Management System Description:

Office of SCience Management System (SCMS)

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Latest Overall MS Biennial Review Completed: 10/26/2016
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SCMS Revision: 4.1

1.0 Executive Summary

The Department of Energy (DOE) Office of Science (SC) is the single largest supporter of basic research in the physical sciences in the United States. SC supports a diverse portfolio of research that advances the science needed for revolutionary energy breakthroughs that seeks to unravel nature's deepest mysteries, and provide the Nation's researchers with the most advanced large-scale tools of modern science. SC is a Program Office within the Department of Energy, and is led by a Presidentially-nominated, Senate-confirmed Director and three senior career federal Deputy Directors.

SC's mission is to deliver these discoveries and tools, SC supports:

Science for Discovery, focused on unraveling nature's mysteries—from the study of subatomic particles, atoms, and molecules that make up the materials of our everyday world to DNA, proteins, cells, and entire natural ecosystems;

Science to Solve Global Issues, focused on advancing a clean energy agenda through basic research on energy production, storage, transmission, and use; and advancing our understanding of the Earth's climate through basic research in atmospheric and environmental sciences and climate change; and

National Scientific User Facilities, the 21st century tools of science—providing the Nation's researchers with the most advanced tools of modern science including accelerators, colliders, supercomputers, light sources and neutron sources, and facilities for studying the nanoworld.

To ensure its mission is executed properly and efficiently, SC uses a web-based management tool called the SCience Management System (SCMS). The SCMS and its supporting documentation and procedures serve the organization by providing a comprehensive, high-level description of SC's responsibilities, the associated authorities it operates within, and its management approaches designed specifically to deliver the above mission.

2.0 Purpose/Scope of SCMS

The SCMS represents SC's integrated management approach, applying assigned roles and responsibilities for the organization against the large set of applicable requirements SC must address in carrying out its mission. Descriptions and procedures, published within SCMS, serve to document SC's organization and to provide a disciplined and consistent line management approach to the accomplishment of work within the DOE requirements set established through Laws, Executive Orders, Regulations, and Directives (See Figure 1

below, *Documenting SC's Approach to Line Management*). The SCMS serves as an integrated management system, which fulfills the requirements of various other DOE required management systems such as the Integrated Safety Management System, the Integrated Safeguards and Security Management System, the Environmental Management System, the Quality Assurance system, and the Functions, Responsibilities, and Authorities (FRA) Document. The SCMS primarily focuses upon program management, oversight, and business practices conducted by SC Federal employees. Where appropriate, SCMS processes/procedures describe important interface with other DOE offices as well as SC contractors. SCMS content is also designed to be consistent with DOE requirements for various electronic systems (i.e., Standard Accounting and Reporting System [STARS], Strategic Integrated Procurement System [STRIPES], Draft Directives Review and Comment System [RevCom], Corporate Human Resources Information System [CHRIS]) .

Within SC, internal websites, such as ones built on SharePoint, are encouraged to be used as working sites for team collaboration and development. These types of sites are excellent tools for collaborative efforts between SC employees as well as the storage and access of key information specific to individual groups and organizations within SC (e.g., site specific processes, policies, procedures, and/or guides). However, these must not be the primary repository for any requirements information that SC is mandated by law to follow and/or that affects multiple SC organizations. All such requirements documentation must be contained in SCMS, as each document within the system is reviewed across the SC complex, quality checked for accuracy and currency, and approved by the appropriate senior level Management System Owner(s) and reviewed by all SC Site Office Managers prior to finalization and publishing. With the exception of the site specific processes as mentioned above, SCMS must be the only system used to codify any formal policies, processes, protocols, procedures, or requirements information for SC.

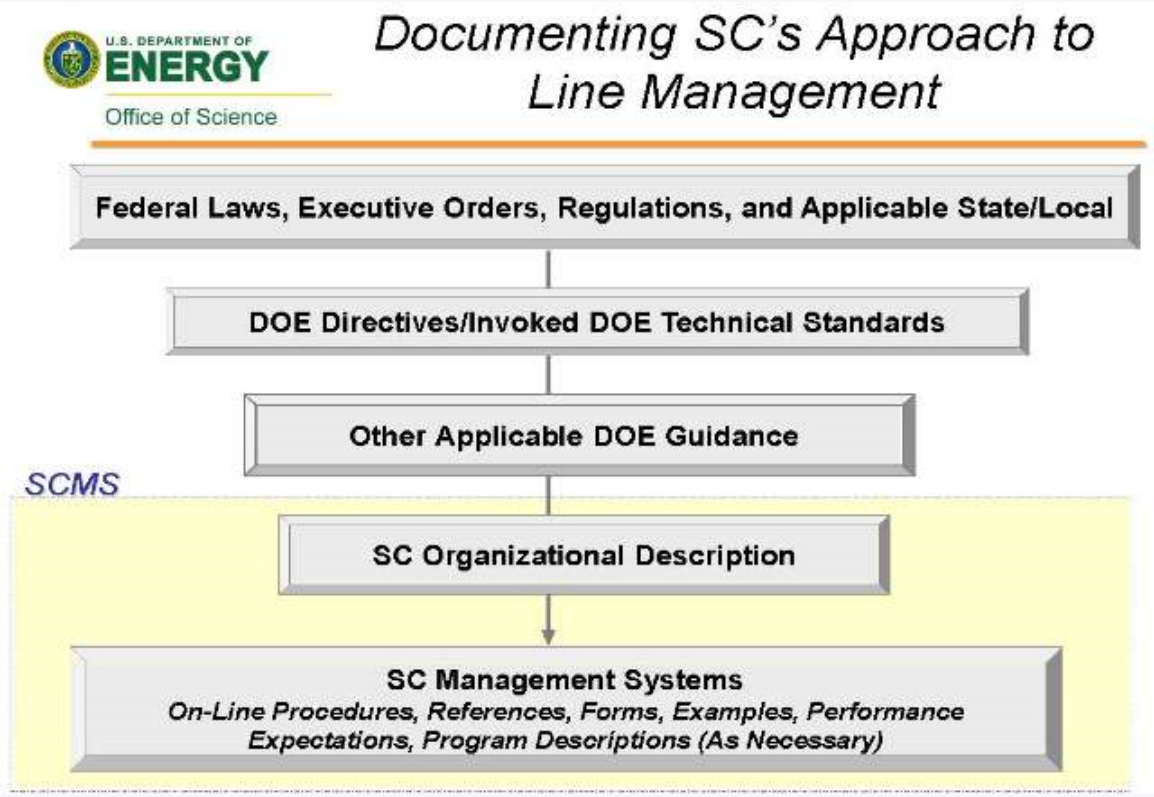


Figure 1

3.0 Organization Description

As the single largest supporter of basic research in the physical sciences in the United States, SC is currently providing more than 40 percent of total funding for this vital area of national importance. SC oversees–and is the principal Federal funding agency of–the Nation's Research Programs in high-energy physics, nuclear physics, and fusion energy sciences.

SC manages fundamental research programs in basic energy sciences, biological and environmental sciences, and computational science. In addition, SC is the Federal Government's largest single sponsor of materials and chemical sciences, and supports unique and vital parts of U.S. research in climate change, geophysics,

genomics, life sciences, and science education.

SC manages this research portfolio through six program offices:

1. Advanced Scientific Computing Research,
2. Basic Energy Sciences,
3. Biological and Environmental Research,
4. Fusion Energy Sciences,
5. High Energy Physics, and
6. Nuclear Physics.

In addition, SC sponsors a range of science education initiatives through its Workforce Development for Teachers and Scientists Program.

SC makes extensive use of peer review and Federal advisory committees to develop general directions for research investments, identify priorities, and determine the best scientific proposals to support.

SC posts Opportunity Announcements for the DOE National Laboratories in the Portfolio Analysis and Management System (PAMS). Proposals from the DOE National Laboratories are submitted directly to the sponsoring Program Office. Application submission instructions are available on the PAMS Website.

Through its Field Operations Office consisting of ten SC Site Offices and an SC Integrated Support Center (ISC), SC also is responsible for managing the Management and Operating (M&O) contracts of ten world-class laboratories (See Figure 2 below). DOE's National Laboratory system, created over a half-century ago, is the most comprehensive research system of its kind in the world.

The ten SC laboratories are:

1. Ames Laboratory,
2. Argonne National Laboratory,
3. Brookhaven National Laboratory,
4. Fermi National Accelerator Laboratory,
5. Lawrence Berkeley National Laboratory,
6. Oak Ridge National Laboratory,
7. Pacific Northwest National Laboratory,
8. Princeton Plasma Physics Laboratory,
9. SLAC National Accelerator Laboratory , and
10. Thomas Jefferson National Accelerator Facility.

In addition, SC operates the NBL Program Office (formerly the New Brunswick Laboratory), that reports to the Deputy Director of Field Operations, and the ORNL Site Office (SC OSO) manages the contract for the Oak Ridge Institute for Science and Education (ORISE).

SC oversees the construction and operation of some of the Nation's most advanced research and development user facilities, located at DOE National Laboratories and universities. These include but are not limited to particle accelerators, synchrotron light sources, neutron scattering facilities, nanoscience centers, supercomputers, and high-speed computer networks. Each year, these facilities are used by more than 25,000 researchers from universities, other Government agencies, and private industry.

Figure 2

In addition to sponsoring and funding research at the ten DOE laboratories, as noted above, SC supports mission-related research at more than 300 colleges, universities, and academic institutes nationwide in all 50 states and the District of Columbia. This is accomplished through financial assistance instruments (e.g., grants). The funding is considerable that is offered through these grants. Today, university researchers across the nation are responding to SC's challenges to tackle the most difficult scientific problems in energy, climate, and a host of other fields. SC's research funding also supports development of the next generation of scientific talent. Each year thousands of graduate students and postdoctoral researchers receive support from SC as part of the teams performing groundbreaking research for the world. Figure 3 below, shows the diversity of impact that SC has across the nation with its financial support.

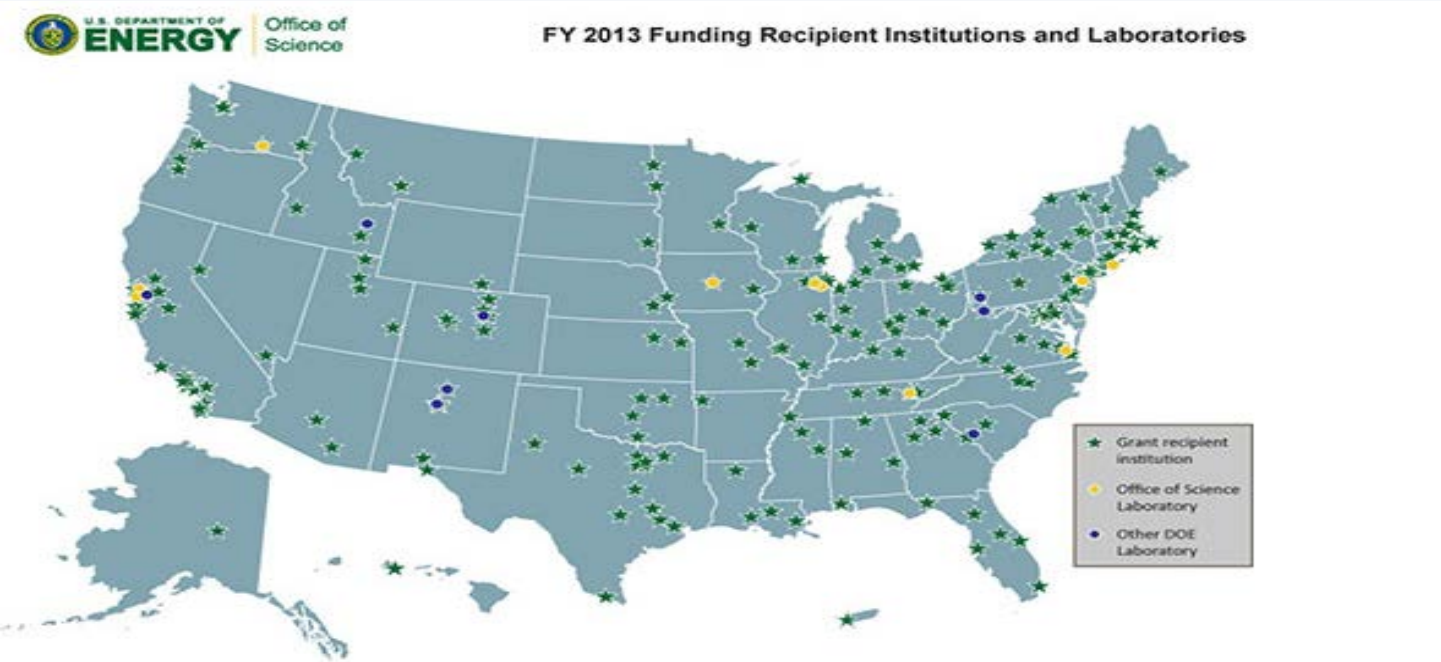


Figure 3

3.1 Under Secretary for Science and Energy (S 4):

S 4, created under the *Energy Policy Act of 2005*, and reorganized in July 2013 to expand the portfolio of the statutory S 4 to include the energy technology portfolio. Successful innovation for implementing the President's new energy strategy required the ability to closely integrate basic science, applied research, and technology demonstration. This change enables clear feedback loops, so barriers to technology development can inform scientific direction and inquiry. Establishing S 4 was key to enabling this critical transformation, and to implement the recommendation of the President's Council of Advisors on Science and Technology (PCAST) and other studies that have pointed to the need to improve integration of the science and applied energy research and development (R&D) programs of the Department.

S 4 is responsible for driving transformative science and technology solutions through coordinated planning and management oversight of the Department's science and energy programs. For DOE to more closely integrate basic science, applied research, technology demonstration and deployment, S 4 manages the programs and laboratories of SC and the programs and laboratories of DOE's applied energy portfolio in the Offices of Fossil Energy, Energy Efficiency and Renewable Energy, Nuclear Energy, Electricity Delivery and Energy Reliability, Indian Energy, and the Technology Transfer Coordinator. S 4 provides coordination among the DOE elements that facilitate the implementation of *The President's Climate Action Plan* and all-of-the-above energy strategy.

In carrying out this role, S 4 maintains a coordinating cognizance over all DOE Laboratories, including those whose contracts are managed by SC 4 and the other program offices within DOE. As prescribed by DOE O 226.1B, *Implementation of Department of Energy Oversight Policy*, the Deputy Director for Field Operations (SC 3) also serves as the Central Technical Authority for SC nuclear safety requirements.

The Director of the Office of Science (SC 1) reports directly to S 4. The SC Organization Chart provides SC's currently approved organization.

3.2 Office of the Director of the Office of Science (SC 1):

The Office of the Director of the Office of Science consists of SC 1, the Deputy Director for Science Programs (SC 2), the Deputy Director for Field Operations (SC 3), and the Deputy Director for Resource Management (SC 4). The SC Director has responsibility and authority for the mission-related work being conducted at SC laboratories and is responsible for the environment, safety, and health (ES&H) performance for the entire Office of Science. As such, SC 1 is accountable to the Secretary of Energy (S 1) for the safety and protection of Federal and contractor employees, the environment, and the public at all SC locations and operations. SC 1 has responsibilities and delegated authorities from the S 1 for establishing policy and expectations as well as assuring performance. SC 1 accomplishes these responsibilities at times through further delegation of authorities within SC.

SC 2 provides day-to-day management oversight of SC's research programs. SC 2 is responsible and accountable to SC 1 for the safety and protection of Federal employees assigned to the Science Programs organizations and for performance within established policy and expectations. SC 2 is responsible for providing scientific and management oversight of, and direction to, the SC Program Offices; setting SC specific policy related to the management of SC science programs; ensuring the SC research portfolio is integrated across the SC Program Offices, with other DOE Program Offices, and with other Federal agencies; and ensuring that a direct linkage of the current SC missions exists within SCMS by working with SC 3, who serves as the system owner.

SC 3 provides leadership in the strategic planning, management, oversight, and coordination of the SC ISC, SC Field offices, and assigned National Laboratories, facilities, and activities. SC 3 is responsible and accountable to the SC Director for the safety and protection of Federal and contractor employees assigned to SC 3 and assures performance within established policy and expectations. SC 3 is responsible for setting SC specific policy related to operational functions and the management, operation, and overall well-being of SC Laboratories; ensuring effective and consistent implementation of operational policy across the SC complex; and ensuring that the SCMS is current with the SC mission and reflects best business practice

policies and procedures, by working with the other two Deputy Directors.

SC 4 plans, develops, manages, and implements a central management policy support program that uses customer service and quality assurance principles to ensure effective and efficient business operations within SC. SC 4 is responsible and accountable to the SC Director for the safety and protection of Federal and contractor employees assigned SC 4 and assures performance within established policy and expectations. SC 4 is responsible for providing management oversight of, and direction to, the SC business management offices; ensuring the SC activities are in conformance with equal opportunity policies; ensuring that prudent business management practices are employed in the proper use of Federal funds; managing activities required by the *Federal Managers Financial Integrity Act* and *Federal Advisory Committee Act*; ensuring that a direct linkage of the current SC best business practice policies and procedures exists within SCMS by working with SC 3; and provides scientific and operational support for the National Science Bowl; provides scientific and operational support for high-visibility scientific honors awarded by The White House; and monitors and ensures compliance with graphic identify standards regarding use of the SC logo.

3.3 Office of the Deputy Director for Science Programs (SC 2):

SC 2 consists of six program offices and three other Headquarters (HQ) offices. The six program offices provide line management for Science and Research Programs. Each program office is managed by an Associate Director (AD) for Science. ADs for Science are responsible and accountable to SC 2 for the mission results for science and research, as well as assuring SC's program budget is properly formulated to adequately support operations at SC's National Laboratory sites.

3.3.1 Office of Advanced Scientific Computing Research (SC 21): The mission of the SC-21 program is to advance applied mathematics and computer science; deliver the most advanced computational scientific applications in partnership with disciplinary science; advance computing and networking capabilities; and develop future generations of computing hardware and tools for science, in partnership with the research community, including U.S. industry. The strategy to accomplish this has two thrusts: developing and maintaining world-class computing and network facilities for science; and advancing research in applied mathematics, computer science and advanced networking.

3.3.2 Office of Basic Energy Sciences (SC 22): The mission of the SC 22 program is to support fundamental research to understand, predict, and ultimately control matter and energy at the electronic, atomic, and molecular levels in order to provide the foundations for new energy technologies and to support other aspects of DOE missions in energy, environment, and national security.

3.3.3 Office of Biological and Environmental Research (SC 23): The mission of the SC 23 program is to support fundamental research and scientific user facilities to achieve a predictive understanding of complex biological, climatic, and environmental systems for a secure and sustainable energy future.

3.3.4 Office of Fusion Energy Sciences (SC 24): The mission of the SC 24 program is to expand the fundamental understanding of matter at very high temperatures and densities and to build the scientific foundation needed to develop a fusion energy source. This is accomplished through the study of plasma, the fourth state of matter, and how it interacts with its surroundings.

3.3.5 Office of High Energy Physics (SC 25): The mission of the SC 25 program is to understand how our universe works at its most fundamental level by discovering the elementary constituents of matter and energy, probing the interactions between them, and exploring the basic nature of space and time.

3.3.6 Office of Nuclear Physics (SC 26): One of the enduring mysteries of the universe is the nature of matter—what are its basic constituents and how do they interact to form the properties we observe? The largest contribution by far to the mass of the matter we are familiar with comes from protons and heavier nuclei. The mission of the SC 26 program is to discover, explore, and understand all forms of nuclear matter. Although the fundamental particles that compose nuclear matter—quarks and gluons—are themselves relatively well understood, exactly how they interact and combine to form the different types of matter observed in the universe today and during its evolution remains largely unknown. Nuclear physicists seek to understand not just the familiar forms of matter we see around us, but also exotic forms such as those which existed in the first moments after the Big Bang and that exist today inside neutron stars, and to understand why matter takes on the specific forms now observed in nature.

3.3.7 Office of Workforce Development for Teachers and Scientists (SC 27): The mission of the SC 27 program is to help ensure that DOE has a sustained pipeline of science, technology, engineering, and mathematics (STEM) workers. This is accomplished through support of undergraduate internships, graduate thesis research, and visiting faculty programs at the DOE laboratories; the Albert Einstein Distinguished Educator Fellowship for K–12 STEM teachers, administered by WDTS for DOE and for a number of other federal agencies; and annual, nationwide, middle- and high-school science competitions culminating in the National Science Bowl® in Washington, D.C. These investments help develop the next generation of scientists and engineers to support the DOE mission, administer programs, and conduct research.

3.3.8 Office of Project Assessment (SC 28): SC 28 provides independent advice to the Director of the Office of Science (SC) relating to those activities essential to constructing and operating major research facilities. In addition, this office provides professional management and staff support regarding these functions to SC program offices.

3.3.9 Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) Programs Office (SC 29): The mission of the SC 29 program is to expand and utilize Federal agency portions of R&D budgets which are set aside for funding for competitions among small businesses only. This is accomplished by awarding small businesses in these programs the rights to keep any technology they develop and encourage commercialization of the technology. The SBIR Program was established to provide funding to stimulate technological innovation in small businesses to meet Federal agency R&D needs. Congress established the SBIR and STTR programs to support scientific excellence and technological innovation through the investment of Federal research funds in critical American priorities to build a strong national economy.

3.4 Office of the Deputy Director for Field Operations (SC 3):

SC 3 consists of ten SC Site Offices, the SC ISC (i.e., SC Chicago [CH] and SC Oak Ridge [OR]), and three HQ offices.

3.4.1 SC Site Offices: SC Site Offices are fundamentally accountable for overseeing the entire operations of each laboratory, which entails monitoring the performance of the Contractor and ensuring compliance with contractual obligations. This encompasses a wide spectrum of oversight responsibilities in areas such as business systems, safety, security, infrastructure, and project management. Beyond providing oversight and quality assurance at our national laboratories, SC Site Offices are responsible for the facilities infrastructure in which research is conducted and for managing the transaction process that provides program-approved funding to the appropriate M&O Contractors and individual researchers. SC Site Offices monitor major construction projects and play a regulatory role for all nuclear activities at their respective laboratories. The ten SC Site Offices are listed below:

1. Ames Site Office (SC AMSO)
2. Argonne Site Office (SC ASO)
3. Berkeley Site Office (SC BSO)
4. Brookhaven Site Office (SC BHSO)
5. Fermi Site Office (SC FSO)
6. ORNL Site Office (SC OSO)
7. Pacific Northwest Site Office (SC PNSO)
8. Princeton Site Office (SC PSO)
9. SLAC Site Office (SC SSO)
10. Thomas Jefferson Site Office (SC TJSO)

3.4.2 SC Integrated Support Center: The SC ISC consists of two offices, SC CH and SC OR, which act as a single entity designed to support the SC Site Offices. The SC ISC provides services to each of the ten SC laboratories and the ten SC Site Offices on a pre-arranged basis as described in the annual ISC Service Plan by providing expertise and addressing needs in the Field that cannot be met with the limited resources of the SC Site Offices. Services are provided in areas such as ES&H, Procurement, Legal Services, Requirements Management, and Financial Services to SC as well as other DOE program offices, and as appropriate, other Federal agencies. As part of the SC ISC, the SCMS Operations Center is the central point for management of all SCMS activities and is located at SC OR. See the *ISC Service Plan*.

The SCMS Operations Center provides day-to-day management, operation, and maintenance of SCMS to ensure reliable and efficient services to SC. The SCMS Operations Center manages the SCMS documents

(i.e., Management System Descriptions, Subject Areas, Program Descriptions, and guidance/policy documents) production function by providing technical editing and publishing support to SCMS development and maintenance efforts, and also operates, manages, and maintains the SCMS Web application. The SCMS Operations Center also executes the requirements management functions of SCMS, administers the SC wide DOE Directives and DOE Technical Standards reviews, maintains quality and configuration management control for SCMS; and manages the SCMS Website.

3.4.3 Office of Safety and Security Policy (SC-31): SC-31 proactively leads all aspects of SC's management and oversight of operations at each of the ten DOE SC laboratories' operations in the following areas: (1) environmental protection, (2) worker safety and health, (3) emergency management, (4) radiological safety, (5) contractor assurance systems, (6) quality assurance, (7) safeguards and security, (8) laboratory foreign visits and assignments, (9) laboratory badging and clearance determinations, and (10) counterintelligence.

3.4.4 Office of Laboratory Policy (SC-32): SC-32 facilitates the competition and performance evaluation of the DOE SC laboratories' management and operating contracts. This Office supports the SC Head of Contracting Activity on all matters related to SC procurements, coordinates uniform policy with regards to contractor human resources management, and manages the SC laboratory directed research and development and strategic partnership programs.

3.4.5 Office of Operations Program Management (SC-33): SC-33 provides program management and operational support and analysis of the DOE SC laboratories in the areas of laboratory modernization, facilities and infrastructure, sustainability, and safeguards and security at the SC laboratories and sites. This Office manages the SC laboratories infrastructure program and projects, the SC Safeguards and Security program and projects, and represents SC in corporate policy deliberations related to facilities management and SC sustainability efforts.

3.4.6 NBL Program Office (SC-NBL): SC-NBL is a federally staffed SC program responsible for ensuring the production, certification, and distribution of nuclear reference materials for a wide variety of users. This Office is the U.S. Government's certifying authority for nuclear reference materials and measurement calibration standards.

3.5 Office of the Deputy Director for Resource Management (SC 4):

SC 4 plans, develops, manages, and implements a central management policy support program that utilizes customer service and quality assurance principles to ensure the effective and efficient operation of SC. These areas include program direction and analysis management; financial management; corporate business management; management analyses; acquisition and financial assistance management; human resources operations; human capital planning; information technology services; grants and contracts management; and business and administrative services; and cultivates awareness and understanding of SC research priorities and advances among SC's key stakeholders and the public. These functional areas are organized into five offices.

3.5.1 Office of Budget (SC 41): SC 41 manages the appropriation for SC, including the budget formulation, budget execution, and strategic planning processes for SC on behalf of SC 1. The office also ensures that SC program funds are used in accordance with the intent of the appropriation, financial management restrictions are not violated, proper accounting controls and practices are maintained, and adequate performance measures are in place to evaluate SC programs effectively.

3.5.2 Office of Grants and Contracts Support (SC 43): SC 43 serves as the SC wide focal point for the review and analysis of proposed Federal and DOE grant, contract, and business management policies and procedures. SC 43 develops and maintains information systems to record and track the receipt of grant applications and contract proposals, merit/peer reviews, procurement requests, and SC grant and contract awards. SC 43 provides guidance to other departmental elements on procurement/assistance actions and participates in the development of grant and contract business management strategies for the SC programs.

3.5.3 Office of Scientific and Technical Information (SC 44): SC 44 advances science and sustains technological creativity by making R&D findings available to the Department’s researchers and the American public. This effort is realized through collaboration within DOE through the Scientific and Technical Information Program to develop and maintain efficient, state-of-the-art access and delivery of research results; partner with

others to facilitate alliances for national and international cooperation and information exchange; and develop, deliver, and maintain customized information products and services for a variety of constituencies.

3.5.4 Office of Information Technology and Services (SC 45): SC 45 is the provider of information technology (IT) and information management (IM) services supporting the DOE Office of Science (SC) Headquarters. SC 45 is a focused group committed to implementing the organization's IT strategic and operating plans, and helping all SC customers accelerate business innovation and achieve the SC mission through technology. This Office applies proven methodologies and industry-standard practices to emerging new business requirements. The SC-45 enterprise IT services reach all of the SC customers and include desktop and collaboration services, infrastructure operations, information systems, IT planning, IT project management, and IT business administration support.

3.5.5 Office of SC Communications and Public Affairs (SC 47): SC 47 supports the mission of SC by communicating to stakeholders the importance of basic research, the activities and successes of SC, and the role of Federal funding in American discovery and innovation. As a major funder of basic scientific research in the physical sciences, SC has a responsibility to inform taxpayers of how their dollars are being invested to advance the public good through fundamental research. SC 47 manages news content on the SC Web site; facilitates the flow of information among National Laboratories, programs, and offices; coordinates news and media activities among the National Laboratories; engages DOE research partners in academia, and performs a host of public outreach activities.

3.5.6 Office of Management (SC 48): SC 48 is the primary corporate resource for administrative management in the SC with responsibility for developing organization specific policies, guidance and oversight related to resource, administrative, and program direction operations and management. The Office also serves as an expert consultant to SC senior management, SC program and support offices, and related DOE business and program offices. The following offices within SC-48 are responsible for the development of SC-wide executive policy, oversight, and guidance:

- **3.5.6.1 Office of Program Direction and Analysis:**
  Provides oversight for the budget that includes salaries, benefits, travel, consultants, training, reimbursable details, awards, Working Capital Fund.

- **3.5.6.2 Human Resources Advisory Office**
  Provides human capital functions including advisory services, strategic planning, organizational analysis and workforce planning.

- **3.5.6.3 Office of Administration**
  Provides administrative management programs including logistics requirements, temporary support services management, executive correspondence control, customer advocacy and outreach.

4.0 Interfaces

SC interfaces with other DOE HQ program offices, support offices, and with other external organizations. Programmatic interfaces are necessitated by the work performed for multiple Program Secretarial Offices at most DOE laboratories and sites.

4.1 DOE Headquarters Interfaces

Programmatic interfaces occur between SC and the Offices of Environmental Management; Energy Efficiency and Renewable Energy; Nuclear Energy; Electric Delivery and Energy Reliability; and the National Nuclear Security Administration (NNSA). These programs fund work at SC laboratories. SC also funds work at laboratories whose contracts are managed by these programs. In those cases, the Lead Program Secretarial Officer for the site or NNSA has overall ES&H responsibilities for laboratory wide activities.

SC also interfaces with the numerous DOE offices (e.g., including, but not limited to Environment, Health, Safety, and Security (AU 1); Enterprise Assessments (EA-1); Management (MA-1); Chief Human Capital Officer (HC-1); General Counsel (GC-1); and the Chief Financial Officer (CF-1) in areas such as administration, legal, technical, independent oversight, and policy and standards. These interfaces are conducted by various organizations within SC on a case-by-case basis.

4.2 External Interfaces

SC participates in initiatives involving external organizations including those ES&H initiatives associated with the U.S. Nuclear Regulatory Commission; the Occupational Safety and Health Administration; the Federal Emergency Management Agency; the U.S. Environmental Protection Agency; and the U.S. Defense Nuclear Facilities Safety Board. Scientific collaborations take place with agencies such as the National Science Foundation; U.S. National Aeronautics and Space Administration; and National Oceanic and Atmospheric Administration, to name a few. In addition, SC provides information to external organizations including the Office of Management and Budget (OMB); the Office of Science and Technology Policy (OSTP); Congress; and the U.S. Government Accountability Office (GAO), upon request. SC participates, supports, and may direct interactions with agencies and committees of stakeholders, and the media to address issues involving activities at the SC laboratories. These interfaces are conducted by various organizations in SC on a case-by-case basis. SC also participates in various organizations that are dedicated to improve the operations of DOE National Laboratories such as the National Laboratories Improvement Council (NLIC) and the Energy Facility Contract Owner's Group (EFCOG).

5.0 SC's Line Management Approach

The SC line management oversight responsibility originates from the S 1 and flows down through the S 4 to the SC 1 and then to the various SC organizational elements and their career Federal employees who monitor the day-to-day performance executed in accordance with ten M&O contracts and other prime/support contracts. Within SC, line management oversight of the SC Science and Research Programs is assigned by SC 1 to the SC 2, line management oversight pertaining to operations is assigned by SC 1 to the SC 3 and resource management is assigned by SC 1 to the SC 4. All three deputies are responsible for ensuring their respective line organization elements are effectively implementing these assignments. The three deputies, in turn, assign oversight responsibilities to SC Program ADs, SC Office Directors, SC Site Office Managers, and SC ISC Managers, while retaining appropriate accountability.

For each National Laboratory M&O contract managed by SC, the SC Site Office Manager is the single point of accountability for operational aspects. The SC Site Office Managers rely primarily upon technical expertise within their organization to accomplish their assigned line oversight activities. However, this technical expertise is augmented through the SC ISC, SC HQ, and other SC Site Offices. In observing this approach, SC has an unbroken line of accountability for oversight from its Director down to individual SC Site Office Managers who oversee the work of contractors. This technical expertise is augmented through the SC ISC, SC HQ, and other SC Site Offices. In observing this approach, SC has an unbroken line of accountability for oversight from its Director down to individual SC Site Office Managers who oversee the work of contractors.

SC utilizes a number of tools to enhance its oversight effectiveness. (e.g., assessments, reviews, surveys, or audits). Each National Laboratory M&O contractor has a Contractor Assurance System (CAS) designed to assure performance consistent with contract requirements while effectively and efficiently delivering the mission. SC has established an Oversight Model— a set of procedures and processes which integrate our oversight with the Laboratories CAS and with the expectation that we in the DOE will behave in a manner to support and enable the Laboratories execution of the Science and DOE missions, while ensuring work is done safely and efficiently and protective of the worker, public, and environment. In addition to a tailored, formal assessment program, the Federal oversight activities build on the CAS and consist of, review of contractor management system documents and records, and review of outputs from CAS, including peer reviews of operations, facilities, projects, programs and systems, and operational awareness activities, (e.g., surveillance, inspections, surveys, direct activity, observation [*boots on the ground*], and participation in contractor meetings).

Engagement of the contractor parent, laboratory management, and DOE are essential for CAS success. The Laboratories CAS is a critical element of how SC manages the National Laboratories, is an excellent process to measure success, and is therefore an important topic to be addressed in SCMS. SC 3 chartered a joint Federal and contractor team to develop a uniform CAS model for SC and developed a uniform H clause entitled *Contractor Assurance System* to replace the Contractor Requirements Document of DOE O 226.1B, *Implementation of Department Of Energy Oversight Policy*. In 2013 via memorandum, SC 3 reestablished SC expectations of Proper Federal Oversight.

In addition, SC Federal and M&O contractor operations are also subject to independent DOE oversight that originates from outside of SC. This independent oversight is provided by the DOE HQ Office of Enforcement

and Oversight (HS 40), the DOE HQ Office of the Inspector General (IG-1), the DOE HQ Office of Nuclear Safety Enforcement (HS 42), and the Office of Science through its Chief of Nuclear Safety.

6.0 SC Safety Management

As prescribed by DOE P 450.4A, *Integrated Safety Management Policy*, one of the leading SC fundamental functions and responsibilities is the expectation of sound safety management that enables SC to meet the Department's mission goals by efficiently accomplishing and effectively ensuring safe operations of all SC facilities and activities.

SC specific safety management functions are derived from DOE O 450.2, *Integrated Safety Management*. Specific functions and responsibilities for safety are further defined within the SC Management System Description: *Environment, Safety, and Health*. As appropriate and necessary, each SC field element organization (SC Site Offices and the SC ISC) develops its own functionally appropriate safety documents for its facilities, activities, and employee staff so each site can effectively execute its safety responsibilities appropriately on behalf of the Secretary of Energy.

7.0 Adopting a Standards Based Management Approach

Using the above overall organizational description and the management responsibilities, as outlined in the SC FRA Document, SC uses a standards based management approach to clearly define the functions, responsibilities, and authorities needed to successfully execute its mission for DOE. Because SC operates from many sites and because its work is executed under a set of ever changing requirements, SC uses SCMS to maintain an accurate description of its management approach.

Figure 4 below, demonstrates how SC has built SCMS to maintain a dynamic process to evaluate changes in requirements against organizational assignment, thereby ensuring SC has a common practice across all its sites.

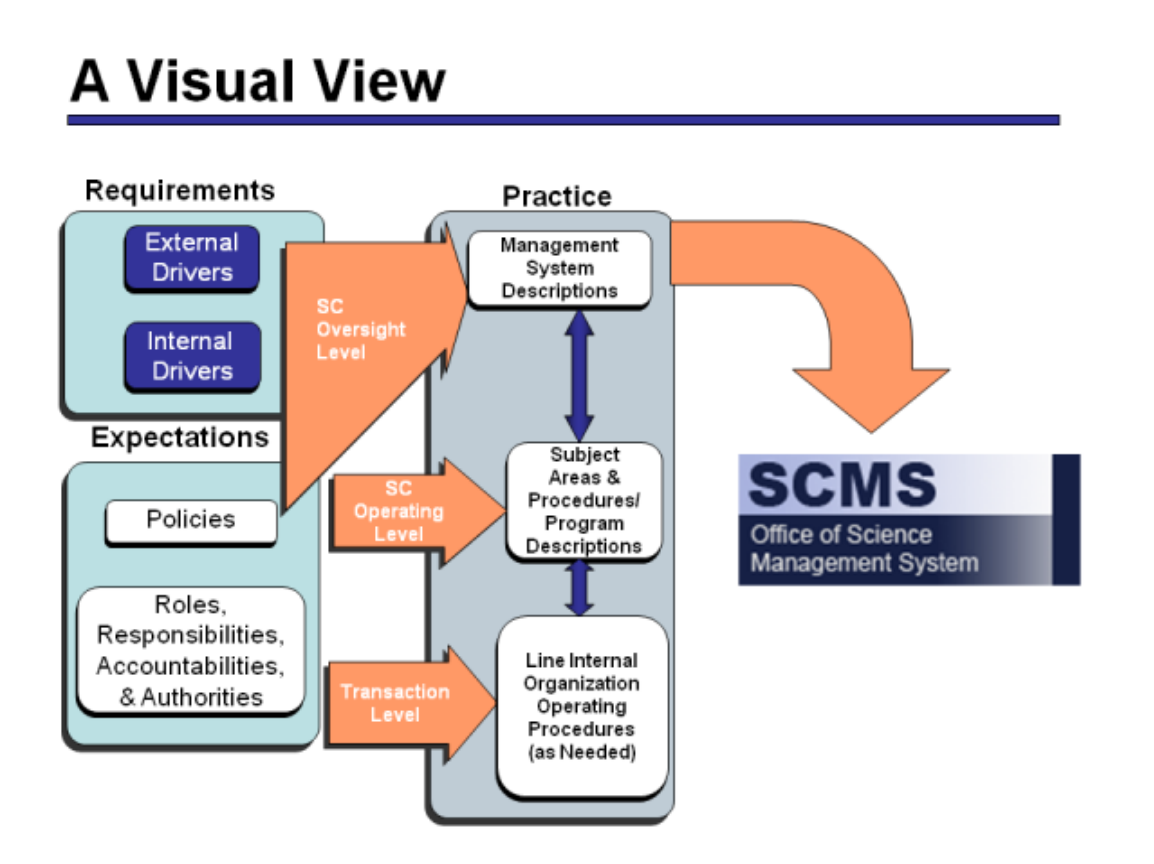


Figure 4

SCMS is built around a set of functional areas or Management Systems. SC uses SCMS to map or assign all

requirements (e.g., Federal laws and regulations, DOE Directives, and, when invoked, DOE Technical Standards) to a specific Management System. To evaluate changes to assigned requirements, SC-3 appoints a Management System Owner (MSO) and a Secondary MSO for each Management System. The MSO and SMSO, of which both positions are equal in responsibility, using a representative team of Points of Contact/Subject Matter Experts across the SC complex, are responsible for developing SC implementation approaches and maintaining all SCMS products (e.g., Management System Descriptions, Program Descriptions, lower-tiered Subject Areas, procedures, and exhibits). The SCMS Roles and Responsibilities page provides an overview of SCMS Roles, Responsibilities, Accountabilities, and Authorities. SCMS MSO, SMSO, POC, and SME positions can be filled by any SC employee who possesses the necessary expertise, competencies, and capabilities to successfully fulfill the role and responsibilities of the assignment and whose supervisor supports them fulfilling this important collateral duty.

The SCMS products for each Management System can be accessed through the SCMS Website. The following is a brief summary of each Management System, as currently defined in SCMS:

Budget and Financial Management

Serves to assure that SC is exemplary in its stewardship of fiscal resources. Liaison support to the U.S. Office of the Inspector General and the U.S. Government Accountability Office is included as an integral part of SC's system of internal controls in the areas of Budget, Accountability, and Evaluation and Review.

Communications and Public Affairs

Provides standardized policies and procedures necessary to enhance SC's relationship with the media and the public, thereby a credible and transparent process. Addresses SC responsibilities for Community Relations and Public Involvement, Congressional and Intergovernmental Affairs, Media Relations, and Public Information, Special Events, and Internal Communications.

Environment, Safety, and Health

Provides a consistent method for SC to effectively and efficiently oversee and manage work and operations in a manner that ensures the health and safety of all Federal and contractor personnel and the protection of the environment and the public. Aids in the implementation of the Integrated Safety Management Programs in SC, which include Environmental Management Systems. Outlines the processes and procedures required for SC Federal employees to implement SC's ES&H responsibilities and administers the Employee Concerns Program..

Facility Safety, Operations, and Infrastructure

Provides a consistent method of managing and maintaining the safety and operations of nuclear facilities. Focuses on facilities and infrastructure planning and management including energy and sustainability. Outlines the standardized approach to real property (lands and buildings) life-cycle asset management, including real property asset planning, programming, budgeting, and evaluation to program mission projections and performance outcomes. Outlines the standardized approach to real property life-cycle asset management, including real property asset planning, programming, budgeting, and evaluation to program mission projections and performance outcomes.

Financial Assistance

Provides SC processes for awarding science/research grants under 2 CFR 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR 910 and 10 CFR 600, *Financial Assistance Rules,* and ensures SC utilizes the most efficient and effective financial assistance processes in the pre award, award, and post award of grants and cooperative agreements.

Human Resources Services

Addresses all personnel and other human resource procedures/tools/references used by SC and their employees in the conduct of their assigned responsibilities. Topical areas include merit promotion, benefits, equal employment opportunity, labor relations, and other related subjects.

Information Technology

Provides uniform procedures for all Information Technology functions, facilitating effective, efficient access to information, seamless communication, and security and privacy policy adherence throughout SC's multiple locations.

Legal Services

Defines the legal oversight provided to SC. Topical areas include advice on: (1) six SC Site Offices supporting management and operating contracts, (2) acquisition and financial assistance agreements, (3) Freedom of Information Act and Privacy Act, (4) ethics, (5) intellectual property, (6) legal and administrative proceedings, (7) environmental issues, and (8) laboratory litigation management.

Management and Operating Contracting

Serves to ensure the competitive acquisition of goods and services derived through M&O contracts (i.e., National Laboratories) to accomplish the SC mission is awarded and administered in such a manner to ensure best value on behalf of the Government. Includes SC procedures that address the Source Evaluation Board process, contract administration, and closeout of M&O contracts.

Non-Management and Operating Contracting

Serves to ensure the competitive acquisition of goods and services from large and small businesses to accomplish the SC mission is awarded and administered in such a manner to ensure best value on behalf of the Government. Includes small purchases, including those made through purchases orders, credit cards, and competitive/non-competitive processes for support services and other deliveries outside SC's M&O or laboratory complex.

Office of SCience Management System (SCMS)

Serves as the umbrella lead document for SCMS that (1) describes SC organizations and offices, (2) depicts the SC interfaces throughout DOE (3) describes the SC line management approach, (4) explains the role and purpose of SCMS, (5) describes each SC Management System, and (6) defines the responsibilities of the MSOs and SMSOs.

Personal Property Management

Sets forth standardized SC guidelines for effectively managing personal property while complying with all applicable statutes and regulations. Ensures the highest levels of stewardship for personal property in the possession and control of DOE direct operations and effective implementation of oversight requirements of the DOE Federal Personal Property Management Program.

Project Management

Addresses SC's responsibilities for the planning and execution of projects as specified in DOE O 413.3B, Change 2, *Program and Project Management for the Acquisition of Capital Assets*, including those involving the Critical Decision process, delivery of projects, reporting, and career development/certification.

Quality Assurance and Oversight

Provides a consistent approach to effectively and efficiently implement the Department's quality assurance and oversight policies and requirements throughout SC. Outlines the processes and procedures required for SC Federal employees to implement SC's quality assurance and oversight responsibilities as required by DOE O 414.1D, Admin. Change 1, *Quality Assurance*, and DOE O 226.1B, *Implementation of Department of Energy Oversight Policy*, while leveraging the output of the CAS of each Laboratory's implementation of the requirements of the SC CAS H Clause.

Real Property Management

Outlines the standardized approach to real property life-cycle asset management, including real property asset planning, programming, budgeting, and evaluation to program mission projections and performance outcomes. The focus is on real estate transactions including leasing, acquiring, and disposition of land.

Records Management

Implements and maintains a cost-effective document handling system to maintain appropriate evidence of agency activities and to guarantee that records are appropriately dispositioned. At the operational level, records management provides documentation of unit activities, organizations, functions, policies, and decisions. Additionally, proper records management protects the legal and financial rights of the Government and individuals; preserves historical information; and enables retrieval of information needed in the decision-making process.

Requirements Management

Provides for SC a consistent method to effectively and efficiently oversee and manage all SC requirements activities and reviews by embracing internal and external requirements and best business practices in a manner that ensures success. This method includes the interface with the Department's Directives Program and Technical Standards Program and the Review and Comment System (RevCom). Administers and manages the control of documents that specify requirements and prescribe implementing processes. Controlled documents include Management System Descriptions, Program Descriptions, Subject Areas, and Procedures. All SC Delegations of Authority are maintained as associated non-SCMS controlled documents.

Safeguards and Security Program and the Emergency Management System

Addresses SC's processes for assuring Federal protection from loss, damage or other harm to DOE interests, for which SC is responsible. Prescribes standardized SC policies for effective emergency management, including oversight and assurance activities and evaluation and reporting. Includes processes required to address SC's safeguard and security responsibilities, including those related to nuclear materials, cyber security, assessments and surveys, and budgets.

8.0 Exhibits

- SCMS Roles and Responsibilities
- CAS Glossary

9.0 References

- 2 CFR 200, *Uniform Administration Requirements, Cost Principles, and Audit Requirements for Federal Awards*
- 2 CFR 910, *Uniform Administration Requirements, Cost Principles, and Audit Requirements for Federal Awards*
- 10 CFR 600, *Financial Assistance Rules*
- Ames Laboratory Website
- Argonne National Laboratory Website
- Argonne Site Office (SC ASO) Website
- Brookhaven National Laboratory Website
- DOE O 226.1B, *Implementation of Department of Energy Oversight Policy*
- DOE O 413.3B, Change 2, *Program and Project Management for the Acquisition of Capital Assets*
- DOE O 414.1D, Admin. Change 1, *Quality Assurance*
- DOE O 450.2, *Integrated Safety Management*
- DOE P 450.4A, *Integrated Safety Management Policy*

Energy Policy Act of 2005

- *Federal Managers Financial Integrity Act*
- *Federal Advisory Committee Act*
- Fermi National Accelerator Laboratory Website
- *Freedom of Information Act*
- Lawrence Berkeley National Laboratory Website
- NBL Program Office Website
- Oak Ridge Institute for Science and Education (ORISE) Website
- Oak Ridge National Laboratory Website
- Pacific Northwest National Laboratory Website
- Portfolio Analysis and Management System (PAMS) Website
- *The President's Climate Action Plan*
- Princeton Plasma Physics Laboratory Website
- SC Advanced Scientific Computing Research (ASCR) Website
- SC Advisory Committees Webpage
- SC Ames Site Office (SC AMSO) Website
- SC Argonne Site Office (SC ASO) Website
- SC Basic Energy Sciences (BES) Website
- SC Berkeley Site Office (SC BSO) Website
- SC Biological and Environmental Research (BER) Website
- SC Brookhaven Site Office (SC BHSO) Website
- SC *Environment, Safety, and Health* Management System Description
- SC Fermi Site Office (SC FSO) Website
- SC Fusion Energy Sciences (FES) Website
- SC High Energy Physics (HEP) Website
- SC Integrated Support Center (ISC) Website
- *SC ISC Service Plan*
- SC National Laboratories Webpage
- SC Nuclear Physics (NP) Website
- SC ORNL Site Office (SC OSO) Website
- SC Pacific Northwest Site Office (SC PNSO) Website
- SC Princeton Site Office (SC PSO) Website

- SC Program Description: *Line Management Oversight*
- SC Program Description: *SC ES&H Functions, Responsibilities, and Authorities (FRA) Document*
- SC Scientific User Facilities Webpage
- SC SLAC Site Office (SC SSO) Website
- SC Thomas Jefferson Site Office (SC TJSO) Website
- SC Workforce Development for Teachers and Scientists (WDTS) Program Website
- SLAC National Accelerator Laboratory Website
- Thomas Jefferson National Accelerator Facility Website

10.0 Delegations

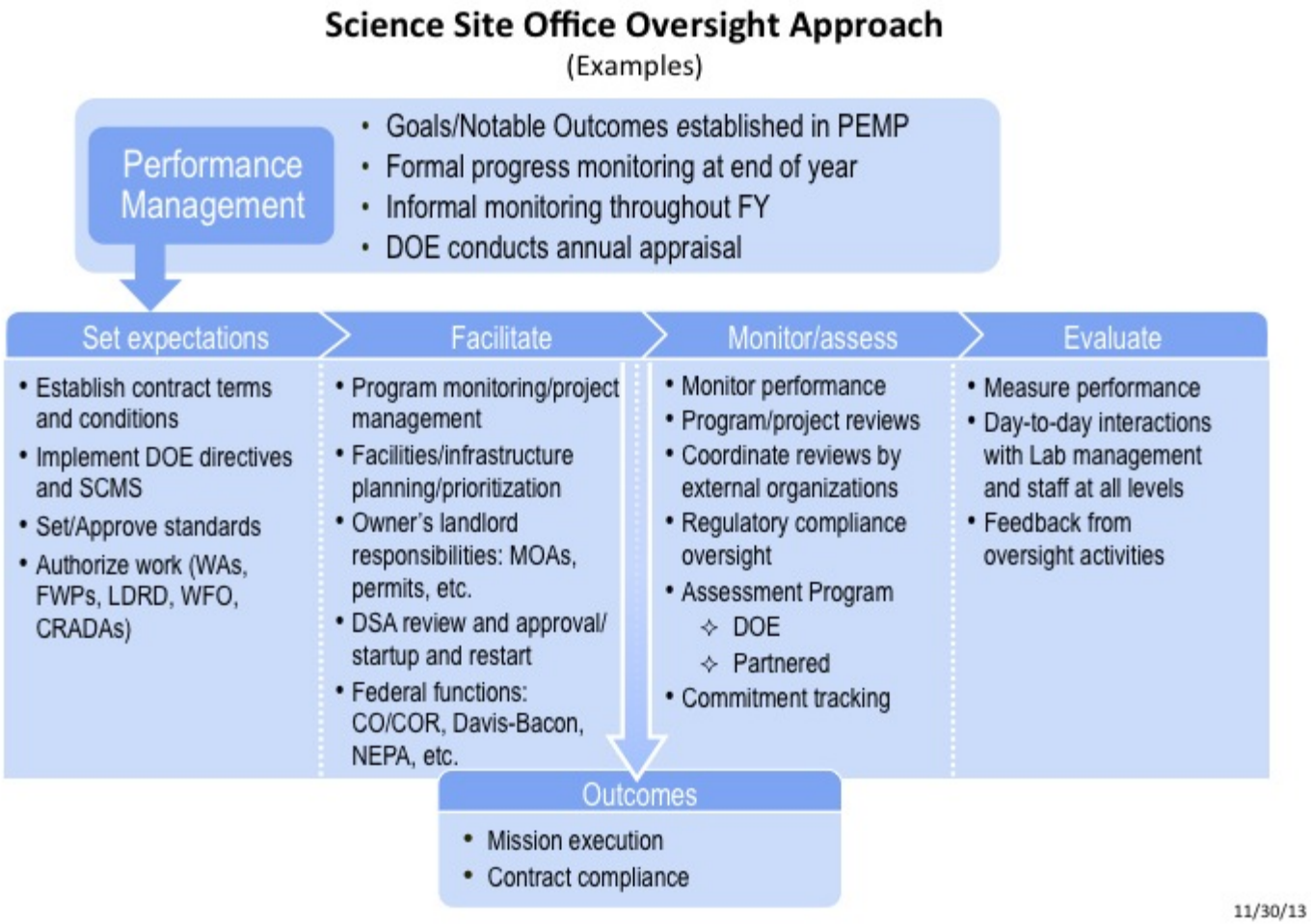
There are no delegations that currently affect this Management System. However, each of the other Management Systems has Delegations that affect it and are listed in Section 7.0 of its MSD.

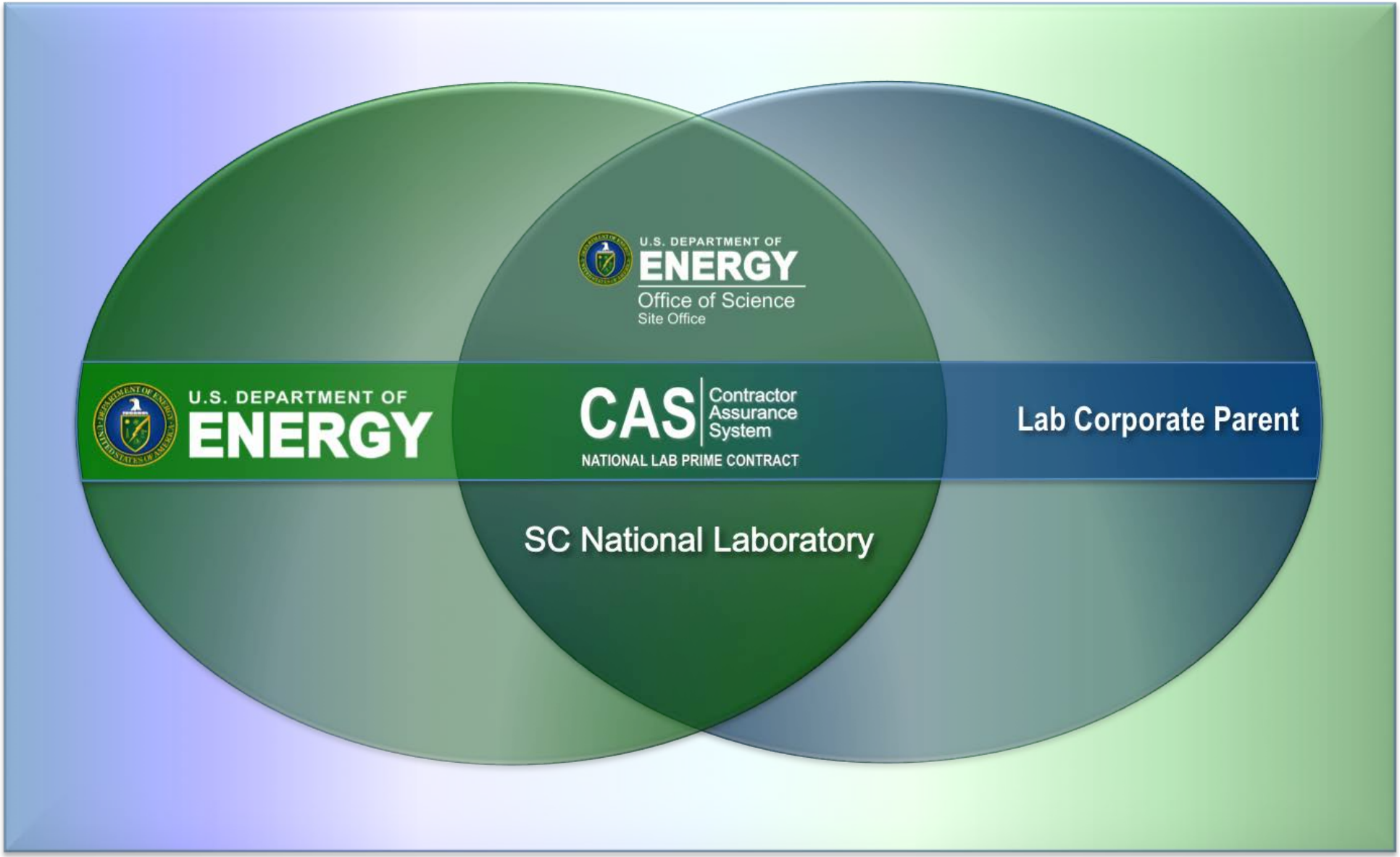
Last Biennial Assessment: 10/27/2016
Biennial Review Period: Fourth Quarter

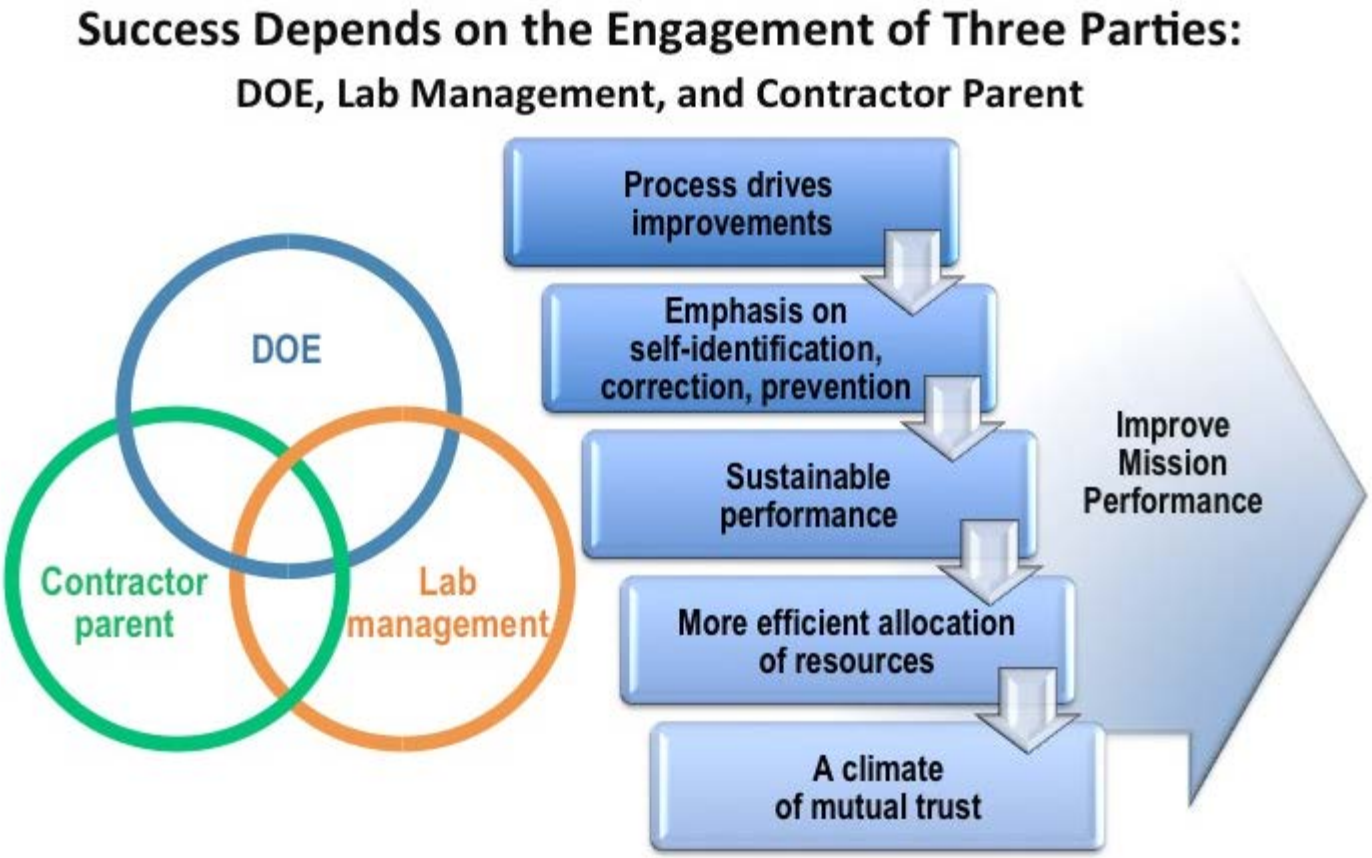
Questions/Comments

Send a question or comment to the SCMS Help Desk.
Disclaimer

Filename: /OrbitSearch/SCMSB/SCMSB_MS.cfm


Science Site Office Oversight Approach
(Examples)
Performance Management
• Goals/Notable Outcomes established in PEMP
• Formal progress monitoring at end of year
• Informal monitoring throughout FY
• DOE conducts annual appraisal
Set expectations
• Establish contract terms and conditions
• Implement DOE directives and SCMS
• Set/Approve standards
• Authorize work (WAs, FWPs, LDRD, WFO, CRADAs)
Facilitate
• Program monitoring/project management
• Facilities/infrastructure planning/prioritization
• Owner's landlord responsibilities: MOAs, permits, etc.
• DSA review and approval/ startup and restart
• Federal functions: CO/COR, Davis-Bacon, NEPA, etc.
Monitor/assess
• Monitor performance
• Program/project reviews
• Coordinate reviews by external organizations
• Regulatory compliance oversight
• Assessment Program
✧ DOE
✧ Partnered
• Commitment tracking
Evaluate
• Measure performance
• Day-to-day interactions with Lab management and staff at all levels
• Feedback from oversight activities
Outcomes
• Mission execution
• Contract compliance
11/30/13


U.S. DEPARTMENT OF
ENERGY
Office of Science
Site Office
U.S. DEPARTMENT OF
ENERGY
CAS
Contractor
Assurance
System
NATIONAL LAB PRIME CONTRACT
Lab Corporate Parent
SC National Laboratory


Success Depends on the Engagement of Three Parties:
DOE, Lab Management, and Contractor Parent
DOE
Contractor parent
Lab management
Process drives improvements
Emphasis on self-identification, correction, prevention
Sustainable performance
More efficient allocation of resources
A climate of mutual trust
Improve Mission Performance

H Clause: Contractor Assurance System

(a) The Contractor shall develop a contractor assurance system that is executed by the Contractor's Board of Directors (or equivalent corporate oversight entity) and implemented throughout the Contractor's organization. This system provides reasonable assurance that the objectives of the contractor management systems are being accomplished and that the systems and controls will be effective and efficient. The contractor assurance system, at a minimum, shall include the following key attributes:

(1) A comprehensive description of the assurance system with processes, key activities, and accountabilities clearly identified.
(2) A method for verifying/ensuring effective assurance system processes. Third party audits, peer reviews, independent assessments, and external certification (such as VPP and ISO 9001 or ISO 14001) may be used.
(3) Timely notification to the Contracting Officer of significant assurance system changes prior to the changes.
(4) Rigorous, risk-based, credible self-assessments, and feedback and improvement activities, including utilization of nationally recognized experts, and other independent reviews to assess and improve the Contractor's work process and to carry out independent risk and vulnerability studies.
(5) Identification and correction of negative performance/compliance trends before they become significant issues.
(6) Integration of the assurance system with other management systems including Integrated Safety Management.
(7) Metrics and targets to assess performance, including benchmarking of key functional areas with other DOE contractors, industry and research institutions. Assure development of metrics and targets that result in efficient and cost effective performance.
(8) Continuous feedback and performance improvement.
(9) An implementation plan (if needed) that considers and mitigates risks.
(10) Timely and appropriate communication to the Contracting Officer, including electronic access, of assurance related information.

The initial contractor assurance system description shall be approved by the Contracting Officer.

(b) The Government may revise its level and/or mix of oversight of this contract when the Contracting Officer determines that the assurance system is or is not operating effectively.

Department of Energy
Office of Science
Washington, DC 20585

March 18, 2013

MEMORANDUM TO: SC-3 FEDERAL STAFF

FROM: JOSEPH MCBREARTY
DEPUTY DIRECTOR FOR FIELD OPERATIONS, (SC-3)

3/18/13

SUBJECT: Proper Federal Oversight

Colleagues,

I would like to take this opportunity to share with you my expectations for the SC-3 work force as it relates to Federal oversight and involvement with our contractors.

As I am sure most of you are aware the Department of Energy has been and is continuing to be scrutinized concerning its Federal oversight of our contractors. There may have been misunderstandings over how the Contractor Assurance System fits into this model and what we are expecting our Federal staff to do in oversight of contractor activity. We are responsible for what I would call a *trust but verify approach* to Contractor Assurance. We have an *independent oversight* responsibility and must not simply rely on contractor self assessments to gauge their performance. As I have discussed on numerous occasions with the Site Office and Integrated Support Center managers, I expect SC-3 Federal employees to be in the field and on the deck plates to the maximum extent practical in alignment with their stated duties and responsibilities.

We have a long tradition of telling our contractors *what* to do and allowing them to determine *how* to perform that mission. However, we as Federal employees must ensure that the contractors perform their mission **safely**, **securely** and **efficiently**. I expect the Federal work force to be competent and to be able to understand the work that is in progress and know when to step in. We are the eyes and ears of the American public in this area. This is not an "*eyes on, hands off*" approach; all of us have the responsibility to ensure that our contractors operate within the terms and conditions of their contracts. We have seen, both inside and outside of Science, with the security breach at Y-12 being the most recent example, ineffective Federal oversight. While we may be tempted to point fingers or tell ourselves that this sort of thing can't happen to us, we have found examples where we in the Office of Science have not performed effective oversight.

Our standards must remain high. Our SC-3 work force has over 600 highly talented and dedicated professionals. I am proud to serve with each and every one of you and I want to ensure that each of you hear directly from me on these expectations. I will not get into a list of specific actions since that would dilute the purpose of this memo. However, I want each of us to understand that we are operating some of this nation's most precious resources and we have a personal responsibility directly to the American public for the safe and effective operation of our laboratories and facilities.

Management System: Office of SCience Management System (SCMS)

Exhibit: SCMS Roles and Responsibilities

Latest SCMS Revision Date: 06/16/2017
SCMS Revision: 4.1

Roles	Responsibilities
SC Deputy Director for Field Operations (SC-3)	• Ensures implementation, maintenance, and ongoing operation of SCMS. • Assigns responsibility for and ensures day-to-day management of SCMS. • Appoints Management System Owners and Secondary Management System Owners and assigns SC Organizational Points of Contacts. • Serves as final review point for program descriptions to ensure the mission and goals of SC, as a corporate entity, are met. Approves program descriptions and guidance/policy documents for implementation and publication. • Promotes and supports SCMS and ensures adherence to published procedures. • As needed, resolves issues to ensure SCMS meets the needs of SC.
SC Associate Deputy Director for Field Operations (SC-3)	• Ensures implementation, maintenance, and ongoing operation of SCMS. • Concurs in and supports appointments of Management System Owners and Secondary Management System Owners and assigns SC Organizational Points of Contacts. • Promotes and supports SCMS and ensures adherence to published procedures. • Works with the ISC in support of continuous improvements and sustained high performance of SCMS.
SC Site Office Managers	• Ensure SCMS processes and procedures reflect Site Line Management needs and maximize line management

	responsibility execution. • Work with the SCMS Operations Center on improvements to SCMS that will benefit Site Offices in it uses. • Reviews all directives and invoked technical standards actions including Justification Memoranda for proposed directives changes, and Project Justification Statements for invoked technical standards changes.
SC Integrated Support Center (ISC) Managers **NOTE:** The SC Integrated Support Center is a SC Chicago Office (SC-CH) and SC Oak Ridge Office (SC-OR) Partnership (i.e., a virtual organization comprised of the combined support capabilities of SC-CH and SC-OR) to provide best in class technical, business, and administrative support (i.e., integrated support) to the Office of Science at Headquarters and SC Site Offices.	• Manages and maintains SCMS for the SC Deputy Director for Field Operations (SC-3). • Support Management System Owners (MSOs), Secondary Management System Owners (SMSOs), Management System Points of Contact (POCs), Program Description Subject Matter Experts (SMEs), Content Development Leads/Subject Area (SA) POCs and Procedure SMEs to facilitate SCMS processes. • Ensure SC Site Office Managers and their staffs are provided an opportunity to review and provide input to SCMS processes. • Serve as final review point for initial management system descriptions (MSDs) to ensure the mission and goals of SC, as a corporate entity, are met. Approve initial MSDs for implementation and publication. • Support and promote the SCMS web application and processes. Ensure adherence to SCMS procedures by SC Staff. • Provide a forum for issue resolution and advise SC-3 regarding issues affecting SC-wide procedures that cannot be resolved at the MSO/SMSO level. • Provide continuous support to the SCMS Operations Center in all its endeavors and continued efforts to promote and implement improvements, and maintain a sustained high performance level of all SCMS functions.
SC ISC Managers Points of Contact (POCs)	• Serve as final review point for new subject areas and supporting procedures to ensure the mission and goals of SC, as a corporate entity, are met. • Review and approve all new SCMS documents (e.g., program descriptions, and subject areas) for implementation and publication. • Support MSOs and SMSOs to facilitate SCMS processes. • Ensure notification of published procedures to SC Staff.

	• Provide direction and oversight to all SCMS document development and maintenance activities, develop and maintain schedules, and ensure objectives are met and required documents are produced. Acquire and train facilitation and technical support resources to assist MSOs/SMSOs in SCMS document development and maintenance efforts. Facilitators are provided to structure SCMS documents development sessions and, as needed, for SCMS document maintenance (e.g., revisions) sessions. Facilitators orient Content Development Leads (CDLs), Points of Contacts, and Subject Matter Experts to their roles and to the SCMS documents development and/or maintenance processes; mediate differences of opinions; and guide discussions to achieve objectives. • Provide training to SCMS documents development and maintenance team participants as well as ultimate users of SCMS documents. • Provide briefings to SC organizations on SCMS and its use in SC. Support and promote the SCMS web application and processes. • Provide continuous support to the SCMS Operations Center in all its endeavors and continued efforts to promote and implement improvements, and maintain a sustained high performance level of all SCMS functions.
SCMS Point of Contact (POC) Support Staff	• Establish overall priorities and provide direction to contract staff. • Oversee SCMS Help Desk function. • Resolve issues/questions, including resource and scheduling conflicts. • Manage SCMS budget and contract changes for support staff. • Approve system changes/enhancements for execution.
SCMS Operations Center and SC Field DPC/TSM	• Provides day-to-day management, operation, and maintenance of SCMS to ensure reliable and efficient services to SC. • Executes the requirements management functions of SCMS. • Operates, manages, and maintains the SCMS Web application. • Manages SCMS documents (i.e., management system descriptions, program descriptions, subject areas, and

	guidance/policy documents) production function by providing technical editing and publishing support to SCMS development and maintenance efforts. • Maintains quality and configuration management control for SCMS. • Administers and manages the SC-wide DOE Directives (as the lead SC Field DOE Directives POC) and DOE Technical Standards (as the lead SC Field DOE Technical Standards Manager) review process working directly with all MSOs, SMSOs, MS POCs, and SCMS Document POCs and SMEs; all SC Site Office Managers; and all SC Site Office and contractor DOE Directives POCs and Technical Standards Managers to develop comment and recommendation packages for submission to and approval by SC-3. ◦ Compiles final packages of all comments and responses for submission to the MSO/SMSO for review and recommendations. ◦ Coordinates approval of MSO/SMSO Recommendation packages with SC-31 and SC-3. ◦ Works with MSOs/SMSOs if SC-31 or SC-3 has questions or recommends changes. ◦ Administers concurrence/nonconcurrence phase with MSOs/SMSOs for finalization and approval by SC-3 through complete process. • Posts all initial and final comment packages to the SCMS website for access. • Provides continuous updates and improvements to SCMS functions; site capabilities; additional information linkages; processes and schedules; and sustained high level performance of all related responsibilities and system operations.
Management System Owners (MSOs) **(Also known as "Primary Management System Owners")** **NOTE:** Primary and Secondary MSOs have the same role and responsibilities with the Primary MSOs having final approval authority and accountability.	• An MSO position can be filled by any SC employee who possesses the necessary expertise, competencies, and capabilities to successfully fulfill the role and responsibilities of the assignment, and whose supervisor supports them fulfilling this important collateral duty. • Assigns and works with Program Description Subject Matter Experts (SMEs), Subject Area CDLs/POCs, and Procedure SMEs. • When the roles listed directly above (bullet) are vacated, the role(s) within SCMS will default to the MSO until a new

selection or new appointment is made.

- Assigns and works with SCMS Requirement SMEs.
- As appropriate, designates Management System POC to provide hands on direction and oversight of management system activities.
- Maintain their assigned management system, by leading the development and maintenance of all SCMS supporting documentation. Utilizing SMEs throughout SC and the DOE complex, develop and maintain SCMS documents (i.e., management system descriptions, program descriptions, subject areas, and guidance/policy documents). Ensure that all documentation is maintained accurately and is responsive to current requirements. Evaluate proposed changes to SCMS documents and initiate actions to modify the SCMS documents as required.
- Must coordinate all changes to any portion of the Management System with the Secondary Management System Owner (SMSO), the Management System POC (if applicable), the Content Development Lead (CDL)/SA POC, and other affected Site Contacts/Organizations at Oak Ridge, Chicago, and Headquarters.
- Assemble a representative team of SMEs to assist in above responsibilities.
- Must ensure a broad range of perspectives from SC community (i.e., Headquarters, SC Integrated Support Center, and SC Site Offices) is sought in the development and review of assigned SCMS documents.
- Ensure that the management system meets the needs of SC and its organizational elements.
- Establish and maintain effective interfaces with other MSOs/SMSOs to ensure linkages between systems are established and duplication is eliminated.
- Provide support to SC Managers/SC Supervisors, and SC Staff regarding implementation of the SCMS documents contained in the management system.
- Ensure assigned requirements are analyzed and documented, and Federal responsibilities are appropriately addressed within SCMS. Serve as SC's Lead SME for DOE Directives assigned to the management system. As such, review draft DOE Directives (i.e., new or revised draft DOE Directives), assemble SME draft review members, consolidate draft comments, and provide SC draft comments to RevCom (Draft Review and Comment

System) through the SC Deputy Director for Field Operations (SC-3). Also as such, identify and review new or revised requirements (requirements may originate from a wide variety of sources including Federal and State laws, Federal regulations, management expectations, and/or good business practice[s]) and, as needed, request acceptance by SC through SC-3, and if needed, ensure that SCMS documents are updated to meet these new requirements via the SCMS document production process in a timely manner to maintain management system integrity.

- Responsible for continuously improving assigned management system and addressing performance and implementation issues identified from customer feedback, staff suggestions, and other assessments; establishing key performance indicators and tracking as part of a self-assessment program; and maintaining operational awareness related to functions of the management system.
- Serve as the single POC for SC on governing requirements and the implementing SCMS documents and has primary responsibility and accountability for their assigned SC management system.
- Present initial management system descriptions SC-3 for approval.
- Obtain signature approval from SC-3 for program descriptions, as needed.
- Approves and is accountable for final SCMS documents in their management system, which includes authorizing deployment of the final SCMS documents on the SCMS Web site.
- Encourage the use of SCMS documents.
- When issues cannot be resolved at the MSO/SMSO level, raise issues to the SC-3 through the SC ISC Managers for resolution.
- For draft directives or draft invoked technical standards reviews:
    - When issues on draft directives or draft invoked technical standards reviews cannot be resolved at the MSO/SMSO level, raise issues to the SC-3 through the SC ISC Managers for resolution,
    - Focus on the need for leadership from a communities of practice perspective,

		◦ Maintain thorough understanding of their role as not just a Subject Matter Expert, but as a central figure who has the ability to ensure the needs of Science (as voiced by those in the field submitting comments) are cared for and managed properly, ◦ Fully articulate the need for an in-depth awareness of the SC program environment and the development and maintenance of relationships within HQ, ◦ Aware of upcoming changes to Directives and Standards as soon as possible to enable an early discussion period with Site Offices, ◦ Contact each Major Issue submitter if their comment isn't accepted, ◦ Explain why the comment wasn't accepted or downgraded, ◦ Keep all Site Office Managers' (SOM) comments, but have the MSO provide very strong justification in their recommendation package to SC-3 if the MSO believes the SOM comments should not go forward, or ◦ Resolve the issue with the SOM prior to submission.
	Secondary Management System Owners (SMSOs)	• An Secondary MSO position can be filled by any SC employee who possesses the necessary expertise, competencies, and capabilities to successfully fulfill the role and responsibilities of the assignment, and whose supervisor supports them fulfilling this important collateral duty. • SMSOs have the same role and responsibilities as the Primary MSOs. See MSO responsibilities above for further responsibilities. • Support the MSO in all SCMS development, maintenance, and implementation efforts and jointly share responsibility for those duties listed above. Collaborate with the MSO for resolution of issues that may affect unified implementation. • Must coordinate all changes to any portion of the Management System with the MSO, the Content Development Lead, and other affected Site Contacts/Organizations at Oak Ridge, Chicago, and Headquarters. • If the MSO is unavailable to provide recommendations on Directives and Invoked Technical Standards actions, the SMSO is responsible for the same functions as noted

	above in the MSO section.
Management System (MS) Points of Contact (POCs)	• An MS POC position can be filled by any SC employee who possesses the necessary expertise, competencies, and capabilities to successfully fulfill the role and responsibilities of the assignment, and whose supervisor supports them fulfilling this important collateral duty. • Support the MSO in day-to-day execution of assigned responsibilities. • Performs the following on behalf of the MSO and SMSO: ◦ Identify Program Description Subject Matter Experts (SMEs), Content Development Leads (CDLs)/Subject Area Points of Contact (POCs), Procedure SMEs, and Requirement SMEs. ◦ Must coordinate all changes to any portion of the Management System with the Secondary Management System Owner (SMSO), the Content Development Lead (CDL)/SA POC, and other affected Site Contacts/Organizations at Oak Ridge, Chicago, and Headquarters. ◦ Address implementation issues. ◦ Serve as a primary liaison with SCMS documents development and maintenance teams and the SCMS Operations Center. ◦ Analyze draft DOE Directive requirements for impact on management system and provide comments via RevCom as defined by SCMS processes. Analyze new or revised requirements for impact on management system content. ◦ Oversee SCMS documents (i.e., management system descriptions, program descriptions subject areas, and guidance/policy documents) revisions to ensure content is current. ◦ Assess implementation of and adherence to SCMS documents in their assigned management system to ensure consistency in application and to identify needed system modifications. ◦ Propose and review changes to SCMS documents in the management system and recommend appropriate actions to the MSO/SMSO.
Content Development Leads (CDLs)	• Lead the development of specific SCMS documents (i.e., subject areas, program descriptions, and guidance/policy

	documents) within an assigned management system, including but not limited to procedures, references, and requirements. . Manage development of SCMS document content, ensuring adherence to SCMS instructions/criteria. Responsible for addressing SCMS Operations concerns and meeting deadlines **NOTE:** A CDL may be temporary for the development of an SCMS document or may serve as the Program Description Subject Matter Expert (SME) or Subject Area Point of Contact (POC) to the SCMS Operations for the assigned SCMS document. • Assemble a representative team of Subject Matter Experts (SMEs) to assist in above responsibilities. • Must coordinate all changes to any portion of the Management System with the Management System Owner (MSO), Secondary Management System Owner (SMSO), the Management System POC (if applicable), Program Description SMEs (as applicable), the SA POC (as applicable), and other affected Site Contacts/Organizations at Oak Ridge, Chicago, and Headquarters. • Ensure a broad range of perspectives from SC community (i.e., Headquarters, SC Integrated Support Center, and SC Site Offices) is sought in the development and review of assigned SCMS documents. • Ensure comments on draft SCMS documents are assessed and resolved and refer resolution to MSO/SMSO. • Perform final technical review of the SCMS documents developed by teams to ensure applicability to the SC organization, accuracy, and implementability by all SC organizations, and responsiveness to current requirements. • Prepares all SCMS documents for MSO/SMSO approval. • Works with MSO/SMSO to develop an implementation plan for assigned SCMS documents and execute plan upon approval of SCMS documents.
SCMS Document Points of Contact (POCs)	• An SCMS POC position can be filled by any SC employee who possesses the necessary expertise, competencies, and capabilities to successfully fulfill the role and responsibilities of the assignment, and whose supervisor supports them fulfilling this important collateral duty. • Lead the maintenance of specific SCMS documents (i.e.,

	management system descriptions, program descriptions, subject areas, and guidance/policy documents) within an assigned management system, including but not limited to procedures, references, and requirements. • Assemble a representative team of Subject Matter Experts (SMEs) to assist in above responsibilities. • Ensure a broad range of perspectives from the SC community (i.e., Headquarters, SC Integrated Support Center, and SC Site Offices) is sought in the development and review of assigned SCMS documents. • Ensure comments on draft SCMS documents are assessed and resolved and refer resolution to MSO/SMSO. • Maintain currency of assigned SCMS documents after publication. • Serve as the authority on SCMS documents when so designated. • Respond to and address all questions/concerns from SC Staff regarding content of assigned SCMS documents. • Stay current on requirements and other information that affect assigned SCMS documents. • Continuously assess and improve quality of assigned SCMS documents. • Monitor ongoing use of SCMS documents to identify issues or inconsistencies in application. • Initiate changes to SCMS documents as necessary. • Respond to SCMS Operations Center to keep SCMS operational. • Recommend development of program descriptions as needed to support management system and oversee document development.
Subject Matter Experts (SMEs) **NOTE:** Subject Matter Experts have specific expertise in one or more specific areas in the management system. They may have expertise in processes (SCMS documents), requirements, or both.	• An SME position can be filled by any SC employee who possesses the necessary expertise, competencies, and capabilities to successfully fulfill the role and responsibilities of the assignment, and whose supervisor supports them fulfilling this important collateral duty. • Provides technical expertise to Management System Owners (MSOs), Secondary MSOs (SMSOs), Management System Points of Contact (POCs), Program Description SMEs, and Content Development Leads

	(CDLs)/Subject Area (SA) POCs, and Procedure SMEs in analyzing and interpreting requirements and recommending appropriate action, in defining implementing processes/procedures, and in development and maintenance of SCMS documents (i.e., management system descriptions, program descriptions, subject areas, and guidance/policy documents). • Review and provide comments on draft DOE Directives. Assist the CDL/SA POC in analyzing and resolving comments and issues on draft SCMS documents. • When requested, provide technical guidance to SC area of expertise, which includes answering user questions on SCMS documents and/or requirements. • Stay current in area of expertise (subject matter) and advise CDLs/SA POCs and MSOs /SMSOs on recommended revisions to published SCMS documents to maintain currency and accuracy and to improve quality of SCMS documents. • Monitor ongoing use of SCMS documents to identify issues or inconsistencies in application and provide information to CDLs/SA POCs, and MSOs/SMSOs.
SCMS Office Directors/Managers (ODM) List	• Review, consider, and share SCMS documents (i.e., management system descriptions, program descriptions, subject areas, and guidance/policy documents) within their organizations.
SC Organizational Points of Contact (POCs)	• Serve as liaison between their organization, Management System Owner (MSO), Secondary MSO (SMSO), and Management System Points of Contact (POC), and the SCMS Service Center for all SCMS activities to ensure their manager/organization is aware of teams being formed, procedures being written or out for review, new documents published on SCMS, new requirements issues–either within SC or external, etc. • Accountable to their organizational manager for prompt and thorough communication of SCMS documents (i.e., subject areas, program descriptions, and guidance/policy documents) and resolution of issues with MSO/SMSOs. • Assist their manager by interacting directly with the SCMS Operations Center to provide names of appropriate individuals to review SCMS documents and facilitating timely comments. • Must be knowledgeable about latest features with SCMS and provide feedback to the SCMS Operations Center that

	either resolves issues or suggests improvements. • Interact/communicate with other Organizational Points of Contacts to facilitate SC-wide understanding and use of SCMS. • Recommend organizational participation on teams performing SCMS document development or maintenance. • Receive and distribute draft SCMS documents for review and comment to staff within organization who have knowledge of the subject matter content or who will be users of the SCMS documents. • Ensure SCMS documents are implementable from a user perspective. • Ensure compliance with SCMS procedures by monitoring implementation of SCMS processes within organization and providing feedback to their manager if processes are not followed. • Recommend changes as needed. • Coordinate SCMS-related training for organization.
SC Supervisors	• Set the expectation that SC Staff use established SCMS processes and procedures and monitor performance to ensure adherence.
SC Staff	• Understand and comply with the most recent online version of applicable SCMS processes and procedures in performance of work and provide feedback for SCMS improvement. • Recommend changes to SCMS documents (i.e., program descriptions, subject areas, and guidance/policy documents). • Volunteer and participate on SCMS document development and maintenance teams.

Questions/Comments

This is the online OFFICIAL SCMS COPY of this file. Before using a printed copy, verify that it is current by comparing it with the online version.

Definitions: Office of SCience Management System (SCMS)

| SCMS Home Page |

Latest SCMS Revision Date: 06/16/2017
SCMS Revision: 4.1

CAS TERM	DEFINITION	SOURCE
Actions (Corrective)	Actions. Responses to lessons learned. Examples are: 1. Corrective actions in response to occurrence analysis. 2. Preventive actions to preclude the recurrence of a negative event. 3. Improvement actions based on good work practices or innovative approaches. NQA-1 defines “corrective action” as “measures taken to rectify conditions adverse to quality and, where necessary, to preclude repetition.” ISO 9000 defines “corrective action” as “action to eliminate the cause of a detected nonconformity or other undesirable situation.”	DOE O 210.2A, DOE Corporate Operating Experience Program
Annual Assessment Report (AAR)	A report that documents an organization’s management/self-assessment of its performance against the goals, objectives, and measures to which it committed for achievement during the performance period being assessed.	Definitions: Quality Assurance and Oversight
Annual Performance Plan (APP)	A plan that documents an organization’s commitments and performance measures it will implement to contribute to achievement of the goals and objectives of its parent headquarters element.	Definitions: Quality Assurance and Oversight
Assesment	A review, evaluation, inspection, test, check, surveillance, or audit to determine and document whether items, processes, systems, or services meet specified requirements and perform effectively.	DOE O 414.1D, Admin. Chg. 1, Quality Assurance
Assessment	A review, evaluation, inspection, test, check, surveillance, or audit to determine and document whether items, processes, systems, or services meet specified requirements and perform effectively. Specific types of assessments include: • External Assessment An evaluation performed by a non-DOE assessor. This may include other Federal agencies, as well as	Definitions: Quality Assurance and Oversight

	State and local governments with jurisdictional authority. • For-Cause Assessment An evaluation initiated by line management in response to any unplanned condition, incident or trend, imminent danger, or major vulnerability that poses or may pose a threat to people, property, the environment, or the operational integrity of a management system. • Independent Assessment An evaluation conducted by an objective evaluator who is granted sufficient authority, and freedom from line management for determining adherence with established requirements, performance objectives, goals and measures, best business practices, operating experience lessons learned, and other pertinent criteria. • Management Assessment (Self-Assessment) An evaluation conducted by a line management entity of itself to determine adherence with established requirements, performance objectives, goals and measures, best business practices, operating experience lessons learned, and other pertinent criteria. • Management Review A type of management assessment, required by ISO 9001:2008, of the organization's quality management system to evaluate its continuing suitability, adequacy, and effectiveness. Management review must include evaluation of results of audits, customer feedback, process performance and product conformity, status of preventive and corrective actions, follow-up actions from previous management reviews, changes that could affect the quality management system, and recommendations for improvement. The output of the management review must include any decisions and actions related to improving the effectiveness of management systems and their processes, improving products in relation to customer requirements, and resource needs.	
Assurance	Designed to ensure mission objectives are met, workers, the public, and the environment are protected; and operational, facility, and business systems are effectively run and contract requirements are met.	SCMS MSD

Assurance Memorandum	An annual report from heads of Departmental elements on the status of management controls and financial management systems within their respective programs and administrative functions.	Definitions: Evaluation and Review of Financial Management Subject Area
Assurance System	Collectively, all aspects of the processes and activities designed to identify deficiencies and opportunities for improvement, report deficiencies to the responsible managers, complete corrective actions, and share in lessons learned effectively across all aspects of operation. The contractor's Assurance System provides reasonable assurance that mission objectives are met; workers, the public and the environment are protected; and operational facility and business systems are effective and efficient; and contract requirements are met. The contractor's Assurance System includes corporate Governance, contractor assessment activities, independent assessments, and structured operational awareness activities including onsite reviews, assessments, self-assessments, performance evaluations, and other activities to evaluate effectiveness.	Definitions: Quality Assurance and Oversight
Assurance Systems	Assurance systems encompass all aspects of the processes and activities designed to identify deficiencies and opportunities for improvement, report deficiencies to the responsible managers, complete corrective actions, and share in lessons learned effectively across all aspects of operation.	DOE O 226.1B, Implementation of Department of Energy Oversight Policy
Audit	NQA-1 defines "audit" as "a planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence the adequacy of and compliance with established procedures, instructions, drawings, and other applicable documents, and the effectiveness of implementation. An audit should not be confused with surveillance or inspection activities performed for the sole purpose of process control or product acceptance."	SCMS MSD
Audit	Work performed following the Government Accountability Office's Government Auditing Standards in examining financial statements and in reviewing (1) compliance with laws and regulations, (2) economy and efficiency of operations, (3) effectiveness in achieving program results, and (4) allowable costs claimed against the Department.	DOE O 224.3, Audit Resolution and Follow-up Program
Boots on the Ground	When used in the context of line management oversight, the phrase	Definitions: Quality Assurance and Oversight

	means that U.S. Department of Energy Office of Science Federal line management personnel should be in the field directly observing work to gain first-hand knowledge of work activities and site conditions to enable the corroboration of Contractor Assurance System (CAS) outputs, and thereby enable judgment as to the adequacy of the CAS.	
Causal Analysis	See *Root Cause Analysis*	
Contract	The term "*contract*" refers to those prime contracts for U.S. Department of Energy (DOE) nuclear facilities (including Management and Operating, Management and Integration, design, and construction) contracts that include DEAR Clause 970.5204-2, *Laws, Regulations, and DOE Directives* (as used in DEAR Clause 970.5204-2).	Definitions: Facility Safety and Operations Subject Area
Contract Management Plan (CMP)	A contract management tool that describes the procedures and processes a Site Office will utilize to assure that the terms and conditions of the Management and Operating (M&O) contract are met by *the Contractor* and the Department of Energy (DOE). The procedures and processes addressed in the CMP are those necessary to 1) fulfill the Government's contract management responsibilities, and 2) to ensure that *the Contractor*'s performance is adequately monitored and documented. The CMP is intended solely to provide information. It shall not be construed to create any rights or obligations on the part of any person or entity, including *the Contractor* and its employees.	Definitions: Management and Operating (M&O) Contract Management and Administration
Contract Management Team	A multi-disciplinary team consisting of Office of Science (SC) Site Office and SC Integrated Support Center subject matter experts, functional area representatives and Contracting Officer(s) that manage the various contract administration aspects of the management and operating contract.	Definitions: Management and Operating (M&O) Contract Management and Administration
Contract Modification	"Contract modification" means any written change in the terms of a contract (see 43.103). Only Contracting Officers acting within their delegated authority may modify a contract or change a contractual commitment on behalf of the government. There are two types of contract modifications: unilateral and bilateral. *Unilateral modifications* are signed only by a Contracting Officer, and *bilateral modifications* (supplemental agreements) are signed by both a Contracting Officer and a contractor. A bilateral modification can add new work or revise existing terms, and it may have cost implications.	Definitions: Management and Operating (M&O) Contract Management and Administration

Contractor Assurance System (CAS)	This is a contractor-designed and utilized system to manage performance consistent with contract requirements. Once implemented, it will be used as a framework that engages the corporate parent to assess performance, provides data to the contractor's management decision-making process, and allows the contractor to more effectively manage processes, resources and outcomes. The system provides transparency between the contractor and DOE to ensure alignment across the enterprise to accomplish mission needs, and for DOE to determine the necessary level of Federal oversight.	Definitions: Requirements Management Subject Area
Contractor Performance Measurement	Performance measures allow the contractor to monitor vital operations, analyze data, and identify adverse conditions and trends before they become significant issues. Examples of performance measures include DOE contract performance evaluation criteria, and program, process and organization-specific measures. Management is informed through many mechanisms including operational awareness, performance reports, trending and analysis, as well as dashboard reports.	SCMS MSD
Corrective Action	Measures taken to rectify conditions adverse to quality and where necessary to preclude repetition	DOE O 414.1D, Admin. Chg. 1, Quality Assurance
Corrective Action Plan (CAP)	A list of the completed, on-going and long-term actions associated with each identified issue. The extent of the detail for a corrective action plan should be determined based on the significance, impact, number and complexity of the problems and corrective actions to resolve the issues.	Definitions: Quality Assurance and Oversight
Criteria and Review Approach Document (CRAD)	A document intended to provide a consistent and transparent oversight methodology by establishing minimum performance expectations through the identification of assessment criteria and lines of inquiry, and which guides an assessor by identifying suggested means for successfully accomplishing that oversight. Also see Lines of Inquiry.	Definitions: Quality Assurance and Oversight
Deficiency Identification	The process of identifying a nonconformity, which ISO 9000 defines as a nonfulfillment of a requirement.	SCMS MSD
Department of Energy (DOE) Oversight	U.S. Department of Energy (DOE) Oversight encompasses activities performed by DOE organizations to determine whether Federal and contractor programs and management systems, including assurance and oversight systems are performing effectively and/or complying with DOE requirements. Oversight programs include operational awareness activities,	Definitions: Facility Safety and Operations Subject Area

	onsite reviews, assessments, self-assessments, performance evaluations, and other activities that involve evaluation of contractor organizations and Federal organizations that manage or operate DOE sites, facilities, or operations.	
DOE Corporate Operating Experience Program Documents	Publications defined in Appendix A, "DOE Corporate Operating Experience Program Documents" of DOE O 210.2A. COMMENT: Appendix A contains an extensive table of documents available at: https://www.directives.doe.gov/directives-documents/200-series/0210.2-BOrder-a.	DOE O 210.2A, DOE Corporate Operating Experience Program
DOE Line Management	U.S. Department of Energy (DOE) and National Nuclear Security Administration (NNSA) Federal employees who have been granted the authority to commit resources, direct the allocation of personnel, or approve implementation plans and procedures in the accomplishment of specific work activities.	Definitions: Facility Operations Subject Area
Extent of Condition	An evaluation to determine if an issue has potential or actual applicability to other activities, processes, equipment, programs, facilities, operations or organizations. The evaluation should focus on the breadth of the problem (e.g. whether it involves a single or multiple facilities, functions, or work activities) and not simply where the issue was discovered to exist. The evaluation should focus on the breadth of the problem (e.g. could negatively impact other facilities, functions, or work activities) and not simply apply a corrective action to the area of discovery without eliminating it as a potential source of nonconformity in other areas. Extent of condition analysis can result in preventive actions for application in other areas or facilities.	Definitions: Quality Assurance and Oversight
Feedback and Improvement	Feedback and Improvement is a continual process that utilizes feedback and/or lessons learned to develop and incorporate improvements in CAS activities. Feedback and improvement must be an integral part of CAS processes and activities at both the micro and the macro levels to be effective.	SCMS MSD
Field Office Manager	The Designated Lead Federal Management Official at an Integrated Support Center Office or Site Office.	Definitions: Quality Assurance and Oversight
Good Work Practices or Best Practice	A positive example of work processes with the potential to be the basis for significant operational improvements or cost savings.	DOE O 210.2A, DOE Corporate Operating Experience Program
H Clause	The Contractor shall develop a contractor assurance system implemented and	

	incorporated into their contract via an H-Clause that is executed by the Contractor's Board of Directors (or equivalent corporate oversight entity) and implemented throughout the Contractor's organization.	
Inspection	ISO 9000 defines "inspection" as "conformity evaluation by observation and judgment accompanied as appropriate by measurement, testing or gauging."	SCMS MSD
Internal Assessment/Audit	NQA-1 defines "Internal Audit" (NQA-1 uses the word "audit" where DOE uses the word "assessment") as "an audit of those portions of an organization's quality assurance program retained under its direct control and within its organizational structure."	SCMS MSD
Issue	An identified problem, concern, finding, deficiency, opportunity for improvement, observation, recommendation, nonconformance, or other similarly named condition that requires resolution.	Definitions: Quality Assurance and Oversight
Issues Management	The process for managing issues, findings, and corrective actions identified through oversight activities to closure. This process ensures adequate analysis for determining the level of significance, underlying cause(s) and a determination of the extent of condition to prevent recurrence.	Definitions: Quality Assurance and Oversight
Lessons Learned	A good work practice or innovative approach that is captured and shared to promote repeat application or an adverse work practice or experience that is captured and shared to prevent recurrence.	DOE O 210.2A, DOE Corporate Operating Experience Program
Material Control and Accountability (MC&A)	Those parts of the safeguards program designed to provide information on, control of, and assurance of the presence of nuclear materials, including those systems necessary to establish and track nuclear material inventories, control access to and detect loss or diversion of nuclear material, and ensure the integrity of those systems and measures. (Nuclear Material Control and Accountability)	Definitions: Facility Clearance - Establishment/Termination Subject Area
Nonconformance	A nonconformance is a deviation from a requirement, documented performance expectation, or commitment (see Finding).	Definitions: Quality Assurance and Oversight
Noteworthy Practice	A positive observation, based on objective assessment data, of a particular practice, procedure, process, or system considered so unique or innovative enough that the entire Department might find it beneficial. Mere compliance with mandatory requirements is not considered to be a noteworthy practice. (Also see 'Strength.')	Definitions: Quality Assurance and Oversight

Objective Evidence	Something that exists which proves or validates a position or conclusion that is not influenced by emotion or prejudice, can be based on corroborated observation (by credible persons), is documentable, is verifiable, and may be quantitative.	Definitions: Quality Assurance and Oversight
Occurrence Reporting	The process of complying with DOE O 232.2, Occurrence Reporting and Processing of Operations Information, which defines an occurrence as “One or more (i.e., recurring) events or conditions that adversely affect, or may adversely affect, DOE (including NNSA) or contractor personnel, the public, property, the environment, or the DOE mission. Events or conditions meeting the criteria thresholds identified in this Order or determined to be recurring through performance analysis are occurrences.”	SCMS MSD
Office of Science (SC) Line Management	The unbroken chain of Federal management positions vested with the responsibility and authority for accomplishing those functions, programs and projects necessary for achieving the SC mission. This chain is typically recognized as existing between the Director of Science, through the Deputy Director for Field Operations, to a Field Office Manager, including Site Office Managers. This chain ultimately continues up through the Under Secretary to the Secretary of Energy, and extends down to the management of a contractor or Government-owned, Government-operated facility.	Definitions: Quality Assurance and Oversight
On the Deck Plates	See “*boots on the ground*” definition.	Definitions: Quality Assurance and Oversight
Operational Awareness	The aggregate of the amassed knowledge of operations and conditions at SC sites/facilities derived from compilation and analysis of all the information obtained from numerous oversight activities. Oversight activities that contribute to operational awareness range from formal processes such as assessments (also known as audits, reviews, inspections, tests, surveillances, and investigations) to less formal processes such as document and record reviews, and the presence of federal oversight staff with "*boots on the ground* and *on the deck plates*" for direct observation of work activities through facility tours, walk-throughs, observation of procedure execution, attendance of contractor meetings, and routine interactions with contractor management and staff. Information generated by the site CAS should be incorporated into line management’s operational awareness once confidence in the CAS has been	Definitions: Quality Assurance and Oversight

	established.	
Oversight	Activities performed to determine whether processes, programs, and management systems, including assurance and oversight systems, are performing effectively and/or complying with requirements. Oversight programs include operational awareness and assessments that involve evaluation of contractor and/or Federal organizations and/or operations.	Definitions: Quality Assurance and Oversight
Performance Assurance	Performance assurance is to ensure that Federal staff are implementing their ES&H requirements and responsibilities to encompass all aspects of the processes and activities designed to identify deficiencies and opportunities for improvement, report deficiencies to the responsible managers, complete corrective actions, and share in lessons learned effectively across all aspects of operation.	Definitions: Facility Safety and Operations Subject Area
Performance Metrics	A standard definition of a measurable quantity that indicates some aspect of performance. Performance measurement is an important cornerstone of the U.S. Department of Energy contracts for the operation of its laboratories. Performance metrics should be constructed to encourage performance improvement, effectiveness, efficiency, and appropriate levels of internal controls.	SCMS MSD
Priority Level	A grading given to an issue or finding based on its significance. Those levels are further defined as Level 1, Level 2, and Level 3, Findings.	Definitions: Quality Assurance and Oversight
Quality Assurance Program	The overall program or management system established to assign responsibilities and authorities, define policies and requirements, and provide for the performance and assessment of work.	DOE O 414.1D Admin Chg 1, Quality Assurance
Report Card	A document, posted on the Office of Science (SC) Website, providing the laboratory contractor's grade earned for each Goal within the Performance Evaluation and Measurement Plan (PEMP).	Definitions: Management and Operating (M&O) Contract Management and Administration
Root Cause Analysis	Any methodology that identifies the causal factors that, if corrected, would prevent recurrence.	Definitions: Quality Assurance and Oversight
Safeguards and Security Survey	A performance and compliance-based examination and evaluation of the effectiveness of the implementation of a security program.	Definitions: Facility Clearance - Establishment/Termination Subject Area
Safety Basis (Hazard Category 1, 2 or 3 Nuclear Facilities)	The Documented Safety Analysis, hazard controls (e.g., Technical Safety Requirements), and other controls and commitments mandated by the Approval Authority that provide reasonable	Definitions: Facility Safety and Operations Subject Area

	assurance that a U.S. Department of Energy nuclear facility can be operated safely in a manner that adequately protects workers, the public, and the environment.	
Safety Basis (Radiological Facilities)	The document (e.g. Health and Safety Plan, Auditable Safety Assessment), hazard controls, and the U.S. Department of Energy approval documents mandated by the SC Site Office Manager that provide reasonable assurance that the facility can be operated safely in a manner that adequately protects workers, the public, and the environment.	Definitions: Facility Safety and Operations Subject Area
SC Laboratory PEMP Review Board	The SC Laboratory Contract PEMP Review Board is chartered to review all SC laboratory contract PEMPs for completeness, conformance with SC guidance, and recommend SC senior management concurrence. The Review Board shall include members from the following organizations which shall be rotated as indicated below: • SC Office of Laboratory Policy and Evaluation, Chair • Two SC Site Office Representatives (2 year rotational position) • Two SC Program Office representatives (2 year rotational position) • SC Integrated Service Center Procurement Specialist (2 year rotational position)	http://scms.sc.doe.gov/OrbitSearch/SubjArea/MOCA/MOCA_SA.cfm
SC Management and Operating (M&O) Contractor	The contractor who is legally bound to operate, maintain, and support the Federally Funded Research and Development Center (FFRDC).	Definitions: Closeout of a Management and Operating (M&O) Contract Subject Area
SC Office of Director Staff	Inclusive of the Director, Deputy Director for Field Operations, Deputy Director for Science Programs, Deputy Director for Resource Management , Chief of Staff, and Senior Advisor.	Definitions: Internal Employee Communications Subject Area
SC Site Office Manager	The official point of contact between DOE SC Management and the Management and Operating Contractor.	Definitions: Closeout of a Management and Operating (M&O) Contract Subject Area
SC Site/Field Office Manager	Individual responsible for planning, programming, budgeting, and evaluation of activities in support of Secretarial office programs located on sites under his/her cognizance including host Lead Program Secretarial Office (LPSO) to tenant Cognizant Secretarial Office (CSO)/Program Secretarial Office (PSO) activities establishing site priorities consistent with mission objectives and goals established by DOE program offices having line responsibility, leading site technical direction, preparing and	Definitions: Facility Planning Subject Area

	defending the site budget, supporting milestones agreed to with LPSO/CSOs/PSOs, providing public and private sector liaison, expediting follow up actions, and retaining overall accountability for site activities in support of program office successes.	
Self-Assessment	Self-assessment is a critical element of performance management that includes ongoing, integrated monitoring (operational awareness) of laboratory operations and objective evaluations that identify risks that could prevent objectives from being met. Assessment mechanisms include: • Management assessments (spaces, processes, and programs), • External or independent assessments, audits or inspections, • Operational Awareness, including activity observations, and • Analysis and reporting.	SCMS MSD See also, "Assesment" at Definitions: Quality Assurance and Oversight
Site Management Systems	Required management systems that provide the framework for a set of related site programs. Site management systems can include: • Integrated Safety Management, • Quality Assurance Programs, • Environmental Management Systems, • Radiation Protection Programs, and • Worker Safety and Health Programs.	DOE O 226.1B, Implementation of Department of Energy Oversight Policy
Site Programs	Site programs refers to programs that protect the public, workers, the environment, and national security interests or support essential mission activities. Site programs may include • Environment, safety, and health; • Safeguards and security; • Cyber security; and • Emergency management.	DOE O 226.1B, Implementation of Department of Energy Oversight Policy
Strength	A mature process or activity that has consistently demonstrated the ability to meet expectations, or a process or activity that efficiently and effectively facilitates and integrates processes, activities, and resources. Also see Noteworthy Practice.	Definitions: Quality Assurance and Oversight
Subject Matter Expert (SME)	An SME position can be filled by any SC employee who possesses the necessary expertise, competencies, and capabilities to successfully fulfill the role and responsibilities of the assignment, and whose supervisor supports them fulfilling this important collateral duty.	DOE O 210.2A, DOE Corporate Operating Experience Program

Surveillance	NQA-1 defines “surveillance” as “the act of monitoring or observing to verify whether an item or activity conforms to specified requirements”.	SCMS MSD
Survey	See Safeguards and Security Survey, Security Survey, and Nuclear Materials Inspection/Survey.	Definitions: Facility Clearance - Establishment/Termination Subject Area
Technically Competent Individual	An individual with sufficient experience, skills, or knowledge in a subject area. A Technically Competent Individual is capable of judging plans and procedures to ensure safe and compliant work in a given subject area and identifying gaps that may exist between those plans and procedures and the work environment. Supervisors are responsible for identifying Technically Competent Individuals and ensuring the maintenance of that competence.	Definitions: Quality Assurance and Oversight
Testing	An element of verification for the determination of the capability of an item to meet specified requirements by subjecting the item to a set of physical, chemical, environmental, or operating conditions.	DOE O 414.1D, Admin. Chg. 1, Quality Assurance
Trained Analyst	Management or professional staff formally trained on the method of causal analysis conducted on an event or condition.	Definitions: Quality Assurance and Oversight
Trending Analysis	The systematic tracking of performance against established or planned objectives.	DOE G 413.3-21, Admin. Chg. 1, Cost Estimating Guide

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Last Major SCMS Revision: August 17, 2008