

# **Ames Site Office (AMSO)**

## **Fiscal Year 2009 Annual Assessment Report (AAR)**

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U.S. DEPARTMENT OF  
**ENERGY**

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Office of Science

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**Fiscal Year (FY) 2009 Ames Site Office (AMSO) Annual Assessment Report (AAR)****SECTION 1: INTRODUCTION AND PURPOSE**

The AMSO manages the DOE performance-based management and operating contract for the safe, secure, effective, and efficient operation of the Ames Laboratory. AMSO supports the Office of Science (SC) mission to foster, formulate, and support forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish DOE missions.

AMSO is a SC line management organization that reports to the Deputy for Field Operations (SC-3). AMSO has been assigned the Ames Laboratory contract. Ames Laboratory is a government-owned, contractor-operated facility with a site and facilities in Iowa and is one of ten world-class, contractor-operated laboratories under the management of SC. Direct technical and administrative assistance to AMSO comes from the Integrated Support Center (ISC) located in Chicago and Oak Ridge.

The purpose of the Site Office Annual Assessment Report (AAR) is to provide an assessment of site office performance against each of the performance objectives in the Site Office Annual Performance Plan (APP) covering the previous fiscal year. The AAR is linked to the annual staff performance evaluations and is used as input to the Site Office Manager appraisal

The overall AMSO Fiscal Year (FY) 2009 performance goal was to successfully plan and implement the AMSO mission and functions through an effective and efficient organization which contributes to the overall SC mission. The AMSO then measured performance against established objectives, measures and targets.

The objectives were organized under the five Deputy Director for Field Operations FY 09 Performance Goals, which are: 1) Improve Our Operations; 2) Improve Our Laboratories; 3) Bring Order to Chaos; 4) Help Our Laboratories be Successful; and 5) Evaluate Our Contractors Fairly. In summary, almost all of the targets were achieved and were completed on time. Specifics are included in the Table in Section 3.

**SECTION 2: COMPLETION OF SPECIFIC OBJECTIVES**

The following table is annotated to include the progress or completion on each of the specific commitments made in the FY 2009 Annual Performance Plan.

**Goal 1: Improve Our Operation**

OBJECTIVE	MEASURES	TARGETS	RESULTS
1.1 Implement the Office of Science Management System (SCMS) - Update systems consistent with One SC and provide for an orderly transition to the SCMS as it is developed.	Meet deadlines for transition established under OneSC. Complete the updating of the local procedures (including deletion where applicable) to be consistent with SCMS.	T: Complete a gap analysis of SCMS requirements with site office procedures and processes by 10/30/08.  T: Amend AMSO procedures to incorporate identified SCMS requirement gaps by 1/15/08.	Completed 10/08.  Completed the implementation of SCMS at Ames, which resulted in the retiring of about 8 local procedures.  Mostly completed by 12/08. Some procedures need to be updated after the M&O Contract Administration Subject Area is finalized.
1.2 Develop the AMSO Annual Performance Plan (APP) and ensure flow-down of Site Office APP to performance plans.	Complete the APP for 2010 and complete the Annual Assessment Report (AAR) for 2008. Update staff performance plans during the annual cycle to correspond to goals established in the 2009 APP.	T: Complete Individual Performance Plans by 10/15/2008  T: Submit the AAR for 2008 by 11/1/2008.  T: Submit the APP for 2010 by 9/30/2009.	Completed 10/6/08.  Submitted 11/1/2008.  Submitted 9/30/2008
1.3 Enhance technical and business capabilities, skills, and experience of AMSO staff.	Maintain technical training and certification for Contracting Officer, Facility Representative, and COR (Site Office Manager). Technical Qualification Program for applicable staff continues on schedule.	T: Annual requirements and appropriate continuing education courses are completed by 9/30/2009  T: CO completes Performance Based Incentive Contracting Course by 9/30/2009  T: SOM completes ISM training course by 9/30/2009	Completed 9/30/2009. SOM completed the Level 1 PMCDP Certification and 90% of the TQP package, not due until 2010. ISM course was not taken and has been postponed to 2010  Facility Rep was re-qualified and then certified under TQP by 9/2009.  CO took the required

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			course and has completed his certification requirements in the new ACQ training system.
1.4 Provide opportunities for sharing/cross training staff.	Seek and find opportunities for AMSO staff to participate in oversight activities that assist other SC offices, and vice versa.	<p>T: AMSO staff complete at least three “outside” activities</p> <p>T: Other SC staff (other Site Office and the ISC) complete at least 5 activities to support AMSO</p>	<p>Supported the SC “Lehman” review for CD-2A/3A for the LBNL Seismic Upgrade project (led the Cost and Schedule Review).</p> <p>Participated on the SCMS ISC Assessment team that reviewed the implementation of the procedures in the Oak Ridge and Chicago Offices.</p> <p>The AMSO admin assistant supported numerous ISC offices throughout the year.</p> <p>Support was received from ACQ, and STI (SSS, PSS &amp; STS) for numerous assessments, Be issue, and AMSO procedure/plan updates</p>
1.5 Promote development of employees and a positive work environment via feedback and use of incentives to staff and matrix	ISC requests for feedback are promptly completed, the ISC Rewards and Recognition system will be used to nominate deserving staff, including matrix, and positive/negative feedback is given in a timely manner to AMSO staff.	<p>T: Appreciation letters, and awards as appropriate, are provided within one month of completion of the support by staff outside of AMSO.</p> <p>T: Serve on the ISC-CH Customer Service Work Group.</p>	<p>Letters of Appreciation were given to those ISC members who supported non-routine AMSO activities. One STS individual was given an award for high quality services to AMSO.</p> <p>Matrix staff residing in the ISC were included more in routine communication such as staff meetings and emails.</p> <p>SOM continued to support the Customer Working Group as the Site Office Representative.</p> <p>Continued to be an active member of the Chicago Unity Council.</p>

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<p>1.6 Provide timely and effective communication</p>	<p>Provide for timely and high quality response to HQ requests, maintain excellent communications with Contractor and Laboratory Management, and external stakeholders, and maintain an effective working relationship with the Integrated Support Centers and the other Site Offices.</p>	<p>T: 90% of all responses to requests are submitted early or on time, and products meet expectations of the requesting organization.</p> <p>T: Conduct at least 4 all-hands (includes matrix) staff meetings during the year.</p> <p>T: Attend Bi-Monthly Field Manager meetings.</p> <p>T: Teleconference or meet with Ames Lab Chief Operating Officer at least once a week, and teleconference with Ames Lab Director at least twice a month.</p>	<p>Assignments were completed as expected.</p> <p>AMSO &amp; Matrix staff meetings were conducted on 10/23/2008, 2/5,2009, 7/29/2009, 9/1/2009</p> <p>All DDFO Senior Leadership meetings in DC were attended by and participated in by the SOM.</p> <p>Regular communication with the Ames Lab Director and the Chief Operating Officer was completed as expected.</p>
<p>1.7 Develop AMSO budgets and monitor expenditures in an effective manner</p>	<p>Comply with HQ guidance. Submit program direction budget with justifications &amp; track expenditures.</p>	<p>T: AMSO travel and training budgets are managed in a cost effective and sensible manner. Work is completed within given budgets.</p>	<p>Costs were managed to the budget.</p>
<p>1.8 Continue to demonstrate improvement in operations through on-going self-assessment.</p>	<p>Upon completion of the SCMS Implementation, document the results of this self-assessment of compliance to procedures</p>	<p>T: Complete by 9/30/2008.</p>	<p>Completed as expected.</p>
<p>1.9 Improve Action Tracking and continue to employ the SMART System and expand usage</p>	<p>Ensure that all scheduled assessments and actions are put into system and maintained in a timely manner.</p>	<p>T: 2009 Assessments are scheduled by 10/15/2008.</p> <p>T: Close out old actions from prior years by 12/31/2008.</p> <p>T: Complete</p>	<p>These targets were all met.</p>

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		development of section of SMART to include tracking contract deliverables by 6/30/2009.	
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**Goal 2: Improve Our Laboratories**

OBJECTIVES	MEASURES	TARGETS	RESULTS
2.1 Provide technical and contractual oversight of the Constellation Energy Reduction project implementation in order to achieve significant energy reduction savings.	Facilitate the performance of the ESCO contractor in implementing the projects defined in the Detailed Engineering Survey.	Target: ESCO Energy projects are essentially completed by 9/30/2009.	Not met. ESCO projects were cancelled to due the discovery of unexpected Beryllium contamination inside Spedding.
2.2 Facilitate the implementation of the Mission Readiness Model at Ames Laboratory	Mission Readiness Model is established at Ames which includes the identification of gaps, and the schedule and costs to close those gaps	Complete by 9/30/2009	As part of the Annual Lab Planning exercise, the Mission Readiness Gap Analysis was performed by Ames.
2.3 Assure the continued effective execution of the Laboratory's approved Integrated Safety Management System	In 2009, (which is not a full ISMS review year) the ISMS system evaluation will based on site oversight activities which include observing readiness reviews, reviewing the Ames self assessment, addressing corrective actions, and reviewing the event root cause analysis.	Complete by 9/30/2009	Completed as expected. ISSM Declaration is attached which contains additional information.
2.4 Complete the set of scheduled AMSO functional reviews to provide a sampling review for verification that Laboratory's operating systems are effective.	Facilitate successful completion of reviews and assessments and ensure that follow up actions are completed in an effective and efficient manner.  Monitor Ames Laboratory performance	T: Formal site reviews are completed: a) Maintenance b) Packaging & Transportation c) Industrial Safety d) Fire Protection e) Cyber Security Integrated f) Safeguards and	Five of these reviews were completed in FY2009. Specifics covered in Section 3 below.

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	to ensure that review findings are successfully resolved. Ensure root causes are identified and resolved.	<p>Security Inspection</p> <p>T: All Corrective Action Plans for completed reviews are in place and are entered into SMART.</p> <p>T: Ensure the 2008 PERT Review corrective actions are completed by 1/15/2009.</p>	<p>All correctives actions were routinely put into SMART throughout the year., and the PERT actions were closed out as planned.</p> <p>PERT corrective actions were completed by Ames by 12/2008.</p>
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**Goal 3: Bring Order to Chaos**

OBJECTIVES	MEASURES	TARGETS	RESULTS
3.1 Complete the implementation of SCMS (covered under Goal 1, Objective 1.1);			
3.2 Complete the re-organization of the AMSO shared drive files which will parallel the official contract and site office files.	Files are in folders that align with numerical filing index, duplication is minimal, and AMSO is able to efficiently retrieve and work with documents.	T: Shared Drive filing system reorganization is completed by 3/2009	Was completed by 3/2009. Shared file is organized under the same index as the hard copy files in the office.
3.3 Close-out of the prior Ames contract		T: Initiate the contract close out by 1/1/2009 and complete 75% of AMSO activities by 9/30/2009.	All AMSO activities were completed and the incurred cost audit was completed. No remaining issues or activities remain. The contract is closed out.

**Goal 4: Help Our Laboratories Be Successful**

<b>OBJECTIVES</b>	<b>MEASURES</b>	<b>TARGETS</b>	<b>RESULTS</b>
4.1 Provide timely review and response on Laboratory submittals, issues, and requests.	.	T: Requests are completed within five days and complex deliverable reviews are completed within 21 days. Issues or requests that are high priority will be processed immediately	Completed as expected.
4.2 Continue to monitor Laboratory safety performance; review incidences and identify any root/common causes; work with the Laboratory to ensure a plan is in place to achieve “best in class” performance	Measure: Information and lessons learned across complex is shared in a timely manner with Ames and vice versa. Provide corporate knowledge/experience as it is shared with AMSO, and encourage Ames Laboratory to participate in assisting other organizations.	T: Aspects of the Ames ES&H Readiness Review process are shared with other sites by 9/30/2009.	Not met as I expected. A presentation was prepared for the DDFO meeting in 10/2008, but the agenda item was pre-empted by other emerging issues.
4.3 Listen to what Ames Laboratory says they need to be successful and take action where appropriate and when value added:	Ames Laboratory said they need help with these items:  <ul style="list-style-type: none"> <li>- Ensure obtaining CD-0 on the new Metals Development Building</li> <li>- Facilitate the implementation of the ESCO contract and its successful performance.</li> <li>- Facilitate action on the salary approvals for key personnel</li> <li>- Look for opportunities to secure more funding GPP funding to effectively achieve high mission readiness</li> <li>- Support a risk based implementation of the mission readiness model</li> <li>- Assist Ames Lab in the interpretation of DOE directives and information requests</li> <li>- Help optimize the number of performance measures</li> </ul>	T: Complete or improve on at least five of these requests by 9/30/08.	Completed as expected. Worked with Ames to resolve the problems they said they needed help on which included HR salary actions, royalty income use, nano-science equipment and others.  Assisted Ames Laboratory in the path forward in resolving the Beryllium contamination within Spedding Hall, and coordinated with HQ and NETL to obtain expertise to assist Ames.

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	<p>- Provide technical assistance to Laboratory specialists through training, written guidance, and example programs to assist the Laboratory's efforts to maintain compliance with changes in DOE and Federal requirements.</p>		
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**Goal 5: Evaluate our Contractors Fairly**

OBJECTIVES	MEASURES	TARGETS	RESULTS
5.1 Establish clear FY 2009 performance measures for the Ames contract through the Performance Evaluation Management Plan (PEMP).	In coordination with the responsible Science Program ADs, develop appropriate performance measures (agreed upon by Ames Laboratory) and assessment criteria consistent with the SC guidance for FY 2009 and 2010.	<p>T: Complete modification to include 2009 PEMP by 10/15/2008</p> <p>T: Complete development of the 2010 PEMP by 9/15/2009</p>	<p>The Contract Modification was completed in early November, 08.</p> <p>The 2010 PEMP was completed in 9/2009.</p>
5.2 Provide for a timely, comprehensive, and fair DOE assessment of FY 2008 Laboratory performance	Complete the review of the FY 2008 Laboratory performance.	<p>T: Work with other SC staff to “normalize” scoring criteria across complex. (12/2008)</p> <p>T: Provide briefing to SC-1 by 1/30/2009</p> <p>T: Complete the written assessment report by 2/28/2009</p>	<p>The SOM participated in the normalization meeting in 12/2008.</p> <p>The briefing was conducted on 1/14/2009.</p> <p>The 2008 End of Year report was completed on 2/5/2009.</p>
5.3 Perform a mid-year assessment of the contractor performance under the Ames contract and provide feedback	Complete a timely mid-year assessment report of the Contractor’s performance through mid-fiscal year 2009.	T: Complete a written assessment report and establish objectives for overcoming any issues by 5/31/2009	The AMSO Mid-Year Assessment was submitted to Ames Lab on 6/15/2009.

**SECTION 3: FY2009 HIGHLIGHTS OF AMSO FORMAL OVERSIGHT**

During 2009, AMSO conducted and participated in reviews, evaluations, and inspections of the contractor in programmatic and operational areas to ensure the adequacy of the contractor's management and administrative systems to manage the program work.

Five of six scheduled assessments were conducted by AMSO and/or AMSO Matrix staff.

**TRANSPORTATION SAFETY AND OPERATIONS  
COMPLIANCE ASSURANCE PROGRAM (TCAP) REVIEW, MAY 27, 2009**

The Transportation and Packaging Reviews were combined into one review. The Transportation Safety and Operations Compliance Assurance Program (TCAP) ensures compliance with applicable regulations, policies, and orders at sites involved in transportation operations, including DOE Field oversight; identifies opportunities for process improvements in all aspects of transportation operations; and, shares transportation safety and operations best practices and lessons learned throughout the DOE complex. Overall, the structure of Ames Laboratory's packaging and transportation program was found to be good.

**MAINTENANCE, SEPTEMBER 14-15, 2009**

The maintenance review looked at the Ames Laboratory program for maintaining its facilities in a mission ready condition. No significant deficiencies were identified. The final report is not completed.

**FIRE PROTECTION, SEPTEMBER 14-16, 2009**

The fire protection program review for ensuring that Ames Laboratory's personnel, buildings, and equipment are adequately protected against fire damage. The review found an undersized fire protection water supply line. The 4" pipe was not capable of supplying the water demand for the sprinkler system in the new records storage area. The final report is not completed.

**CYBER SECURITY, AUGUST 10-13, 2009**

The objective of the Cyber Security Program review is to ensure the confidentiality, integrity, availability, and accountability of information processed by Department of Energy unclassified information systems. The DOE Cyber Security Program is implemented by DOE Order 205.1A, "Department of Energy Cyber Security Management". Requirements for Office of Science Laboratories are defined in the Office of Science Program Cyber Security Plan (PCSP), which was last revised on March 2, 2007. The goal of this survey was to assess the performance of the Ames Unclassified Cyber Security Program. The Ames program was found to be "satisfactory".

**SAFEGUARD AND SECURITY AUGUST 10-13, 2009**

The Security Survey was conducted in accordance with DOE M 470.4-1 "Safeguards and Security Program Planning and Management." The survey addressed the following six areas: program management and support, protective force, physical security, unclassified cyber security, unclassified visits and assignments by foreign national, and

nuclear materials control and accountability. All six areas were found to be “satisfactory.”

INDUSTRIAL SAFETY, NOVEMBER 16-19, 2009

This review was postponed to FY2010 due to resource constraints in the ISC. The review will primarily look at Ames Laboratory’s Hoisting and Rigging Program. The review is scheduled for November 16-19.

AMSO participated on ten annual safety independent walk-throughs of Ames Laboratory facilities. They were:

- October 20, Walk-Through of Division of Materials & Science Engineering
- September 8, Walk-About (Outside buildings, parking lots, and rooftops)
- August 11, Walk-Through of Center for Sustainable Environmental Technologies
- July 20, Walk-Through of Metals Development and Wilhelm
- June 11, Walk-Through of Applied Mathematics and Computational Sciences
- May 20, Walk-Through of Environmental & Protection Sciences
- April 20, Walk-Through of Facilities Services
- January 28, Walk-Through of Executive Council, Technical and Administrative Services, and IPRT Offices
- January 7, Walk-Through of Environment, Safety, Health and Assurance
- January 7, Walk-Through of Engineering Services

**SECTION 4: FY 2010 CHALLENGES**

Looking ahead, FY 2010 holds several challenges for AMSO.

**Funding of Beryllium Clean-up**

AMSO is helping Ames continue to resolve the Beryllium contamination issue. In April 2009, a radiological and beryllium contamination survey of exhaust stacks in Spedding Hall was initiated in preparation for an Energy Savings Performance Contract (ESPC) stack vent lining project. The bottoms of 29 inactive stacks were surveyed for radiological and beryllium contamination. Results of beryllium wipe tests indicated levels of beryllium above the analytical detection limits in several of the inactive stacks. This contamination was unexpected due to the historical understanding that beryllium work had been very limited in Spedding and not of the type that would result in residual contamination. Stack sampling has been completed, and a significant portion of the stacks with low levels of beryllium may be caused by contributions from soil and building materials. If this can be proven, then it is possible that the Be rule under 850 would not apply. Several small projects are on hold due this contamination, and it would be very expensive to clean up to release standards. It will be a challenge to continue to fund activities centered on this issue when the annual GPP budget is relatively small to the costs. Alternative funds have not been identified.

**Recovery Act Funded Projects**

In 2009, additional funds were appropriated by the American Recovery and Reinvestment Act (ARRA). Ames Laboratory was granted \$1.7 million of General Plant Project (GPP) funding. Although additional tracking and reporting requirements are necessary for this funding to ensure accountability and transparency, it has been determined that the AMSO can manage the extra workload with its current staffing. The Site Manager has a project background and is serving as the Federal Project Director for the GPPs, and managing the project reporting. The Contracting Officer is able to manage the contract modifications and administration within his workload. However, the Beryllium contamination has now complicated one of the remaining projects, the Access Control Doors. Be contamination was found above ceiling tiles where wiring is required. It is likely to delay the work, but at this point it is being managed within the original schedule.

**Contractor Oversight and Contractor Assurance Systems**

SC is continuing reengineering efforts to establish a consistent approach to contractor management and oversight, and has completed the SCMS web-based requirements and procedures. As a result of these changes, AMSO has adopted the OneSC processes and is adjusting to the current assessment plans and procedures accordingly. The Ames Laboratory Contractor Assurance System will be reviewed again (previously 2008) in 2010 to measure progress in the expansion of their program. Also the Laboratory has been given a performance target to work with the rest of the Science Laboratories to develop a uniform approach.

**ESCO Project Cancellation**

The Energy Saving Contractor activities have been terminated and the ESCO company has requested a “claim” for costs they incurred over the past two years in preparing the Detailed Engineering Survey (pre-award). Currently, there is an effort underway by AMSO, General Counsel–Chicago, and the Golden Field Office (owners of the SuperESPC contract) to determine the next steps. Under the terms of the umbrella IDIQ contract, all pre-award costs will not be paid by the Government if an award is not made, regardless of reason. There is not a contract vehicle in place at AMSO to pay Constellation.

Also, without being able to proceed, it is doubtful that Ames will be able achieve the energy reduction goals they had previously established to meet the intent of the Executive Order or their Executable Plan.

**Staffing The Small Office**

Backfill (hiring action) of an administrative person who left in Oct 2009 - . For the most part, the four permanent AMSO staff are successfully managing the workload, along with technical and business support from the Chicago Integrated Support Center. The addition of a permanent administrative staff in 2008 greatly improved organizational performance and overall efficiency of operations in the Site Office, so there is a desire is to fill this position as soon as possible

The small Site Office size continues to be a challenge as the four permanent staff need to “wear many hats” and be involved personally in dozens of different types of activities. The Site Office Manager personally spends a large amount of time on writing plans, reports & documents, answering the “mail”, participating in numerous meetings, and supervising three staff, leaving less time for her to be interacting with the Contractor, working on improvement or best practices projects, or strategic planning.