



## Department of Energy

Washington, DC 20585

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MEMORANDUM FOR: Marvin Gunn, Manager, Chicago Operations Office  
Michael Holland, Acting Manager, Oak Ridge Operations Office  
Keith Klein, Manager, Richland Operations Office  
Richard Nolan, Director, Berkeley Site Office

FROM: Antionette G. Joseph   
Director, Office of Laboratory Policy  
Office of Science

SUBJECT: Office of Science Roles and Responsibilities Guidance for  
Laboratory Directed Research and Development

On May 9, 2002, Dr. Orbach issued guidance on the Laboratory Directed Research and Development (LDRD) program to the Office of Science (SC) Laboratory Directors. As a follow on, SC has developed, in concert with the field, the attached Roles and Responsibilities document to ensure consistent implementation of the new oversight and reporting requirements.

The Roles and Responsibilities LDRD Guidance document is the product of a joint SC and National Nuclear Security Agency (NNSA) effort, and is provided for your information, dissemination, and use for oversight of the LDRD programs at the SC laboratories under your cognizance. NNSA will be issuing similar guidance to their field elements.

If you have any questions, please contact John LaBarge at 202-586-9747 or Diane Pero at 202-586-6834.

Attachment

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Roles and Responsibilities for  
Laboratory Directed Research and Development at the  
Office of Science Laboratories

1. PURPOSE

This document augments DOE Order 413.2A, Laboratory Directed Research and Development (LDRD), dated January 8, 2001, the Secretary of Energy Memorandum, "Future Direction of Laboratory Directed Research and Development Program and the Plant Directed Research, Development, and Demonstration Program," dated April 30, 2002, and the SC Director Memorandum, "Laboratory Directed Research and Development," dated May 9, 2002. It establishes the roles and responsibilities for implementing the requirements of these memoranda and DOE Order 413.2A at the Office of Science (SC) laboratories under the cognizance of the Director, Office of Science: Argonne National Laboratory (ANL); Brookhaven National Laboratory (BNL); Lawrence Berkeley National Laboratory (LBNL); Oak Ridge National Laboratory (ORNL); Pacific Northwest National Laboratory (PNNL), and Ames Laboratory (Ames). While DOE Order 4112A provides the foundation for the LDRD policy, established by SC, our LDRD oversight process is influenced by and consistent with SC's management philosophy for all its research and development activities, and includes annual planning and reporting documents, and program and peer reviews.

2. ROLES and RESPONSIBILITIES

The Director, Office of Science or his designee:

Establishes Departmental policy in the form of DOE Order 413.2A and is the focal point for policy clarification and issue resolution;

Establishes roles, responsibilities, procedures, and guidelines for management oversight of the SC LDRD Program;

Exercises general oversight of the management system and the guidelines and procedures under which LDRD is conducted at the SC laboratories (Ames, ANL, BNL, LBNL, ORNL, and PNNL) and approves changes to that system;

Reviews and approves the annual program plans and maximum levels of funding that may be expended or obligated on LDRD activities for the next fiscal year at each SC laboratory; and notifies the Operations/Site Offices and the laboratories, in writing, of the approved plan and maximum funding level before the beginning of the new fiscal year;

Exercises management oversight of LDRD activities at each of the SC laboratories, with assistance from the cognizant Operations/Site Office Manager or designee, and conducts an annual review and assessment of each laboratory's LDRD program. This review evaluates the program's compliance with the technical requirements of DOE Order 413.2A and its results, the operation of the laboratory's LDRD management system, including the selection process. The annual review in conjunction with the reasonableness of the LDRD plan documentation, the Operations/Site Office's recommendation, and the laboratory's overall performance in managing its LDRD program, form the basis for the decision on the laboratory's LDRD program plan and maximum level of funding for the next fiscal year;

Grants exceptions to the 36-month maximum rule for duration of an LDRD project, with assistance from the appropriate Operations/Site Office Manager or designee. Extension of a project beyond the normal 36-month limit is restricted to unusual circumstances with strong justification;

- Conducts additional reviews, as necessary, in conjunction with the responsible Operations/Site Office to ensure compliance with the LDRD policy requirements and/or for preparing the approval of the program plan and maximum funding level;
- Reviews and discusses the LDRD program with the laboratory management as part of the annual Institutional Planning On-site Review;
- Assigns additional general or specific tasks to the responsible Operations/Site Office, with their agreement, to ensure adherence to the requirements of DOE Order 413.2A; and
- Chairs the SC LDRD Working Group that consists of members from SC, AAO, BAO, BSO, OSO, RL, ANL, BNL, LBNL, ORNL and PNNL, and meets annually or as necessary throughout the fiscal year.

#### The Managers of Operations/Site Offices

In conjunction with the SC Director, exercise oversight of LDRD activities, as required by DOE Order 413.2A, at the laboratories for which they are responsible;

Oversee the implementation of the laboratory's LDRD management system and the general administrative aspects of LDRD activities;

Review the laboratory's annual LDRD program plan and proposed funding level and provide a written recommendation on the Plan and requested funding level to the SC Director;

Provide a written certification that the laboratory's method for accumulating LDRD funds meets the requirements of DOE Order 413.2A, and submit it to the SC Director with the recommendation on the LDRD program plan and requested funding level;

Provide a briefing to the SC Director at the DOE Caucus meeting held just prior to the Laboratory Institutional Planning Review on the laboratory's performance related to management and administration of the program and adherence to the requirements of the LDRD policy, and any other issues deemed appropriate by the Operations/Site Manager or designee;

Assess each proposed LDRD project's compliance with the requirements of DOE Order 413.2A and concur with or withhold concurrence from each individual project that will start work at the beginning of the fiscal year. Approval shall be conveyed after 30 calendar days from date of receipt for this annual submission. If this does not occur, the laboratory should contact the cognizant Operations/Site Office. However, the SC Director must provide a written approval for the program plan and funding level to the laboratories and the Operations/Site Offices prior to the start of any LDRD projects at the beginning of the fiscal year;

Concur or withhold concurrence from all late-start projects proposed throughout the fiscal year. Approval shall be conveyed within 10 working days for these individual project submissions. If this does not occur, the laboratory should contact the cognizant Operations/Site Office;

Validate the laboratory's annual LDRD self-assessment and review the laboratory's annual LDRD report and provide a written assessment to the SC Director;

Conduct special reviews, audits, and assessments as necessary to ensure compliance with DOE Order 413.2A and for continuous improvement;

Ensure that other Federal agencies are properly notified that a portion of the funds collected through the Work for Others program will be used to fund LDRD projects;

Provide the SC Director with a written concurrence for any project for which the laboratory requests an exception from the 36-month maximum duration rule for LDRD projects; and

- As necessary, provide additional assistance to the SC Director in fulfilling the requirements outlined in DOE Order 413.2A, including active participation in LDRD and Institutional Planning Reviews and in the SC LDRD Working Group.

The Laboratory Directors or their designees

Guide the laboratory's LDRD program to support the overall mission and goals of the laboratory consistent with the requirements of DOE Order 4112A;

Fully support all LDRD review and oversight activities and participate in the SC LDRD Working Group;

Ensure that all LDRD projects support the DOE national security missions (energy resources, nuclear security, environmental quality, and science) and missions of other Federal agencies.

Ensure annually that all LDRD projects have identified potential use/benefit to the DOE national security missions. The laboratory will evaluate LDRD projects for their potential use/benefit to DOE and other Federal agencies using appropriate combinations of DOE and institutional strategic plans, roadmaps, and other similar planning documents, and internal and external peer reviews.

Comply with the DOE Order 413.2A requirements as stated in the Contractor Requirements Document (CRD) of this Order.

Provide an annual LDRD program plan as required by DOE Order 413.2A. Include a certification in the plan that the LDRD projects are conducted under and comply with Integrated Safeguards and Security Management and Integrated Safety Management principles and program prior to Operations/Site Office approval of said projects;

Submit a one or two-page data sheet to the Operations/Site Office for every project that may be selected by the laboratory. These data sheets may be submitted with the annual LDRD program plan 45 days prior to the start of the fiscal year or may also be submitted under separate cover, if desired, 30 days prior to the start of the fiscal year. For late-start projects, data sheets may be submitted at any time of the year. The purpose of the data sheet is to assist the cognizant Operations/Site Office in assessing project compliance with the limitations established by DOE Order 413.2A. The data sheet will provide the same information and be generally in the same form as the example at Attachment 1;

Keep necessary, formal documentation on file for each approved LDRD project to show that the project has undergone proper review and is in compliance with all applicable requirements. Operations requirements areas include human subjects, animal subjects, nuclear safety, environmental protection, occupational safety and health, and safeguards and security;

Provide an annual written LDRD report as described in the CRD. In addition, SC requires the annual report to include a project funding table, listing the projects with 5-year funding profiles and a self-assessment, which provides:

- a description of the laboratory's LDRD management process;
- a summary of the LDRD portfolio's relatedness to laboratory missions, initiatives, and strategic plans;
- a description of the peer review process under which the LDRD science is evaluated and any relevant results; and
- a summary of the metric data as success indicators.

Provide a statement in a cover letter to the LDRD annual report affirming the quality of science, program relevance, and adherence to compliance requirements for the LDRD program;

Respond to SC HQ and Operations/Site Offices, Congressional, or auditor's inquiries or requests for information in a timely manner. These types of requests are sporadic in nature; and

Evaluate the quality of science and technology of the LDRD program. Cognizant, reputable internal and external peers review the quality of science and technology supported by LDRD projects throughout the year.

ATTACHMENT I

LDRD PROJECT DATA SHEET  
LABORATORY, FISCAL YEAR

Project Identifier:

Project Name:

Category of Work:

Type of Research:

Principal Investigator:

Project Description: Include a short description of the project and an explanation of the cutting-edge, high-risk, high potential science, technology, and/or engineering.

Tie to Mission: Explain the relevance or anticipated benefits to the national security mission or other missions of the laboratory.

Previous Years' Accomplishments and/or Expected Results (as applicable):

Funding Amount (\$ in thousands): Prior Years (Actual) \_\_\_\_\_  
Current Year (Estimated)  
Next Year (Proposed) \_\_\_\_\_

(The format can vary as long as the information is included; the length should be one-two pages).