Upgrade Independent Project Review (IPR)	CD-1 APS Upgrade Independent Project Review (IPR)	04/01/11	06/30/11			A. Harvey		Harvey, Angela
<u>OS-2768</u>	APS Upgrade Conceptual Design	APS Upgrade Conceptual Design	04/01/11	06/30/11			A. Harvey		Harvey, Angela
<u>OS-553</u>	Environmental Management System Review	Evaluate Environmental Management System	04/01/11	06/30/11			K. Joshi		Joshi, Kaushik
<u>OS-2773</u>	Argonne Compensation System Processes Review	Argonne Compensation System Processes Review	04/04/11	06/30/11			S. Martinez		Martinez, Sergio
<u>OS-2398</u>	Emergency Preparedness - SMP Implementation Review	SMP Implementation Verification Review	04/04/11	04/29/11			K. Panek		Panek, Kate
<u>OS-187</u>	Criticality Safety - SMP Implementation Review	ASO SMP Implementation Verification Review.	04/04/11	04/29/11			S. Ludwig		Ludwig, Steve

Key	Summary	Description	Planned Start Date	Planned Completion Date	Actual Completion Date	Driver, Directive or Regulation	Local Point of Contact	Due	Assignee
<u>OS-2775</u>	ASO Self-Assessment	ASO Self-assessment of programs and all areas.	07/01/11	09/30/11			J. Livengood		Livengood, Joanna
<u>OS-2765</u>	Work Planning and Control Review	ASO will perform a WPC review on implementation of the experimental and non-experimental WPC processes. Includes use of the electronic system and will specifically focus on an area to be determined based on indicators of implementation.	07/01/11	09/30/11			E. Turnquest, C. Schumann		Turnquest, Eric
<u>OS-2774</u>	Argonne Property System Review	Argonne Property System Review	07/04/11	09/30/11			S. Martinez		Martinez, Sergio
<u>OS-2772</u>	Argonne Procurement System Re-certification	ASO will perform a review of Argonne Procurement System for re-certification.	07/04/11	09/30/11			S. Martinez		Martinez, Sergio
<u>OS-2771</u>	Audit of Advanced Leadership Computing Facility User Rates	Audit of Advanced Leadership Computing Facility User Rates at Argonne	07/04/11	09/30/11			S. Martinez		Martinez, Sergio