

FY 2011 Annual Performance Plan

Thomas Jefferson Site Office



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

Issued: September 2010

Table of Contents

	Page
Acronyms	iii
1.0 EXECUTIVE SUMMARY	1
2.0 SPECIFIC MEASURES IN SUPPORT OF DDFO FY 2011 OBJECTIVES.....	6
3.0 SITE SPECIFIC MEASURES AND OBJECTIVES	6
4.0 ORGANIZATIONAL OVERSIGHT PLAN.....	6
5.0 FY 2011 INTEGRATED ASSESSMENT SCHEDULE.....	7

Acronyms

APP	Annual Performance Plan
ARRA	American Recovery and Reinvestment Act
CAS	Contractor Assurance System
CEBAF	Continuous Electron Beam Accelerator Facility
DDFO	Deputy Director for Field Operations
DOE	U.S. Department of Energy
EO	Executive Order
ES&H	Environment, Safety, and Health
EXT REV	External Review
FRAM	Functions, Responsibilities, and Authorities Manual
FY	Fiscal Year
GPP	General Plant Projects
HSS	Office of Health, Safety, and Security
IA	Independent Assessment
JSA	Jefferson Science Associates, LLC
M&O	Management and Operating
MSA	Management Self-Assessment
PEMP	Performance Evaluation Management Plan
REV	Review
SC	Office of Science
SCMS	Office of Science Management System
TEDF	Technology and Engineering Development Facility
TJNAF	Thomas Jefferson National Accelerator Facility
TJSO	Thomas Jefferson Site Office
UIM	Utilities Infrastructure Modernization

1.0 EXECUTIVE SUMMARY

The purpose of the Thomas Jefferson Site Office (TJSO) Annual Performance Plan (APP) is to describe how the Site Office FY 2011 activities will support the Office of Science (SC). The APP is the highest level operating plan for the TJSO.

Within SC, the SC-Headquarters organization establishes policy and direction, while the field organizations are responsible for implementing that policy and direction. TJSO is a U.S. Department of Energy (DOE) line management organization reporting to the SC Deputy Director for Field Operations (DDFO). TJSO provides DOE and the Office of Science on-site presence at the Thomas Jefferson National Accelerator Facility (TJNAF), Newport News, Virginia, and has overall federal responsibility for all operations at TJNAF. An organization chart is shown in Figure 1.

TJSO is responsible and accountable for the administration and management of the performance-based management and operating (M&O) contract with the Jefferson Science Associates, LLC (JSA), for the safe, secure, effective, and efficient operation of the TJNAF. JSA is jointly owned by the Southeastern Universities Research Association, Inc., and CSC Applied Technologies, LLC (also known as the Computer Science Corporation, North American Public Sector's Applied Technology Group).

TJNAF is a government-owned, contractor-operated facility and is one of ten world-class, contractor-operated laboratories under the management of SC. JSA, as M&O Contractor for TJNAF, has basic research into the nature of hadronic matter as its core business line. TJNAF provides a world-class, unique nuclear physics user facility for scientific research using a continuous beam of high-energy electrons and state-of-the-art instrumentation to elucidate the complex dynamics by which quarks, interacting via gluons, form the stable matter of everyday experience. TJSO and JSA share an overarching commitment to partner in the achievement of the DOE's and TJNAF's scientific and operating objectives, including best in class science, security, facility and business operations, and environmental, safety, and health (ES&H) performance. Contract management functions and the enhanced partnership concept (see Figure 2) consist of the following:

- Setting Expectations: Establishing and communicating expectation requirements to guide contractor planning and conduct of work activities.
- Monitoring Performance: Monitoring contractor operations, work activities, and deliverables to ensure that the Department and contract expectations and requirements are met.
- Facilitating Performance: Maintaining ongoing DOE federal employee activities required for efficient contractor performance, including providing support and guidance.
- Providing Feedback: Developing and communicating performance results from monitoring processes to the contractor so as to improve performance.

TJSO/JLab achieved the following major accomplishments in Fiscal Year (FY) 2010:

- The 12 GeV upgrade project, a \$310M, six-year project that will double the beam energy of Continuous Electron Beam Accelerator Facility (CEBAF), is 30.2 % complete (July 2010), and construction is 21.5 % complete (July 2010).
- Approval of CD-3B for the Technology and Engineering Development Facility (TEDF) project; project is proceeding on schedule and within costs.
- CD-1 Review was completed August 25, 2010, and approval of CD-1 for the Utilities Infrastructure Modernization (UIM) project is planned in the first quarter of FY 2011.
- DOE extended JSA's M&O contract for operation of the TJNAF to 2015 in support of the Laboratory's mission.
- DOE obligated 100% of American Recovery and Reinvestment Act (ARRA) project funding by the end of FY 2010, and TJSO/JLab have effectively maintained internal controls over Recovery Act funding.
- Initiated implementation of SC contractor assurance process improvements at JLab (H Clause added to M&O contract).
- All General Plant Projects (GPPs), including ARRA GPPs, are proceeding satisfactorily (\$10M GPP projects completed by first quarter of FY 2011).
- Established goals to support Executive Order (EO) 13514, *Federal Leadership and Environmental, Energy, and Economic Performance*.
- Completed corrective actions from the June 2008 Office of Health, Safety, and Security (HSS) Environment, Safety, and Health Inspection. Scheduled actions were completed on time, and effectiveness reviews will be completed during FY 2011.
- Endorsed the Annual Laboratory Plan, and partnered with the Laboratory to implement the mission readiness concept.
- JLab completed a very successful Mission Readiness Peer Review in September with many notable comments.
- The July 2009 Procurement Management Review identified 7 commendable practices, 6 suggestions, and 3 findings related to TJSO operations. All TJSO actions were fully implemented and closed by TJSO during the second quarter of FY 2010.

The U.S. DOE 2010 Strategic Plan establishes the following Goal III for science, technology, and innovation: *to maintain a vibrant U.S. effort in science, engineering, and innovation*. The SC DDFO builds the objective framework to align with the DOE Strategic Plan and provides a top-down methodology for SC sites to formulate specific objectives and measures for accomplishing the SC mission.

In support of the U.S. DOE 2010 Strategic Goal III, TJSO will effectively manage the contract and enable the Laboratory to accomplish its mission by helping to minimize or remove obstacles (e.g., assisting in streamlining processes, enhancing opportunities for open communications and transparency to build mutual trust, emphasizing more progressive and leading performance indicators versus reliance on lagging indicators). TJSO key goals and objectives for FY 2011 are summarized as follows (identifiers shown in parentheses are cross references to Table 1):

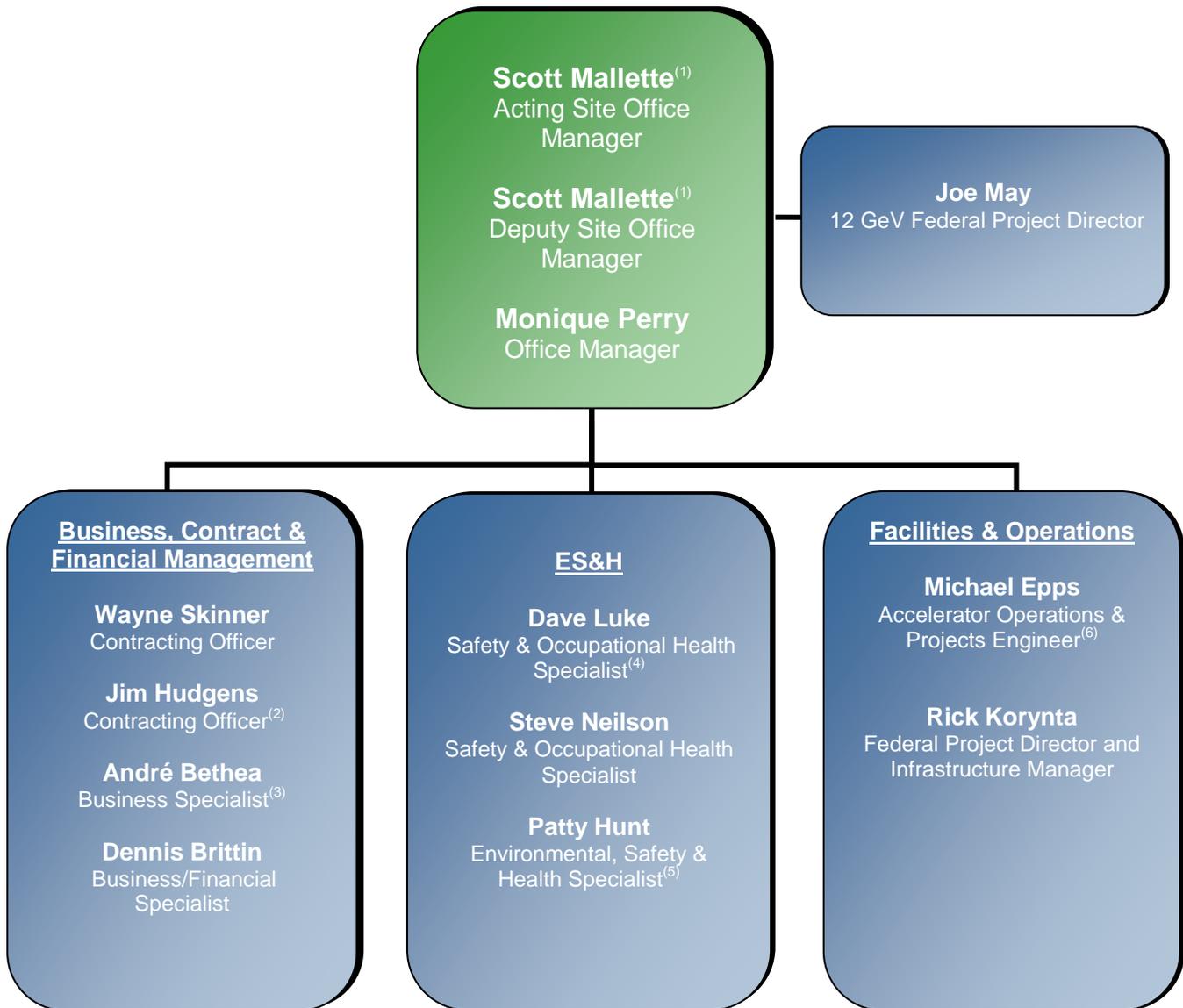
- Ensure programs and projects are conducted safely and efficiently, using sound management practices. (4C)
- Ensure, within TJSO's control, that projects adhere to cost schedule and performance targets (e.g., 12 GeV upgrade, TEDF, UIM). (2C.1)

- Support enhanced partnership initiatives between TJSO, the Laboratory, and other stakeholders. (3C)
- Ensure an effective Contractor Assurance System (CAS) is in place. (2A)

TJSO/JLab establishes the notable outcomes through development of the annual contractor FY 2011 Performance Evaluation Management Plan (PEMP). TJSO takes into account various factors: performance results from the current fiscal year PEMP; the results of Lab/contractor, TJSO and joint Lab/TJSO assessments; JSA internal audits; external reviews; events; trends and lessons-learned; as well as TJSO day-to-day operational awareness activities. Based upon the foregoing, TJSO works with the Laboratory to formulate proposed notable outcomes. After discussion with the Laboratory, the outcomes are incorporated into the PEMP for the upcoming fiscal year. Likewise, in providing quarterly and end-of-year feedback to the Laboratory and contractor, TJSO not only takes into account performance on specific PEMP measures, but also the results from both DOE and non-DOE reviews, events, walkthroughs, reports, trends, lessons-learned reporting, observations, and other operational awareness activities.

Figure 1 – TJSO Organizational Chart

THOMAS JEFFERSON SITE OFFICE



⁽¹⁾ Dual Capacity

⁽²⁾ Includes Property and Fleet Management

⁽³⁾ Includes Cyber Security

⁽⁴⁾ Includes Emergency Management

⁽⁵⁾ Includes Environmental activities

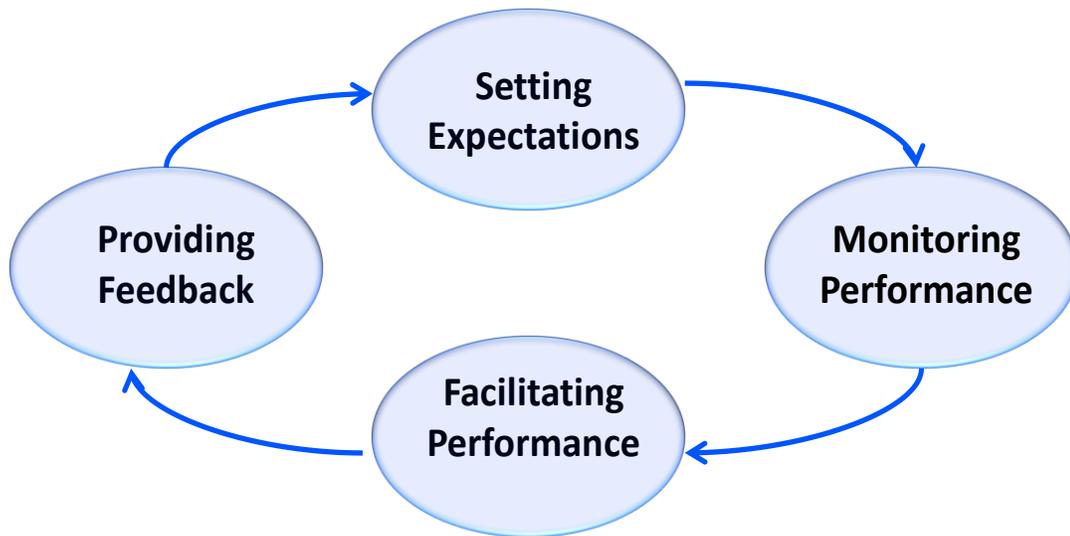
⁽⁶⁾ Includes Safeguards and Security

NOTE: Two additional FTEs requested for FY 2011

Figure 2 – Enhanced Partnership



Enhanced Partnering for Performance Assurance



Enhanced partnering is implemented through each step of the contract management process. Examples include:

1. **Setting Expectations:**
 - Joint planning discussions on PEMP Notable Outcomes
 - Tailor contractor annual performance measures based on factors such as assessment performance, improved safety performance, risk management, and incorporation of progressive and leading indicators
 - Ensure contract clearly communicates expectations and accountability
 - Collaborative approach for developing vision and strategy for infrastructure modernization and mission readiness
2. **Monitoring Performance**
 - Conduct risk-based, joint assessments, whenever practical
 - Monitor PEMP progress
3. **Facilitating Performance**
 - Validate and verify the CAS
 - Work together to resolve issues, and maintain open communications
 - Remove obstacles and streamline internal processes to enable mission
 - Renew emphasis on enabling lab mission accomplishment
4. **Providing Feedback**
 - Status updates are provided in the Lab/TJSO Monthly Safety Meetings
 - Build mutual trust through increased transparency and open communications
 - Focus formal/informal feedback on outcomes

2.0 SPECIFIC MEASURES IN SUPPORT OF DDFO FY 2011 OBJECTIVES

Where applicable, specific Objectives, Measures, and Targets have been established for each DDFO Performance Objective (Table 1). Measures have been identified to provide a quantitative or qualitative means for characterizing performance with an accompanying target milestone, level of achievement, or desired condition. The performance measures and targets flow down with supporting detail to TJSO employee performance appraisal plans, as applicable. Performance is measured by evaluating results for each measure and corresponding target.

3.0 SITE SPECIFIC MEASURES AND OBJECTIVES

All measures for TJSO support the DDFO FY 2011 objectives (see Table 1). No additional site-specific measures and objectives were identified.

4.0 ORGANIZATIONAL OVERSIGHT PLAN

The TJSO organizational oversight plan described below encompasses all TJSO activities which can be categorized into four general work areas:

- Contract and Financial Management
- ES&H Management
- Facilities, Infrastructure, and Projects Management
- Internal Operations Management

TJSO has an integrated management system approach to accomplish work in these four areas, as depicted in Figure 3.

A “Sense of the Laboratory” is needed to ensure a level of detail and understanding is available to the Site Office and SC management on the performance, programs, operations, and conditions of the Laboratory and its associated M&O contractor. This information is used to assess the Laboratory and its associated M&O contractor performance against SC expectations and to identify issues, make decisions and, where appropriate, provide direction. The process for planning, executing, reporting, and closing action items from assessment activities is described in TJSO SOPP 4.5, *Operational Awareness Program Plan*.

In advance of each fiscal year, a three-year assessment schedule integrating TJSO and JSA assessment plans are furnished to the TJSO Manager/Deputy Manager for review and approval. TJSO and JSA share annual assessment schedules in advance to allow opportunities for modification and efficiencies. Partnering in assessments is highly encouraged between TJSO and JSA to maximize use of resources and to ensure the schedule incorporates enhanced partnership concepts using a risk-based approach. Only formal surveillances and assessments are candidates for inclusion in the SC’s Integrated Assessment Schedule, as maintained in ORION (See Section 5.0).

An assessment planning matrix is also used by the Site Office, compiling assessment driver sources together into a single source. The TJSO assessment planning matrix and day-to-day operational awareness activities allow subject area owners to identify contemporary performance vulnerabilities that may have come to light from surveillance or walkthrough assessments or

external drivers (i.e., Office of Science directed actions, vulnerabilities identified in an Inspector General's report, or "for-cause" events).

A flow diagram of the TJSO issues management process is provided within SOPP 4.5, Appendix E. Higher significance issues, or recurrence of issues having ES&H consequence, warrant categorization to determine if external reporting is necessary. Priority 1 and 2 (P-1, P-2) findings generated from TJSO assessment activities are entered, tracked to closure, and trended in ORION. A real-time ORION "Dashboard," which provides a summary-level overview and status of assessment activities, is available to TJSO management and staff. Assessment status updates and trend results are reviewed by TJSO management on a quarterly basis. The trend analyses are an aid in developing a "Sense of the Laboratory" and in planning future assessments.

To ensure the Operational Awareness Program is compliant with the requirements and TJSO staff is abiding by Office of Science Management System (SCMS) and local procedures, self-assessment reviews are built into the assessment schedules. Any significant lessons learned identified as a result of the conduct of these self-assessments may be candidates for submission to the DOE Lessons Learned system.

In FY 2011, JSA is expected to be operating under a new CAS to be approved by TJSO which is based on the requirements of the H Clause. In addition, an external peer review will be performed of JSA's CAS in the third quarter of FY 2011.

5.0 FY 2011 INTEGRATED ASSESSMENT SCHEDULE

The FY 2011 Integrated Assessment Schedule for TJSO is provided in Table 2.

Figure 3 – TJSO Integrated Management System

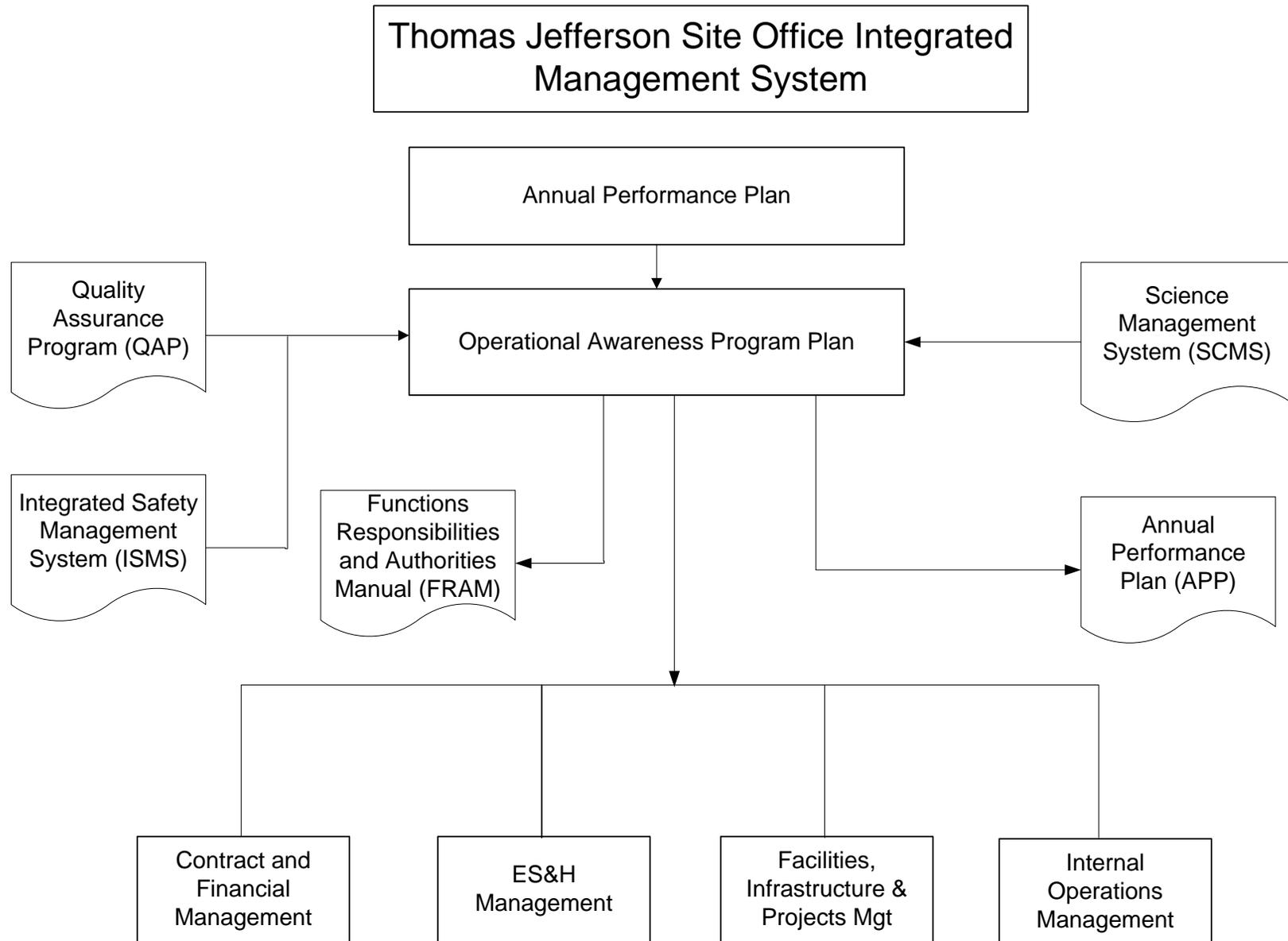


Table 1 - Specific Measures Supporting the DDFO FY 2011 Objectives (Matrix of Commitments)

SC DDFO Objective 1: Improve our Operations	SC DDFO Objective 2: Improve our Laboratories	SC DDFO Objective 3: Bring Order to Chaos	SC DDFO Objective 4: Help our Laboratories be Successful	SC DDFO Objective 5: Evaluate our Contractors Fairly
<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>	<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>	<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>	<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>	<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>
<p>Objective: 1A. Prepare the FY 2011 TJSO Annual Performance Plan.</p> <p>--Measure: 1A.1. Issue the FY 2011 Annual Performance Plan, incorporating DDFO Goals and Objectives. (10/1/10)</p>	<p>Objective: 2A. Ensure an effective Contractor Assurance System is in place.</p> <p>--Measure: 2A.1. Demonstrate significant progress in implementing a Contractor Assurance System and identify results of CAS progress both within the Lab and TJSO. (9/30/11)</p>	<p>Objective: 3A. Implement contract reform and other initiatives applicable to field elements.</p> <p>--Measure: 3A.1. Implement contract reform initiatives in accordance with HQ guidance. (9/30/11)</p>	<p>Objective: 4A. Establish and maintain a TJSO-TJNAF Integrated Assessment Schedule for FY 2011.</p> <p>--Measure: 4A.1. Ensure Integrated Assessment Schedule incorporates enhanced partnership concepts using a risk-based approach. (10/1/10)</p>	<p>Objective: 5A. Finalize FY 2011 TJNAF PEMP.</p> <p>--Measure: 5A.1. Incorporate PEMP into contract Appendix B. (10/1/10)</p>
<p>Objective: 1B. Conduct an assessment of FY 2010 TJSO performance against performance plan.</p> <p>--Measure: 1B.1. Issue the FY 2010 Annual Assessment Report. (11/1/2010)</p>	<p>Objective: 2B. Ensure TJNAF site planning and infrastructure supports mission accomplishment.</p> <p>--Measures: 2B.1. Evaluate and endorse the infrastructure portion of the Annual Laboratory Plan. (9/30/11) 2B.2. Facilitate implementation of the Mission Readiness concept, including actions or improvements as a result of the Mission Readiness Review. (9/30/11)</p>	<p>Objective: 3B. Support DOE and SC corporate needs and initiatives.</p> <p>--Measure: 3B.1. Participate in non-TJNAF program and project reviews, and similar activities (e.g., accelerator safety working group, project reviews). (9/30/11)</p>	<p>Objective: 4B. Maintain effective levels of Federal Stewardship and cognizance of JLab activities to maintain a “Sense of the Laboratory” to assist in ensuring an effective oversight and feedback mechanism.</p> <p>--Measure: 4B.1. Perform oversight and operational awareness activities and document in ORION, as appropriate. (9/30/11)</p>	<p>Objective: 5B. Perform an FY 2010 end-of-year evaluation of TJNAF contractor performance.</p> <p>--Measure: 5B.1. Complete evaluation and transmit to contractor. (12/31/10)</p>

SC DDFO Objective 1: Improve our Operations	SC DDFO Objective 2: Improve our Laboratories	SC DDFO Objective 3: Bring Order to Chaos	SC DDFO Objective 4: Help our Laboratories be Successful	SC DDFO Objective 5: Evaluate our Contractors Fairly
<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>	<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>	<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>	<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>	<i>DOE Strategic Goal III: To maintain a vibrant US effort in science, engineering, and innovation</i>
	2B.3. Partner with the Laboratory in the completion of major milestones as identified in the project execution plans (e.g., TEDF, Utilities Infrastructure Modernization [UIM]). (9/30/11)			
<p>Objective: 1C. Ensure staffing resources are adequate to execute Site Office responsibilities and authorities.</p> <p>--Measures: 1.C.1. Update staffing analysis. 1C.2. Submit FY 2013 Program Direction budget request and justification. (6/1/11)</p>	<p>Objective: 2C. Demonstrate project management excellence.</p> <p>--Measure: 2C.1. Ensure, within TJSO's control, that projects adhere to cost schedule and performance targets (e.g., 12 GeV upgrade, TEDF, UIM). (9/30/11)</p>	<p>Objective: 3C. Support enhanced partnership initiatives between TJSO, the Laboratory, and other stakeholders.</p> <p>--Measures: 3C.1. Update TJSO and TJNAF Operating Principles Agreement, as appropriate. (9/30/11) 3C.2. Complete Site Sustainability Plan to meet EO 13514. (9/30/11) a. Facilitate innovative planning through information sharing with the broader DOE. b. Help secure funding. c. Help minimize or remove obstacles.</p>	<p>Objective: 4C. Ensure programs and projects are conducted safely and efficiently, using sound management practices.</p> <p>--Measures: 4C.1. Partnering with the Laboratory in the conduct of Federal Stewardship of ARRA, 12 GeV Upgrade, TEDF, and other projects to ensure they are in compliance with DOE guidance and Orders, achieving their baselines; and take corrective actions, as appropriate. (9/30/11) 4C.2. Implement corrective actions resulting from the causal analysis performed on struck utility events (SC-TJSO-FMD-TJNAF-2010-001), including conduct of</p>	<p>Objective: 5C. Perform a FY 2011 mid-year evaluation of TJNAF contractor performance, as appropriate.</p> <p>--Measure: 5C.1. Complete evaluation and transmit to contractor. (6/30/11)</p>

SC DDFO Objective 1: Improve our Operations	SC DDFO Objective 2: Improve our Laboratories	SC DDFO Objective 3: Bring Order to Chaos	SC DDFO Objective 4: Help our Laboratories be Successful	SC DDFO Objective 5: Evaluate our Contractors Fairly
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			effectiveness review and disposition of any subsequent findings and opportunities for improvement. (9/30/11)	
<p>Objective: 1D. Implement effective TJSO management systems and processes consistent with SCMS procedures and field office roles, responsibilities, authorities, and accountabilities to enable the Laboratory's mission.</p> <p>--Measures: 1D.1. Complete annual review and reporting for Federal Managers Financial Integrity Act compliance (i.e., Manager's Assurance Memorandum). (9/30/11)</p> <p>1D.2. Revise site Functions, Responsibilities, and Authorities Manual (FRAM), as appropriate, to address changes in the SC FRAM. (9/30/11)</p>	<p>Objective: 2D. Enable the Laboratory in accomplishing their mission associated with the objectives as noted in the FY11 PEMP, while effectively managing the M&O contract.</p> <p>--Measure: 2D.1. TJSO will provide examples of how Objective 2.D is being met.</p>		<p>Objective: 4D. Help the Laboratory be successful by conducting 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; and coordinate DOE and external reviews, evaluations and inspections of the Laboratory.</p> <p>--Measure: 4D.1. ORION entries record Federal Stewardship activities as they are planned, executed and completed. (9/30/11)</p>	<p>Objective: 5D. Prepare FY 2012 TJNAF PEMP.</p> <p>--Measure: 5D.1. Submit draft PEMP to SC-HQ. (9/15/11)</p>

<p>Objective: 1E. Implement TJSO Corrective Action Plan in response to the June 2008 HSS ES&H inspection.</p> <p>--Measure: 1E.1. CAP is implemented on schedule. Conduct effectiveness reviews, as appropriate. (9/30/11)</p>			<p>Objective: 4E. Maintain the TJSO risk-based assessment planning guide.</p> <p>--Measure: 4E.1. Continue to optimize the risk-based assessments with the Laboratory. (9/30/11)</p>	
<p>Objective: 1F. Revise TJSO oversight model, as needed, consistent with DOE and SC performance management.</p> <p>--Measures: 1F.1. Issue updated Operational Awareness Program Plan (OAPP). (9/30/11)</p> <p>1F.2. Ensure all staff has been trained on the OAPP. (9/30/11)</p> <p>1F.3. Implement enhanced partnership between TJSO and Laboratory for conducting oversight activities and monitoring program performance; and develop and implement, as appropriate, a TJSO Partnering Action Plan. (9/30/11)</p> <p>1.4. The Site Office will identify and communicate Site Office CAS changes in place and planned to key stakeholders. (2/31/11)</p>			<p>Objective: 4F. Establish FY 2011 Notable Outcomes for the M&O Annual Performance Evaluation and Measurement Plan (PEMP).</p> <p>--Measures: 4F.1. Complete development of Notable Outcomes. (10/1/10)</p> <p>4F.2. Enable the Laboratory by helping to minimize or eliminate obstacles in support of the successful completion of Notable Outcomes. (9/30/11)</p>	

<p>Objective: 1G. Ensure adequate training and development so that the TJSO staff has the required skills to perform their assignments and to be prepared for the future.</p> <p>--Measures: 1G.1. Implement TJSO Technical Qualification Program for identified positions and assigned responsibilities; and personnel maintain technical qualifications. (9/30/11)</p> <p>1G.2. Prepare Individual Development Plans for career and skills development; jointly review with TJSO management and staff. (9/30/11)</p>				
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Table 2 – FY11 Integrated Assessment Schedule

THOMAS JEFFERSON NATIONAL ACCELERATOR FACILITY
 FY11 Integrated Assessment Schedule

First Quarter FY11

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Completed Date	CRAD Approach	Justification/ Comments	Point of Contact
<i>MSA or Rev.</i>	Hazard Communications		Jlab/TJSO	X	11/8/10 (Tentative)	11/12/10 (Tentative)		Yes	ESH Manual 3220, 3230	J. Williams-Lead/ S. Neilson
IA	Suspect/Counterfeit Items Program	IA-2011-01	Jlab/TJSO	X	10/25/2010	10/27/2010		Yes	DOE O 414.1C	J. Murphy-Lead/ S. Neilson
<i>IA or MSA</i>	Laser Safety		Jlab/TJSO	X	11/2/2010	11/4/2010		Yes	Includes Semi Annual Requirement	D. Owen-Lead/ P. Hunt
MSA	Administrative Processes	MSA-2011-01	JLab		10/1/2010	12/31/2010		Recommended	Divisional MSA	D. Skopik
MSA	Contractor Assurance System Peer Review - Gap Analysis	MSA-2011-02	JLab	X	TBD	TBD		Yes	H.50 Contract Clause & DOE O 226.1A	B.Rainey/S. Smith
MSA	Property & Vehicle Management Balanced Scorecard FY 2010	MSA-2011-03	JLab		TBD	TBD		No	DOE O 580.1 (annual requirement)	R. Sprouse

**FY 2011 Annual Performance Plan
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September 2010

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Completed Date	CRAD Approach	Justification/ Comments	Point of Contact
Peer Review	10 CFR 835 - Radiation Protection for Workers	IA-2011-02	JLab	X	Nov. 2010 (Tentative)	Nov. 2010 (Tentative)		Yes	10 CFR 835 Annual Requirements	V. Vylet/B.Doane
Rev	Annual Hearing Conservation Monitoring	REV-2011-01	JLab	X	TBD	TBD		No	OSHA	D. Owen
Rev	Annual Occupational Health - Lead Exposure (Monitoring Program)	REV-2011-02	JLab	X	TBD	TBD		No	OSHA (annual requirement)	D. Owen
Rev	Earned Value Management System (EVMS) Review	REV-2011-03	JLab		10/4/10 (Tentative)	10/29/10 (Tentative)		No	12 GeV Project	D. Miner/L. Wells
Rev	Energy Management Performance	REV-2011-04	JLab		TBD	12/31/2010		No	DOE O 430.2A	B. Mooney
Rev	Ergonomics Review (FY10)	REV-2011-05	JLab	X	TBD	TBD		No	Medical Department Review	Dr. Chandler
Rev	Facility Work Orders	REV-2011-06	JLab	X	10/1/2010	10/15/2010		No	Best Business Practice	R. Sperlazza
Rev	FY10 JSA/Jefferson Lab Purchase Card (Pcard) Program Self Assessment	REV-2011-07	JLab	X	TBD	TBD		No	DOE P-Card Program Office Requirement	D. Polyhronakis
Rev	General Purpose Projects	REV-2011-08	JLab		9/1/2010	Oct. 2010		No	Best Business Practice	R. Sprouse

**FY 2011 Annual Performance Plan
Thomas Jefferson Site Office**

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Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Completed Date	CRAD Approach	Justification/Comments	Point of Contact
Rev	Procurement Balanced Scorecard	REV-2011-09	JLab		Oct.2010	Nov. 2010		No	Contract Clause I-130, DEAR 970-5244	M. Waite
Rev	Property Balanced Scorecard	REV-2011-10	JLab		Oct. 2010	Nov. 2010		No	DOE O 430.1B	R. Sprouse
Rev	Quarterly Safety Trend Analysis (4th Qtr. FY10)	REV-2011-11	JLab	X	10/4/10 (Tentative)	10/15/10 (Tentative)		No	H.50 Contract Clause & DOE O 231.1-2	S. Smith
Ext. Rev	12 GeV Management & ARRA Funds		DOE_CH IG		9/14/2010	10/29/2010		No	DOE IG	J. May/L. Wells

Second Quarter FY11

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/ Comments	Point of Contact
IA or MSA	Work Planning & Execution		Jlab/TJSO	X	TBD	TBD		Yes	ISMS	B. May-Lead/ S. Neilson
MSA	Hand & Power Tools		JLab	X	TBD	TBD		Yes	OSHA & Divisional Annual MSA Topic	J. Kelly
MSA	12 GeV Quality Management		JLab	X	TBD	TBD		Yes	Entered at the request of 12 GeV Management	W. Funk
MSA	Contractor Registration Process		JLab		TBD	3/31/2011		Recommended	New or revised Process. Divisional annual MSA topic.	B Ullman - Lead
MSA	Engineering Projects Requirements Development Process		JLab		TBD	TBD		TBD	Divisional Annual MSA Topic	W. Oren
MSA	HSS OFI Issues Management Implementation Progress Assessment		JLab	X	TBD	TBD		Yes	HSS review and CATS action IA-2008-35-12	B. Doane
Peer Rev	Fall Hazards/Ladder Safety		JLab	X	TBD	TBD		No	OSHA	J. Kelly
Rev	Facility Condition Assessments		JLab	X	TBD	TBD		No	DOE O 430.1B Real Property Asset Management	D. Fazenbaker

**FY 2011 Annual Performance Plan
Thomas Jefferson Site Office**

September 2010

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/ Comments	Point of Contact
Rev	Quarterly Facilities Coordination Review (1st Qtr FY 11)		JLab		TBD	TBD		No	Self Assessment	R. Sprouse
Rev	Quarterly Safety Trend Analysis (1st Qtr FY11)		JLab	X	TBD	TBD		No	H.50 Contract Clause & DOE O 231.1-2	S. Smith
Ext. Rev	SC Mini Independent Project Review of 12 GeV Upgrade Project		SC-OPA		Mar. 2011	Apr. 2011		No	12 GeV	J. May
Ext. Rev	Cyber Security Accreditation - Authority to Operate		TJSO/HSS		1/8/2011	1/9/2011			H50 Clause & DOE 205.1 (5b2b)	A. Bethea
Ext. Rev	Compensation Plan Review		TJSO/ORO		TBD	TBD		No		D. Brittin
Ext. Rev	Audit Resolution & Follow up		ORO		TBD	TBD		No	Cooperative Audit Strategy	D. Brittin
Ext. Rev	DOELAP		TJSO	X	TBD	TBD		No	10 CFR 835	D. Luke & L. Bean

Third Quarter FY11

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/ Comments	Point of Contact
Rev	Facilities Information Mgmt System (FIMS)		JLab/TJSO	X	5/17/2011	5/18/2011		No	DOE O 430.1B	D. Fazenbaker / R. Korynta
MSA	Compressed Gas Safety		JLab	X	TBD	TBD		Yes	OSHA	N. Walker-Lead/ S. Neilson
MSA	Annual Lock/Tag/Try		JLab	X	TBD	TBD		Recommended	OSHA	T. Kujawa
MSA	ARRA Reporting Assessment		JLab		TBD	TBD		No	Entered per request of CFO	J. Scarcello
MSA	Document Management/Control		JLab	X	TBD	3/31/11		Yes	DOE O 414.1C & ISO 9001	S. Smith
MSA (FEL)	Procurement QA Aspects (Optics)		JLab		TBD	4/30/2011 Tentative		Yes	Divisional Annual MSA Topic	Joe Gubeli - Lead
MSA	SRF Process QA		JLab		TBD	TBD		Yes	DOE O 414.1C & ISO 9001 SQAP	B. Rimmer
MSA	Software QA & Control		JLab	X	6/2/2011 tentative	6/30/2011 tentative		No	DOE O414.1C - Assurance Program	R. Whitney
Rev	Confined Spaces		JLab	X	TBD	TBD		No	OSHA	J. Kelly

**FY 2011 Annual Performance Plan
Thomas Jefferson Site Office**

September 2010

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/Comments	Point of Contact
Rev	FY11 Quarterly Safety Trend Analysis (2nd Qtr FY11)		JLab	X	TBD	TBD		No	H.50 Contract Clause & DOE O 231.1-2	S. Smith
Rev	Nuclear Materials Inventory		JLab	X	TBD	TBD		No	DOE O 470.1	K. Burrows
Rev	Quarterly Facilities Coordination Review (2nd Qtr FY 11)		JLab		TBD	TBD		No	Self Assessment	R. Sprouse
Peer Rev	Contractor Assurance System Peer Review		Jlab		Apr. 2011	Apr. 2011		Yes	H50 Contract Clause	S. Smith
Ext. Rev	Accounting of Property		ORO		TBD	TBD		No	DOE O 520.1A	Brittin (McKeehan)
Ext. Rev	Triennial Fire Protection Assessment		TJSO	X	5/1/2011	5/1/2011		Yes	DOE O 420.1B, 5(c) (6)	D. Luke
Ext. Rev	HSS ISM Corrective Action Follow-up Effectiveness Review		TJSO	X	TBD	TBD		?	HSS ISMS Assessment Corrective Action	S. Neilson
Ext. Rev	Environmental Permit: HRSD Annual		HRSD		TBD	TBD		No	Permit	P. Hunt
Ext. Rev	Indirect/Overhead Cost Control Makeup & Allocation Methodology		TJSO/ORO		6/1/2011	9/30/2011		No	DOE O 520.1A	D. Brittin
Peer Review	UIM CD-2/CD-3		TJSO		6/28/2011	6/28/2011		No	DOE O 413.3	R. Korynta

Fourth Quarter FY11

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/ Comments	Point of Contact
Rev or IA	Nano Materials Safety Assessment		Jlab/TJSO	X	TBD	TBD		No (recommended if IA)	Annual requirement of N 456.1	J. Williams-Lead/P. Hunt
IA	Calibration of Measuring & Test Equipment (M&TE)		JLab	X	Sept 2011	Sept 2011		Yes	Deferred from FY10	B. Doane
IA	Struck Utilities Corrective Action Effectiveness Review		JLab	X	Aug 2011	Aug 2011		Yes	CATS action MOA -2010-73-01-03	B. Doane
IA	ISO 9001 Pre-Audit		JLab		July 2011	July 2011		Yes	Deferred from FY10	B. Lenzer
MSA	Effectiveness review of the corrective action for CATS Issue MOA-2009-62-01-01 - ESH&Q Communications Benchmarking & ESH&Q Electronic Resource Improvements		JLab	X	TBD	TBD		Yes	MOA-2009-62-01-02	B. Rainey
MSA or REV	ISMS Effectiveness Review		JLab	X	TBD	TBD		Yes	Annual certification self assessment. H50 Contractor Assurance Clause	B. Rainey

**FY 2011 Annual Performance Plan
Thomas Jefferson Site Office**

September 2010

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/ Comments	Point of Contact
									ISM DEAR Clause	
MSA	Visitor Registration Process		JLab		TBD	9/30/2011 Tentative		Recommended	New or revised Process & Divisional Annual MSA Topic	B. Ullman - Lead
Rev	Annual Cyber Security Self Assessment (includes accreditation for triennial authority to operate)		JLab		TBD	TBD		No	Entered per request of IT (Annual requirement)	R. Whitney
Rev	Energy Audits		JLab		TBD	9/30/2011		No	DOE O 430.2A	B. Mooney
Rev	High Performance Sustainability		JLab		TBD	9/30/2011		No	Executive Order 135154	B. Mooney
Rev	Laser Safety		JLab	X	TBD	TBD		No	OSHA & ANSI Z136.1 Laser Safety	D. Owen
Rev	PERT Procurement Self Assessment		JLab		TBD	TBD		No	DOE AL 2005-03-Oct. 8, 2004 Independent Peer Review for Contractor Purchasing Systems	M. Waite
Rev	Quarterly Facilities Coordination Review (3rd quarter FY 11)		JLab		TBD	TBD		No	Tentative - under review by Facilities	R. Sprouse

**FY 2011 Annual Performance Plan
Thomas Jefferson Site Office**

September 2010

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/ Comments	Point of Contact
Rev	Quarterly Safety Trend Analysis (3rd Quarter, FY11)		JLab	X	TBD	TBD		No	H.50 Contract Clause & DOE O 231.1-2	S. Smith
Ext. Rev	JSA - A-123 FMA Implementation		TJSO/ORO		7/15/2011	8/31/2011		No	HQ Guidance	D. Brittin
Peer Rev	Science & Technology Review		DOE-HQ		TBD	TBD		No		T. Hallman
Ext. Rev	Annual SC Independent Project Review of 12 GeV Upgrade Project		SC-OPA		Sep. 2011	Oct. 2011		No	12 GeV	J. May

JSA Independent Audits FY11

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/ Comments	Point of Contact
Audit	A-123 Management Controls & Compliance				Oct. 2010	Sept. 2011		No	A-123	G.Lucento
Audit	FY10 Allowable Cost - Transaction Testing				9/1/2010	Dec 2010		No	I-120, DEAR 970-5232-3. I-3	G. Lucento
Audit	ARRA Review				1/2011	3/2011		No	DOE Directive	G. Lucento
Audit	Follow-Up Review: FY 11 Conference Mgmt & Conference Travel Approval System				7/2011	9/2011		No	Audit Plan Follow ups	G. Lucento
Audit	Virginia Funds				4/2011	6/2011		No	JSA Board Audit Plan	G. Lucento

SCHEDULED TJSO WALK-THROUGHS FY11

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/ Comments	Point of Contact
N/A	Accelerator Safety; Review and Approval of Facility Modifications	N/A	TJSO	X	Nov. 2010	Nov. 2010		No	DOE O 420.2B section 4.e(1)	M. Epps
N/A	Program Cyber Security Plan - Authority to Operate	N/A	TJSO		Oct. 2010	Oct. 2010		No	DOE O 205.1A, 5.d(2)(b)	A. Bethea
N/A	Environmental Permit: EPCRA Reporting	N/A	TJSO	X	Jan. 2011	Jan. 2011		No	Contract Clause I-31, I-37	P. Hunt
N/A	Accelerator Safety: Shutdown & Restart Authority	N/A	TJSO	X	Jan. 2011	Jan. 2011		No	DOE 420.2B	M. Epps
N/A	Lessons Learned & Event Reporting, CAIRS data integrity	N/A	TJSO	X	Feb. 2011	Feb. 2011		No	DOE O 210.2, DOE M. 231.1-2 (Note: Rescheduled from FY10)	S. Neilson
N/A	Radiological Waste Management	N/A	TJSO	X	Jan. 2011	Jan. 2011		No	DOE O & M 435.1-1 Change 1 Rad Waste Management	P. Hunt

Type	Topic/Area	Assessment #	Who	ES&H	Scheduled Start	Scheduled Completion	Date Assessment Completed	CRAD Approach	Justification/Comments	Point of Contact
N/A	Accelerator Conduct of Operations	N/A	TJSO	X	Apr. 2011	Apr. 2011		No	DOE 420.2B Safety of Accelerator Facilities	M. Epps

Color indicates JSA/JLab primary assessment responsibility
Color indicates JLab/TJSO joint assessment responsibility
Color indicates no direct JSA assessment responsibility
Color indicates Assessment has been cancelled or deferred

DEFINITIONS:

ASSESSMENT: A planned and managed activity to determine value and give expert judgment. Assessments are used to determine whether organizational programs are properly established and implemented. Typically the focus is on effectiveness and efficiency of processes rather than on compliance with orders or regulations as in an audit.

AUDIT: A formal, methodical examination and review of an organization's activities and compliance through a review of records. Equivalent to a surveillance.

EXT. REV (External Review): Site Office or DOE related Assessments that are formally conducted/documented as a formal IA according to the Site Office or DOE procedures and process.

INDEPENDENT ASSESSMENT (IA): An assessment done by someone with no responsibility or participation in the processes or procedures being assessed. An independent assessment may be done by internal (JLab staff or JLab engaged consultants), external (TJSO or other DOE staff or consultants engaged by an entity external to JLab) or a combination of internal and external resources.

MANAGEMENT SELF ASSESSMENT (MSA): An assessment done by a manager or the manager's delegate on processes or procedures.

POINT OF CONTACT: The person to contact for documentation relating to that assessment. For JLab QA/CI, this person is the QACI Assessment Specialist (QAS).

REV (Review): Assessments that are not as formally conducted/documented as a formal MSA (e.g., work observations, Safety Warden Inspections, in-process inspections, etc.)

SURVEILLANCE: A formal, methodical examination and review of an organization's activities and compliance through a review of records. Equivalent to an audit.

WALK-THROUGH: The least formal of assessments often occurring over a length of time (perhaps a month) and characterized by repeated observations made in the normal course of work evolutions. Also sometimes referred to as observation.