Thomas Jefferson Site Office
FY 2010 Annual Performance Plan

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U.S. Department of Energy

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Table of Contents

Page

PREAMBLE 1

1.0 FY 2010 DDFO Performance Objectives, Measures and Targets 5

2.0 FY 2010 Supplemental Performance Objectives, Measures and Targets 11

3.0 FY 2010 Oversight Plan 15

Attachment 1 – List of Acronyms 17

Attachment 2 – TJSO Mission and Functions Statement 18

Attachment 3 – TJSO Program Management System Overview 21

Attachment 4 – FY 2010 Integrated Assessment Schedule 22

Figure 1 – TJSO Organizational Chart 2

Table 1. FY 2010 DDFO Performance Objectives and Measures 6

Table 2. FY 2010 Supplemental Performance Objectives and Measures 12

PREAMBLE

The purpose of the Thomas Jefferson Site Office (TJSO) Annual Performance Plan (APP) is to describe how the Site Office FY 2010 activities will support the mission of the Office of Science (SC). The TJSO APP is the highest level operating plan for the Site Office. As such, the plan:

- Establishes clear TJSO organizational-specific goals, objectives, and measures for FY2010, including those that address the SC Deputy Director for Field Operations (DDFO) expectations;
- Communicates Site Office goals and expectations to employees and provides linkages to individual staff performance plans;
- Communicates TJSO planning priorities to DOE headquarters;
- Creates a basis for strengthening and evaluating performance, conducting self-assessments and achieving continuous improvement;
- Creates a basis for the end-of-year Annual Assessment Report; and
- Identifies TJSO management approach to accomplishing its mission and functions.

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 DOE line management organization reporting to the SC DDFO. TJSO provides the Department of Energy (DOE) and the Office of Science (SC) on-site presence at the Thomas Jefferson National Accelerator Facility (TJNAF), Newport News, Virginia, and has overall federal responsibility for all operations at TJNAF. Direct technical and administrative assistance to TJSO is provided primarily by the SC Oak Ridge Integrated Service Center (ORO-ISC). The TJSO mission, organizational relationships and functions can be found in Attachment 2, and 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 (SURA) and the Computer Science Corporation (CSC).

TJNAF is a government-owned, contractor-operated facility and is one of ten world-class, contractor-operated laboratories under the management of SC. TJNAF's core business line is basic research into the nature of hadronic matter. Jefferson Laboratory 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.

Figure 1 – TJSO Organizational Chart

THOMAS JEFFERSON SITE OFFICE

(1) Includes Property and Fleet Management
(2) Incluldes Cyber Security
(3) Includes Environmental activities
(4) Includes Safeguards and Security

The ultimate goal of SC is to advance the DOE and SC missions, in large part through the SC's laboratories' unique capabilities and facilities. Successful operation of an SC laboratory involves meeting or exceeding established SC expectations. In support of this goal, TJSO's daily functions entail essentially two aspects: contractor management and maintaining a "Sense of the Laboratory."

Contractor management functions consist of:

- Setting Expectations: Establishing and communicating expectations 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.

A "Sense of the Laboratory" is needed to ensure a level of detail and understanding is available to 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 "Sense of the Laboratory" means an awareness and appreciation of Laboratory performance, programs, operations, and conditions so that effective communication and informed decision-making can occur. The "Sense of the Laboratory" must be actively maintained because of the dynamic nature of laboratory programs, operations, conditions, and associated laboratory performance and issues.

"Awareness" implies vigilance and has been characterized as the DOE "eyes and ears" in the same way as it has been used in the operational awareness program. Operational awareness involves information collection through a physical presence (the "eyes") and an active and effective communication (the "ears") by DOE.

"Appreciation" implies a sufficient level of understanding to be able to reach informed and workable decisions concerning the effective and efficient operation of the Laboratory. Appreciation entails building and maintaining a broad, general knowledge base of laboratory performance, programs, operations, and conditions. It does not imply sophistication or specialized knowledge.

TJSO activities can likewise be categorized into four general work areas: Business/Contract Management; Program and Project Management; Federal Stewardship; and TJSO Internal Operations.

Business/Contract Management entails setting performance expectations and communicating them to the M&O contractor; integrating DOE requirements into the M&O Contract; authorizing and funding work; and providing feedback to the contractor.

Program and Project Management encompasses monitoring site and facility operations; reviewing and approving work; and coordinating the activities that are needed to complete assigned programs and projects.

Federal Stewardship consists of the obligation to maintain and protect Federal assets such as: appropriated funds; buildings, contractor acquired property, infrastructure and scientific facilities; intellectual resources; the contractor and Federal workforce; and the habitat and ecological resources. Federal stewardship also includes ensuring long-term protection of people and the environment.

Internal Operations refers to the system by which TJSO manages and conducts it own operations. This includes items such as employee development, employee relations, recruiting, travel, training, awards, salaries, and maintenance of TJSO policies, plans, and procedures.

An overview of the management system, which integrates the various functions and activities, and describes how TJSO carries out its day-to-day activities, is shown in Attachment 3.

One of the key responsibilities of the Site Office is to support the Office of Science Nuclear Physics Program. These responsibilities include a wide variety of activities, which are performed through the four core program management functions outlined above. The Site Office supports the Office of Nuclear Physics as an on site program representative and provides assistance with specific program liaison and management functions as required. One key activity is program awareness: becoming familiar with program activities occurring at the site, including scope, schedule and cost. It also includes obtaining an understanding of program relationships, site resources and capabilities necessary to support program activities. Program awareness supports the identification of potential site issues and/or concerns that may affect the ability to complete program requirements. When the Program Office requests Site Office assistance with management of the program, the two offices communicate as needed to ensure consistent direction is provided to the contractor for execution of the program. In particular, the Site Office will provide to the program office as requested:

- Input and evaluations regarding program requirements and commitments, program plans (including risk and resource assessments), performance objectives and priorities, and contractor performance;

- Participation on program teams;

- Oversight of program execution (such as assure completion of agreed upon objectives, support program budget updates, participate in program and project reviews); and

- Input on the contractor's readiness to respond to new requirements.

1.0 FY 2010 DDFO Performance Objectives, Measures and Targets

Where applicable, specific Objectives, Measures and Targets have been established for each DDFO Performance Goal (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.

Table 1. FY 2010 DDFO Performance Objectives and Measures

Goal 1. Improve Our Operations

Objective	Measure	Target
1.1.1 Prepare the FY 2010 TJSO Annual Performance Plan.	Issue the FY 2010 Annual Performance Plan, incorporating DDFO Goals and Objectives.	10/1/09
1.1.2 Conduct an assessment of FY 2009 TJSO performance against performance plan.	Issue the FY 2009 Annual Assessment Report.	11/1/09
1.1.3 Update staffing analysis	Submit FY 2012 Program Direction budget request and justification.	5/1/10
1.1.4 Implement effective TJSO management systems and procedures that are consistent with SCMS procedures and field office roles, responsibilities, authorities, and accountabilities.	Management systems and SOPPs are instituted and maintained.	9/30/10
1.1.5 Implement TJSO Corrective Action Plan in response to the June 2008 HSS ES&H inspection.	CAP is implemented on schedule. Conduct effectiveness reviews, as appropriate.	9/30/10
1.1.6 Revised TJSO oversight model consistent with DOE and SC performance management and state guidance.	Issue updated Operational Awareness Program Plan.	9/30/10

Goal 2. Improve Our Laboratories

Objective	Measure	Target
1.2.1 Ensure effective Contractor Assurance Systems are in place.	Facilitate implementation (including schedule) in accordance with HQ guidance through teaming with the laboratory and contractor to define, develop, and implement robust and effective CAS.	9/30/10
1.2.2 Ensure TJNAF site planning and infrastructure supports mission accomplishment.	Approve the Infrastructure portion of the Annual Laboratory Plan, and facilitate implementation of the Mission Readiness concept, including a Peer Review of laboratory.	9/30/10
1.2.3 Ensure infrastructure modernization project proposals are well justified and developed.	Facilitate continued development and appropriate review of the CEBAF Center Expansion and Renovation Project and the Utilities Infrastructure Modernization Project.	9/30/10

Goal 3. Bring Order to Chaos

Objective	Measure	Target
1.3.1 Implement contract reform and other initiatives applicable to field elements.	Implement in accordance with HQ guidance.	9/30/10
1.3.2 Support DOE and SC corporate needs and initiatives.	Participate in non-TJNAF program and project reviews, and similar activities (e.g., accelerator safety working group, project reviews)	9/30/10

Goal 4. Help Our Laboratories Be Successful

Objective	Measure	Target
1.4.1 Establish a TJSO-TJNAF Integrated Assessment Schedule for FY 2010.	Schedule issued.	10/1/09
1.4.2 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.	ORION entries document "Sense of the Laboratory" activities.	9/30/10
1.4.3 Ensure programs and projects are conducted using sound management practices.	Conduct 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.	9/30/10
1.4.4 Maintain oversight of TJNAF closure of HSS ES&H findings from June 2008 ES&H inspection, and provide guidance as appropriate.	Conduct oversight and effectiveness reviews of CAP actions, as appropriate.	9/30/10
1.4.5 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. Coordinate DOE and external reviews, evaluations and inspections of the Laboratory.	ORION entries record Federal Stewardship activities as they are planned, executed and completed.	9/30/10
1.4.6 Establish a risk-based assessment planning guide with the laboratory.	Reach agreement with the laboratory.	9/30/10

Goal 5. Evaluate Our Contractors Fairly

Objective	Measure	Target
1.5.1 Finalize FY 2010 TJNAF PEMP.	Incorporate PEMP into contract Appendix B.	10/1/09
1.5.2 Perform an FY 2009 end-of-year evaluation of TJNAF contractor performance.	Complete evaluation and transmit to contractor.	12/31/09
1.5.3 Perform a FY 2010 mid-year evaluation of TJNAF contractor performance.	Complete evaluation and transmit to contractor.	5/31/10
1.5.4 Prepare FY 2011 TJNAF PEMP.	Submit draft PEMP to SC-HQ.	9/1/10

2.0 FY 2010 Supplemental Performance Objectives, Measures and Targets

Supplemental Objectives, Measures and Targets have been established that are specific to TJSO, which do not easily fall within any DDFO FY 2010 objectives (Table 2). These likewise flow down to employee performance plans, as applicable. A minimal set of additional objectives, measures, and targets have identified beyond the DDFO FY 2010 objectives, as most TJSO items fell within the DDFO FY 2010 objectives.

Table 2. FY 2010 Supplemental Performance Objectives and Measures

Functional Area 1. Business/Contract Management

Objective	Measure	Target
2.1.1 N/A	N/A	

Functional Area 2. Program and Project Management, and Federal Stewardship

Objective	Measure	Target
2.2.1 N/A	N/A	

Functional Area 3. Internal Operations

Objective	Measure	Target
2.3.1 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.	Implement TJSO Technical Qualification Program (TQP) for identified positions. Personnel achieve and maintain quals. Complete IDPs in accordance with DOE guidance. TJSO management and staff jointly review IDPs for career and skills development. Look for ad-hoc opportunities during the year for staff developmental assignments.	9/30/10

3.0 FY 2010 Oversight Plan

The process for planning, executing, reporting, and closing action items from assessment activities is described in TJSO SOPP 4.5, Operation Awareness Program Plan. In advance of each fiscal year, a three-year assessment schedule is furnished to the TJSO Manager/Deputy Manager for review and approval. Before the assessment schedules are submitted for management review, each TJSO assessor has discussions with their Laboratory counterparts to identify and coordinate assessment schedules (including evaluating joint assessment in lieu of separate assessments) in the upcoming year. Only formal surveillance assessments are candidates for inclusion in SC's Integrated Assessment Schedule, as maintained in ORION. Attachment 4 provides the FY 2010-2012 assessment schedule.

In addition to contract or regulatory requirements, the frequency and depth of assessments performed on any given functional area are graded based on a risk and probability perspective. TJSO considers risk, resource, and programmatic factors such as those listed below to assist in determining how and where oversight resources should be expended:

- History of contractor performance
- Complexity of the facility and facility operations
- Degree of exposure to hazardous work environments
- Age, maintenance condition, and level of uncertainty of the facility
- Potential for on-site or off-site environmental impacts
- Evidence of other (e.g., DOE, Contractor) oversight activities (e.g., TJSO Operational Awareness activities, TJNAF CAS effectiveness)
- Facility configuration changes
- Facility operations involving multiple shifts
- Potential for DOE or public interest
- Risks to successful mission accomplishment
- Operational status and financial risks
- ORPS, IG and GAO reports

An assessment planning matrix is also used by the Site Office, compiling assessment driver sources together into a single source. The matrix integrates locally imposed assessments (i.e., requirements identified in Site Office procedures), regulatory permits, and DOE Directive and SCMS requirements. The TJSO assessment planning matrix prompts subject area owners to differentiate between required assessment frequencies, from those that are based on discretion (i.e., satisfying assessment frequency language in Directives such as "periodic" or "frequently").

The TJSO assessment planning matrix allows 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 IG report, or "for-cause" events). To help ensure all programmatic areas and responsibilities are being covered in the annual assessment planning stage, the assessment schedules proposed by other SC site offices are reviewed to ensure a comprehensive TJSO assessment program is prepared.

By creating the assessment planning matrix, the Site Office not only closes out a previously self-identified gap, but also addresses an Opportunity for Improvement identified by HS-64 during the June 2008 ES&H review.

A flow diagram of the TJSO issues management process is provided within SOPP 4.5, Appendix E. Higher significance issues, or recurrence of lower significance 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 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.

Regarding the development of the annual Contractor 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; laboratory internal audits; external reviews; events; trends and lessons-learned; as well as TJSO day-to-day operational awareness activities. Based upon the forgoing, TJSO formulates proposed notable outcomes, which are discussed with the laboratory. Once clarified, 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.

Attachment 1 – List of Acronyms

- CSC – Computer Science Corporation
- CEBAF - Continuous Electron Beam Accelerator Facility
- CH - Chicago Office
- DOE - Department of Energy
- ISC - Integrated Support Center
- JSA - Jefferson Science Associates
- One SC - the project undertaken by SC to restructure and re-engineer the SC organization
- ORO - Oak Ridge Office
- SC - Office of Science
- SCMS – Office of Science Management System
- SURA - Southeastern Universities Research Association
- TJNAF - Thomas Jefferson National Accelerator Facility
- TJSO - Thomas Jefferson Site Office

Attachment 2 – TJSO Mission and Functions Statement

MISSION

The Thomas Jefferson Site Office (TJSO) manages the Department of Energy (DOE) performance-based management and operating contract for the safe, secure, effective, and efficient operation of the Thomas Jefferson National Accelerator Facility (TJNAF). TJSO supports the Office of Science (SC) mission to foster, formulate, and support forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish DOE missions.

ORGANIZATIONAL RELATIONSHIPS

TJSO is a SC line management organization that reports to the SC Chief Operating Officer. Within SC, the Headquarters (HQ) organization establishes policy and direction while Field organizations implement that policy and direction. The Site Offices are responsible and accountable for the management of an assigned laboratory contract and oversight of the operational and management performance of the assigned laboratory contractor. TJSO has been assigned the TJNAF contract. TJNAF is a government-owned, contractor-operated facility with a site and facilities in Virginia and is one of ten world-class, contractor-operated laboratories under the management of SC. Direct technical and administrative assistance to TJSO comes from the SC Chicago Office and the SC Oak Ridge Office.

FUNCTIONS

TJSO is responsible for performing a set of functions that assure the Site Office mission is successfully achieved. To effectively perform these functions, TJSO develops and maintains a "Sense of the Laboratory", including a general knowledge of the Laboratory science and technology programs and specific knowledge of Laboratory operations, performance, and conditions. Site Office functions have been categorized by the roles assigned to the Site Offices. These roles are contract management, program and project implementation, Federal stewardship, and internal operations.

Contract Management – provides effective leadership and maximizes the effective working relationship between DOE and the contractor; manages and administers the contract by setting and communicating expectations, integrating DOE requirements, authorizing work, and providing timely feedback to the contractor.

1. Establishes effective working relationships with DOE-HQ, DOE Field Organizations, and with the contractor. Serves as the single point of Federal accountability for the contract.

2. Determines the applicability of policy, administrative, operational, and programmatic requirements from all sources and integrates these into a single set of requirements. Formally communicates these requirements to the contractor and enforces contract requirements.

3. Authorizes the Laboratory to perform work. Reviews and approves contract deliverables that result from approved work.

4. Provides formal direction and guidance to the contractor. Develops and includes performance measures and other expectations in the Laboratory contract to measure contractor success.

5. Conducts oversight of the Laboratory and assesses contractor performance. Provides timely feedback to the contractor on performance. Authorizes payments and fee.

6. Reviews and approves contractor business and administrative systems consistent with contract requirements.

7. Periodically reviews the Laboratory contract; negotiates changes and modifies the Laboratory contract, as required.

8. Obtains approval from the Head of Contracting Activity for contractual items not delegated to the Site Office.

Program and Project Implementation – monitors overall contractor operations, reviews and approves work, and coordinates activities related to assigned programs and projects.

9. Conducts program management/implementation/oversight as delegated by program sponsors. This includes determining applicability of DOE policies and direction for assigned work and performing oversight and operational awareness reviews, as required.

10. Reviews and authorizes work to the contractor through formal processes (such as the Laboratory Directed Research and Development, Project Directives, Technical Work Plans, etc.).

11. Serves as the Federal Project Director for assigned projects.

12. Maximizes the effective working relationship between the contractor and DOE in executing programs. Serves as the point-of-contact for integrating the needs of SC and other non-SC sponsors.

13. Facilitates the execution of programs by resolving DOE and/or other stakeholder issues. This includes conducting negotiations with other Federal agencies, as appropriate, related to Work for Others Agreements, Technology Transfer (including Cooperative Research and Development Agreements), Interdepartmental Work Orders, and other agreements.

14. Participates in reviews, evaluations, and inspections 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. This includes the areas of Environment, Safety, and Health; Safeguards and Security; and Project Management Systems. Coordinates DOE and external reviews, evaluations, and inspections of the Laboratory.

15. Participates in the planning and establishment of overall SC expectations and directions, and provides feedback. Provides input and responds to the Annual Field Budget Call and other special requests, as required.

16. Seeks approval for activities where authority does not reside within the Site Office.

17. Develops and maintains a working relationship with the sponsoring research program offices, such as the SC Associate Director level or Assistant Secretary level, to ensure integration of Laboratory science programs with operations.

Federal Stewardship – maintains and protects Federal assets at the site or assigned to the Site Office.

18. Reviews and assesses the Laboratory support activities and stewardship needs against the contract requirements and takes action, as necessary.

19. Develops and maintains an effective working relationship and communication with DOE-HQ, other DOE organizations, elected officials, Federal, State and local agencies, and as appropriate other key stakeholders, such as the national and international science community. Develops and maintains effective community stakeholder and media relations programs.

20. Coordinates with DOE-HQ and other potential stakeholders to determine the optimal allocation of resources to meet stewardship needs.

21. Provides feedback to SC and other HQ Program sponsors on the HQ funding, planning, and direction that impact the Laboratory site or infrastructure.

22. Serves as the owner for transactions affecting the government's rights in Federal assets, such as transfers of interest and execution of permits. Serves as the Federal steward and ensures the protection and maintenance of Federal assets located at the Laboratory.

Internal Site Office Operations – manages Site Office resources and business systems to ensure that the Site Office successfully achieves its mission.

23. Manages Site Office resources. Determines Site Office needs (staffing, travel, training, and awards) and requests appropriate resources.

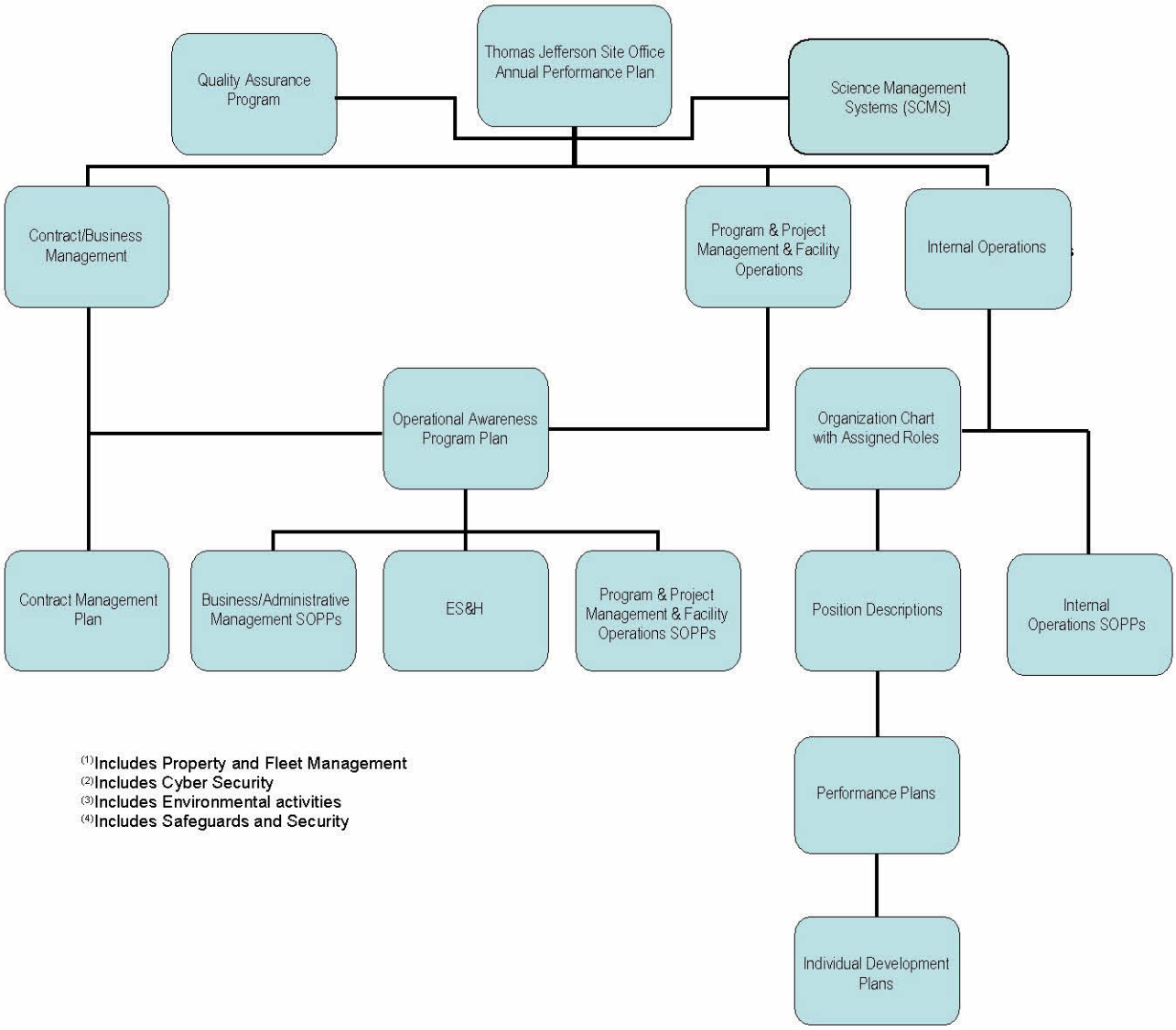
24. Identifies, develops, and maintains appropriate tools and techniques to ensure that the Site Office can successfully accomplish its assigned mission.

25. Works with the Chicago Office and the Oak Ridge Office to obtain required TJSO technical and administrative support. Provides TJSO resources when needed and available to support the rest of the SC organization.

26. Conducts self-assessments of TJSO management, organization, and operations. Revises internal TJSO management structure, organization, and operations, as appropriate.

27. Participates, as requested, in the planning and establishment of overall SC expectations and direction and provides feedback.

Attachment 3 – TJSO Program Management System Overview



[1]Includes Property and Fleet Management
[2]Includes Cyber Security
[3]Includes Environmental activities
[4]Includes Safeguards and Security

Attachment 4
FY 2010 Integrated Assessment Schedule
9/18/2009

First Quarter

Topic/Area	Who	Type	ES&H	1Q	2Q	3Q	4Q	Scheduled Start	Scheduled Completion	Date Assess Completed	Date Report Finalized	CRAD Approach	Justification/ Comments	Point of Contact
Radiation Safety for Workers Including 10 CFR 835 Subparts (Peer Review)	JLab/TJSO	Peer Rev	X	X				10/26/2009	10/28/2009				10 CFR 835	V. Vylet - Lead D. Luke
HSS Effectiveness Review Material Handling	JLab/TJSO	Rev	X	X				11/3/2009	11/5/2009			Yes	DOE O 420.1B	B. Doane - Lead S. Neilson
Laser Safety	JLab	Rev	X	X				10/1/2009	12/17/2009				Semi-annual JLab requirement	D. Owen
Quarterly Safety Trend Analysis (4th Qtr FY 09)	JLab	MSA	X	X				10/1/2009	11/20/2009			No	DOE O 226.1	S. Smith
EVMS Surveillance Review	JSA	Rev		X				10/19/2009	10/23/2009				Added at the request of 12 GeV	D. Miner
Training Records Implementation Effectiveness Review	JLab	IA	X	X				12/6/2009	12/10/2009			Yes	Required by contract, PEMP and DOE O 226.1	B. Doane
Quarterly Facilities Coordination Review (Tentative)	JLab	MSA		X				TBD	TBD			No	Tentative - under review by Facilities	R. Sprouse
Annual Property Inventory (FY '09 Data)	JLab	MSA		X				TBD	TBD				DOE O 580.1 (annual requirement)	R. Sprouse/T. Briggs
JSA - Biennial Review of Prices Charged for Materials & Services	ORO - FM	Rev		X				10/1/2009	12/31/2009				Contract requirement	Brittin (McKeehan)
JSA - Review of Funds Control Process at TJNAF	ORO - FM	Rev		X				10/1/2009	12/31/2009				Contract requirement	Brittin (Stokes)

Color indicates QA/CI primary assessment responsibility
Color indicates JLab/TJSO joint assessment responsibility
White indicates no direct JSA assessment responsibility

Second Quarter
FY10

Topic/Area	Who	Type	ES&H	1Q	2Q	3Q	4Q	Scheduled Start	Scheduled Completion	Date Assess Completed	Date Report Finalized	CRAD Approach	Justification/ Comments	Point of Contact
Transportation & Packaging Safety	TJSO/JLab	Rev	X		X			1/2010 Tentative	1/1/2010			Yes	Triennial requirement of O 460.1B	T. Briggs/B. Doane P. Hunt - Lead
Chemical Safety (Waste Acid Safety)	JLab/TJSO	Rev	X		X			2/1/2010	2/5/2010				DOE O 226.1 & O 420.1B	P. Mutton - Lead S. Neilson
HSS Effectiveness Review Issues Mgmt.	JLab/TJSO	Rev	X		X			3/1/2010 Tentative	3/31/2010				DOE O 226.1 HSS finding D-3 closure.	B. Rainey - Lead P. Hunt
Quarterly Safety Trend Analysis (1st Qtr FY 10)	JLab	MSA	X		X			1/4/2010	2/19/2010				DOE O 226.1	S. Smith
Laser Training Record Assessment	JLab	IA	X		X			2/10/2009 Tentative	2/12/2009			Yes	Added to schedule per CATS item IA-2008-48-04	B. Doane
Accelerator Internal Safety Review (place holder)	JLab	IA	X		X			TBD	TBD			Yes	Triennial requirement of O 420.2B Safety of Accelerator Operations and in response to CATS item IA-2007-54-15.	P. Mutton
Quaterly Facilities Coordination Review (Tentative)	JLab	MSA			X			TBD	TBD				Tentative - under review by Facilities	R. Sprouse
HSS OFI Summary Progress Assessment (tentative title)	JLab	IA	X		X			TBD	TBD			Yes	HSS review and CATS action IA-2008-35-12	B. Rainey

Industrial Hygiene Peer Review	JLab	Peer Review	X		X			TBD	TBD				Entered at the request of ESH&Q Division	D. Owen
12 GeV Quality Management Review	JLab	MSA	X		X			TBD	TBD				Entered ta the request of 12 GeV	W. Funk
2nd Quarter FY10 (continued)														
Topic/Area	**Who**	**Type**	**ES&H**	**1Q**	**2Q**	**3Q**	**4Q**	**Scheduled Start**	**Scheduled Completion**	**Date Assess Completed**	**Date Report Finalized**	**CRAD Approach**	**Justification/ Comments**	**Point of Contact**
Software QA & Control	JLab	MSA			X			TBD	TBD				Entered at the request of Chief Information Officer	R. Whitney
ARRA Cost & Accrual	TJSO/ORO	Rev			X			1/11/2010	3/31/2010				DOE O 520.1A	D. Brittin
Conference Management Follow-up Review	TJSO	Rev			X			2/1/2010	2/28/2010			No	DOE O 130.3A	D. Brittin
Radiation Safety 10 CFR 835	TJSO	Rev			X			2/1/2010 Tentative	2/28/2010				10 CFR 835	D. Luke

Third Quarter
FY10

Topic/Area	Who	Type	ES&H	1Q	2Q	3Q	4Q	Scheduled Start	Scheduled Completion	Date Assess Completed	Date Report Finalized	CRAD Approach	Justification/ Comments	Point of Contact
Eng. & FEL Pressure Systems Documentation Review	JLab/TJSO	MSA	X			X		4/1/2010	4/5/2010				10 CFR 851	W. Oren - Lead Eng G. Williams - Lead FEL S. Neilson
Electrical Safety Peer Review	TJSO/JLab	IA	X			X		5/1/2010	5/5/2010				OSHA requirement	T. Kujawa/S. Neilson-Lead
Laser Safety	JLab	Rev	X			X		4/1/2010	6/30/2010				Semi-annual JLab requirement	D. Owen
Quarterly Safety Trend Analysis (2nd Qtr FY 10)	JLab	MSA	X			X		4/1/2010	5/19/2010				DOE O 226.1	S. Smith
Trend Analysis Implementation Effectiveness Review	JLab	MSA	X			X		4/19/2010	4/23/2010			Yes	Required by contract, PEMP and DOE O 226.1	B. Doane
Physics Division Experimental Readiness Review Process for PREx (Tentative title)	JLab	MSA				X		TBD	TBD				DOE O 226.1	D. Skopik
Quaterly Facilities Coordination Review (Tentative)	JLab	MSA				X		TBD	TBD				Tentative - under review by Facilities	R. Sprouse
ARRA Reporting Assessment	JLab	MSA				X		TBD	TBD				Entered per request of CFO	J. Scarcello
Unreviewed Safety Issue Review	TJSO	Rev				X		4/1/2010	4/30/2010				DOE O 420.2B NOTE: Dates are Tentative	M. Epps
Hall A Accelerator Operations Review	TJSO	Rev				X		4/1/2010	4/30/2010				DOE O 420.2B NOTE: Dates are Tentative	M. Epps
Emergency Management Review	TJSO	Rev				X		4/1/2010	4/30/2010				DOE O 151.1C NOTE: Dates are Tentative	D. Luke

3rd Quarter FY10 (continued)														
Topic/Area	**Who**	**Type**	**ES&H**	**1Q**	**2Q**	**3Q**	**4Q**	**Scheduled Start**	**Scheduled Completion**	**Date Assess Completed**	**Date Report Finalized**	**CRAD Approach**	**Justification/ Comments**	**Point of Contact**
Accelerator & FEL Work Planning & Control Rerview	TJSO	Rev				X		4/1/2010	4/30/2010				DOE O 420.2B NOTE: Dates are Tentative	M. Epps
JSA - Budget Validation	ORO	Rev				X		4/2/2010	4/30/2010				DOE O 520.1	Brittin (McKeehan)
Hall B Accelerator Operations Review	TJSO	Rev				X		5/1/2010	5/31/2010				DOE O 420.2B NOTE: Dates are Tentative	M. Epps
Hall C Accelerator Operations Review	TJSO	Rev				X		6/1/2010	6/30/2010				DOE O 420.2B NOTE: Dates are Tentative	M. Epps
Financial Management System Review	TJSO/ORO	Rev				X		6/1/2010	9/30/2010				DOE O 520.1A	D. Brittin
TEDF CD-3A Review	Peer	Rev				X		TBD	TBD				Project Management	R. Korynta

Fourth Quarter
FY10

Topic/Area	Who	Type	ES&H	1Q	2Q	3Q	4Q	Scheduled Start	Scheduled Completion	Date Assess Completed	Date Report Finalized	CRAD Approach	Justification/ Comments	Point of Contact
Confined Space Permit Review	JLab/TJSO	IA	X				X	TBD	TBD				Annual requirement	J. Kelly - Lead S. Neilson
Security Survey	ORO/JLab	IA					X	TBD	TBD				DOE O 470.4-1	M. Epps – Lead K. Burrows
Ergonomics Review	JLab	IA	X				X	10/1/2009	9/30/2010				Medical Dept. Review	Dr. Chandler
Quarterly Safety Trend Analysis (3rd Qtr FY 10)	JLab	MSA	X				X	7/6/2010	8/20/2010				DOE O 226.1	S. Smith
ISMS Effectiveness Review	JILab	MSA	X				X	7/12/2010	7/16/2010			Yes	Required by contract and M 450.4-1. Annual certification self assessment.	W. Rainey
S/CI Implementation Effectiveness Review	JLab	IA	X				X	9/20/2010	9/24/2010			Yes	Required by contract, PEMP and DOE O 226.1	B. Doane
Nano Materials Safety Assessment	JLab	IA	X				X	9/1/10 Tentative	9/30/2010				Annual requirement of N 456.1	J. Williams
Emergency Management ERAP	JLab		X				X	9/1/2010 Tentative	9/30/2010				DOE O 151.1C	J. Kelly
Annual Cyber Security Self Assessment	JLab	MSA					X	TBD	TBD				Entered per request of IT (Annual requirement)	R. Whitney
Quarterly Facilities Coordination Review (Tentative)	JLab	MSA					X	TBD	TBD				Tentative - under review by Facilities	R. Sprouse
Employee Concerns Self Assessment	JLab	MSA					X	TBD	TBD				Entered per request of Human Resources Dept.	R. Barbosa

4th Quarter FY10 (continued)														
Topic/Area	**Who**	**Type**	**ES&H**	**1Q**	**2Q**	**3Q**	**4Q**	**Scheduled Start**	**Scheduled Completion**	**Date Assess Completed**	**Date Report Finalized**	**CRAD Approach**	**Justification/ Comments**	**Point of Contact**
EMS Pollution Prevention Workshop	JLab	IA	X				X	TBD	TBD				CATS item IA-2006-117-08 & -12 and O 450.1	B. Rainey
JSA - A-123 Validation	TJSO						X	7/1/2010	8/31/2010				DOE O 226.1 & Required by "interim Guidance for Office of Management & Budget Circular A-123, Management's responsibility for Internal Control"	D. Brittin T. Reed
Science & Technology Review	DOE	Peer Rev					X	7/1/2010	7/31/2010				DOE O 226.1A NOTE: Date is based on 2009 review date in July. Will be updated when date is available.	S. Mallette, B. Tippens
Subcontract Administration	TJSO/ORO	Rev					X	7/12/2010 Tentative	8/31/2010			No	FAR	D. Brittin
Nuclear Physics - FY09 Annual Project Status Review of 12GeV UpgradeProject	DOE	Rev					X	9/1/2010 Tentative	9/30/2010				Project Management	J. May (local)
TEDF CD-3B Review	Peer	Rev					X	TBD	TBD				Project Management	Korynta

FY11 Integrated Assessment Schedule

Topic/Area	Who	Type	ES&H	1Q	2Q	3Q	4Q	Scheduled Start	Scheduled Completion	Date Report Finalized	CRAD Approach	Justification/ Comments	Point of Contact
Accelerator Safety - Approval & Conduct of Experiments Procedure Review	DOE	IA		X				10/1/2010	10/31/2010			O 420.2B	Epps, Mike
ISM – Annual Effectiveness Review/Declaration of TJSO ISM Program, including PD	DOE	IA		X				10/1/2010	10/31/2010			M 450.4-1	Luke, Dave
Laser Safety Program	DOE	IA		X				10/5/2010	10/7/2010			O 226.1	Hunt, Patty
TJNAF Cyber Accreditation	DOE	IA		X				10/10/2010	10/13/2010			O 205.1	Bethea, Andre
Effectiveness Review on JLab Assessment Program	JLab/DOE	Joint		X				10/20/2010	10/29/2010			O 414.1C	Neilson, Steve
Accelerator Operations Training	DOE	IA		X				11/1/2010	11/30/2010			O 420.2B	Epps, Mike
Annual Compliance Review for Use of Commercial Rad Waste Facility	DOE	IA			X			1/15/2011	2/15/2011				Hunt, Patty
JSA - Review of Related Party Transactions	ORO	IA			X			2/1/2011	4/29/2011				Cain, James
JSA – Budget Validation Review	ORO	IA				X		4/1/2011	5/2/2011			O 130.1	DeCosta, Bonnie
JSA - Review of Contractor Audit Resolution and Follow-Up System	ORO	IA				X		4/1/2011	6/30/2011			O 224.3	DeCosta, Bonnie

Accelerator Safety - Review and Approval of Facilities Modifications Procedure Review	DOE	IA				X		4/1/2011	4/30/2011			O 4202B	Epps, Mike
Conduct of Operations	DOE	IA				X		4/1/2011	4/30/2011			O 226.1	Epps, Mike

FY2011 (continued)													
Topic/Area	**Who**	**Type**	**ES&H**	**1Q**	**2Q**	**3Q**	**4Q**	**Scheduled Start**		**Date Report Finalized**	**CRAD Approach**	**Justification/ Comments**	**Point of Contact**
FIMS Validation	DOE	IA				X		4/1/2011	6/30/2011			O 430.1B	Korynta, Rick
Facility Safety - Conduct Triennial Fire Protection Assessment of Contractor	DOE	IA				X		5/1/2011	5/31/2011			O 420.1B	Luke, Dave
JSA – Annual Financial Management Systems Review	ORO	IA				X		6/1/2011	9/30/2011			O 520.1	McKeehan, Jerry
Lock-out/Tag-out Program, NFPA 70E	JLab/DOE	Joint				X		6/1/2011	6/3/2011			10 CFR 851	Neilson, Steve
JSA - A-123 Validation Review	ORO						X	7/1/2011	8/31/2011			OMB Circ. A-123	Smith-Wimes, Tanisha
ISM - Annual Effectiveness Review/Declaration of Lab's ISM Program	DOE						X	9/1/2011	9/30/2011			M 450.4-1	Luke, Dave
Office of Science, Office of Project Assessment - FY 2011 Annual Project Review of the 12 GeV Upgrade Project	DOE						X	9/1/2011	9/30/2011				May, Joe

FY12 Integrated Assessment Schedule

Topic/Area	Who	Type	ES&H	1Q	2Q	3Q	4Q	Scheduled Start	Scheduled Completion	Date Report Finalized	CRAD Approach	Justification/ Comments	POC
Accelerator Safety - Start-up Procedure Review	DOE			X				10/1/2011	10/31/2011			O 420.2B	Epps, Mike
ISM - Annual Effectiveness Review/Declaration of TJSO ISM Program, including PD	DOE		X	X				10/1/2011	10/31/2011			M 450.4-1	Luke, Dave
Fall Protection Program, Lab-lead Joint Review	JLab/DOE	Joint	X	X				10/1/2011	10/5/2011			O 226.1	Neilson, Steve
Annual Compliance Review for Use of Commercial Rad Waste Facility	DOE	IA			X			1/20/2012	2/20/2012				Hunt, Patty
Lock-out/Tag-out Program, NFPA 70E	JLab/DOE	Joint				X		6/1/2011	6/3/2011			10 CFR 851	Neilson, Steve
Accelerator Safety - USI Program	DOE	IA				X		4/1/2012	4/30/2012			O 420.2B	Epps, Mike
Accelerator Safety - Normal Operations Procedure Review	DOE	IA				X		4/1/2012	4/30/2012			O 420.2B	Epps, Mike
Accelerator Safety - Control of Facility Access Procedure Review	DOE	IA				X		4/1/2012	4/30/2012			O 420.2B	Epps, Mike
audit of EMS	DOE	IA	X			X		4/9/2012	4/11/2012			O 450.1	Hunt, Patty
Rad Waste Management / Environmental Authorizations	DOE	IA	X			X		6/16/2012	6/18/2012			M 435.1	Hunt, Patty
Review of JLab Quality Assurance Program	DOE	IA				X		4/1/2012	4/4/2012			414.1C, 226.1	S. Neilson
Biennial walkthrough to ID idle equipment	JLab/DOE	Joint					X	7/15/2012	9/15/2012			41 CFR 101-25	K. Burrows/ J. Hudgens
FIMS Validation	DOE	IA					X	7/30/2012	9/30/2012			O 430.1B	Korynta, Rick

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.

Management Self Assessment (MSA): An assessment done by a manager or his delegate on processes or procedures.

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.

External Review (Ext Rev): An independent assessment using external resources.

Surveillance (Sur): A formal, methodical examination and review of an organization's activities and compliance through a review of records. Equivalent to 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.

Walkthrough: 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."

Point of Contact: The person to contact for documentation relating to that assessment. For JLab QA/CI, this person is the Lead Assessment Specialist or the Document Coordinator.