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LINE MANAGEMENT ROLES AND RESPONSIBILITIES AT AMES LABORATORY

This document details the organization of line management, and the roles and responsibilities of each position, within the Ames Laboratory.

1.0 APPROVAL RECORD

- Reviewed by: Training & Documents, QA Coordinator (Molly Granseth)
- Approved by: General Counsel (Barbara Biederman)
- Approved by: Associate Director of Sponsored Research (Deb Covey)
- Approved by: Assistant Director of Scientific Planning (Cynthia Jenks)
- Approved by: Chief Research Officer (Duane Johnson)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Deputy Director (Thomas Lograsso)
- Approved by: Laboratory Director (Adam Schwartz)

The official approval record for this document is maintained by Training & Documents.

2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

The Laboratory assigns responsibilities for oversight through the Laboratory directorship to division and program directors, department managers, group leaders, and supervisors. This flow down of roles and responsibility from the Laboratory Director to employees is the basis of line management responsibility. Line management structure applies to business functions including safety, management of personnel, assets, finances and facilities and is usually illustrated through the use of organizational charts. For each position in the organizational structure there are defined roles and responsibilities as described in this document. All duties listed in this document are to be performed by someone in the line management chain. They are listed at the lowest intended level but where assignments are not made they are the responsibility of the next highest management level. For example, for a small program or department all the duties listed in this document starting at the DD/ID/PD/DM may be performed by one person.

4.0 ROLES AND RESPONSIBILITIES

4.1. Laboratory Director

The Director is responsible for all aspects of leading and managing the Laboratory. S/he develops a compelling and viable vision for the continuation and advancement of the scientific future of the Laboratory, designs a strategic plan that will help realize that vision, leads the effective and optimal execution of that strategy, and provides leadership for the development, and prioritization of Laboratory initiatives. The Director is the voice of the Ames Laboratory in relations with the DOE and other national laboratories and is expected to be a strong proponent of the Laboratory in pursuing new opportunities and communicating its successes. S/he actively participates in technology transfer initiatives and public affairs/education activities of the Laboratory. S/he must effectively communicate with the DOE, national and international scientific institutions, other national laboratories, media, the public and any other stakeholders.

Contact Person	Thomas Lograsso	Revision	0
Document	Policy 40000.003	Effective Date	07/01/2016
		Review Date	07/01/2019

The Director is responsible for the financial stability and sustainability of the Laboratory. The Director approves the Laboratory's operating budget that builds on current strengths and strategically aligns the Ames Laboratory to take advantage of emerging opportunities. The Director uses Laboratory resources and partners with other units at Iowa State University to recruit and retain top scientists and managers. For the fiscal year 2015, the Lab's budget was over \$57 million, most of which came from DOE. The Director is responsible for the effective, responsible, and safe operation of the Laboratory, including its government-owned facilities and property. S/he is the champion for Integrated Safety Management and is directly responsible for the safety and security of the Laboratory's employees and assets. This includes being the leader in developing and maintaining a system of cyber security that protects both the Ames Laboratory and the DOE laboratory system.

The Director reports directly to Iowa State University's Senior Vice President and Provost.

4.2. Deputy Director

The Deputy Director provides executive level support to the Ames Laboratory Director and leadership within the Ames Laboratory to ensure success in meeting the mission of the Ames Laboratory. The Deputy Director:

- Serves as a member of the Ames Laboratory Executive Council; assumes role of Laboratory Director in absence of the Director.
- Supervises the Environment, Safety, Health and Assurance (ESH&A) department, which includes Occupational Medicine and Training & Documents. This entails:
 - Performing personnel appraisals for direct reports (including second level reviews).
 - Working with the Safety Review Committee to ensure a robust Conduct of Research program utilizing principles of Integrated Safety Management and Environmental Safety Management.
- Manages office and research space within Ames Laboratory buildings.
- Allocates space and assigns custodians to manage space.
- Reviews and approves all Ames Laboratory proposals submitted for external funding.

4.3. Chief Operations Officer (COO)

The COO is responsible for the administration of and compliance with the Ames Laboratory contract between ISU and DOE. The COO:

- Serves as a member of Executive Council; assumes the role of Laboratory Director in the absence of the Director and Deputy Director, and assumes the role of Export Control Officer in the absence of the Associate Lab Director for Sponsored Research.
- Designates department managers for management of personnel, safety, oversight and management of space and property, and fiduciary responsibilities within the administrative and operations programs; oversees the daily operations of the Lab and the execution of Lab policies and procedures; performs personnel appraisals for

Contact Person	Thomas Lograsso	Revision	0
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		Review Date	07/01/2019

department managers (including second level reviews); allocates resources for safety improvement and project management in Accounting, Budget, Facilities and Engineering Services, Human Resources, Information Systems, Purchasing and Property Management, and the General Counsel's Office.

- Directs the Contractor Assurance System (CAS) and works with our partners in CAS, Iowa State University (ISU) and the DOE Ames Site Office, to provide current updates and open lines of communication in order to develop a high level of trust between the organizations.
- Directs the development and maintenance of the Disclosure Statement in accordance with Cost Accounting standards. This describes the costing and overhead practices of the Laboratory.
- Is responsible for the foreign visits and assignments program, foreign travel program, the counterintelligence program, and the conference management program.
- Ensures a safe work environment by participating in Independent Walk-throughs and walkthrough inspections of laboratory spaces assigned to department managers, implementing and conducting worker observations, ensuring training completion of all operations staff, and allocating resources to address safety concerns and maintain safe work environments.

4.4. Chief Research Officer (CRO)

The CRO provides leadership and vision for Ames Laboratory's strategic initiatives, scientific mission, and planning of the Laboratory's scientific mission areas. The CRO:

- Is a member of Executive Council; assumes the role of Laboratory Director in the absence of the Director, Deputy Director, and Chief Operations Officer.
- Designates division and program directors for management of personnel, safety, oversight and management of space and property, and fiduciary responsibilities within the research programs; performs personnel appraisals for department managers (including second level reviews).
- Manages the Laboratory Directed Research and Development (LDRD) program, projects and DOE requirements, reporting, and audits, while supporting strategic objectives of the Laboratory.
- Ensures a safe work environment by participating in Independent Walk-throughs and walkthrough inspections of laboratory spaces assigned to their group leaders, implementing and conducting worker observations, ensuring training completion of all research staff, and allocating resources to address safety concerns and maintain safe work environments.

4.5. Division, Institute and Program Directors and Department Managers (DD/ID/PD/DM)

DD/ID/PD/DMs are responsible for personnel, safety, oversight and management of space and property, and fiduciary responsibilities for projects that fall under their direction. Individuals holding these positions have a unique ORG code for financial management and a unique GLC code as identifiers in various business systems. Division, institute and program directors and department managers:

- Serve as the project leader for all projects assigned unless the role is transferred to

Contact Person	Thomas Lograsso	Revision	0
Document	Policy 40000.003	Effective Date	07/01/2016
		Review Date	07/01/2019

others.

- Allocate resources appropriately to meet programmatic missions, including project and GSO funds.
- Serve as the Assistant Cybersecurity Manager (ACSM) for their areas of responsibility unless assigned otherwise.
- Designate group leader status to individuals (as appropriate) to assist with the management of personnel, space, property and asset management, safety and project management. Group leader status involves a transfer of roles and responsibility.
- Develop policies and procedures for oversight of space management and key access to Laboratory spaces assigned to group leaders within their respective areas and ensure door cards display current hazard and emergency notification information.
- Ensure a safe work environment, including approval of activities falling under Readiness Review, by conducting walkthrough inspections of laboratory spaces assigned to their group leaders, participating in Independent Walk-throughs, implementing and conducting worker observations, ensuring training completion by all divisional/departmental staff, allocating resources to address safety concerns and maintain safe work environments, and serving as the group's safety coordinator (unless otherwise designated).
- Ensure that group leaders and supervisors under their direction complete a Hazard Inventory (HI) and Training Needs Questionnaire (TNQ) for their group, either as a template or for each employee individually; oversee training completion by employees under their direction, including General Employee Training and other mandatory institutional training as well as job-specific training.
- Supervise personnel by ensuring employment contractual obligations are met for staff hired under their direction and providing approval for cyber-systems access, foreign visitor assignments, travel (foreign and domestic), and employees seeking Associateship status; serve as personnel supervisor for direct reports; conduct performance appraisals for direct reports (including second level review).

4.6. **Safety Coordinator**

The DD/ID/PD/DM may appoint a safety coordinator. Safety coordinator designation is an assignment of tasks not a transfer of roles or delegation of responsibilities. Line management responsibilities are retained by the DD/ID/PD/DM. The group safety coordinator will (tasks are not limited to this list):

- Serve as a liaison between the DD/ID/PD/DM and ESH&A.
- Assist the DD/ID/PD/DM with the implementation of ESH&A programs, as directed.
- Ensure new employees are given Emergency Awareness Training (AL-002).
- Schedule and participate in program walk-throughs (Procedure 10200.014), and report to the DD/ID/PD or department manager.
- Participate in annual Independent Walk-throughs scheduled by ESH&A (Procedure 10200.021).

Contact Person	Thomas Lograsso	Revision	0
Document	Policy 40000.003	Effective Date	07/01/2016
		Review Date	07/01/2019

- Report the status of safety activities, including concerns, to the DD/ID/PD or department manager.
- Attend safety coordinator/representative meetings as coordinated by ESH&A.
- Attend Hazard Identification (AL-130) and Safety Coordinator / Representative Development (AL-031) training and other training as directed by the program director and in consultation with ESH&A.
- Review Activity ES&H Hazard Identification Checklists for Readiness Reviews within the program and participate in Readiness Reviews, as appropriate.

4.7. Assistant Cyber Security Manager (ACSM)

The DD/ID/PD/DM may assign an ACSM. The ACSM will (responsibilities are not limited to this list):

- Coordinate with IS and Group Administrators to respond to incidents on systems in their area.
- Distribute security information to the group administrators.
- Perform all Group Administrator duties.

4.8. Group Leader

Group leaders are designated by DD/ID/PD/DMs and are responsible for each of the roles detailed below:

Financial Management

Group leaders' financial management responsibilities:

- Serve as the project leader who ensures appropriateness and allowability of expenditures, including purchase of supplies, travel, services etc.
- For new projects consider all safety aspects and request sufficient funds required to start up projects safely and efficiently including renovations of space as needed.
- Identify and allocate costs associated with end of research including waste management and remediation costs
- Approval of employee effort reporting, time certifications, phone reports, service order requests and other in-house services, sub-contract performance and allowable expenses

Property and Assets Management

Group leaders' custodial responsibilities for property:

- Administer and account for property held in their custodianship or group in accordance with the Laboratory's Property Management Policy (Policy 48300.00)
- Ensure proper and appropriate use of equipment for DOE and Ames Laboratory purposes
- Maintain current records of location and condition; provide timely notifications of changes, transfers or missing property to Property Services; assist during inventory checks regarding accurate property locations, retirement and reutilization of property

Contact Person	Thomas Lograsso	Revision	0
Document	Policy 40000.003	Effective Date	07/01/2016
		Review Date	07/01/2019

- Allocate resources to maintain proper working condition and safe operation
- Ensure proper long-term storage for property when not in use
- Identify excess property with a property transfer tag (green tag) when no longer needed or not functional; dispose of equipment according to the DOE disposition policy

Space Allocation and Management

Group leaders' custodial responsibilities for laboratory and office spaces:

- Participate in walk-through inspections of assigned spaces for infrastructure; report infrastructure deficiencies to Facilities & Engineering Services in a timely manner
- Instigate remodeling/renovations when necessary for proper and safe conduct of research/operations activities
- Efficient space utilization
- Effective communication of hazards to occupants; this includes providing Emergency Awareness training
- Access and occupancy approval
- Report joint Ames Laboratory/ISU space utilization

Personnel Management

Group leaders' supervisory responsibilities:

- Comply with hiring and checkout procedures, conduct performance appraisals, review or create employee HI and TNQ forms, monitor and ensure employees have met all training requisites, and approve leave requests and timesheets.
- Serve as the personnel supervisor for group staff unless otherwise designated; conduct performance appraisals for direct reports (including secondary review as appropriate); accurately identify hazards and training needs for their employees through the use of HI and TNQ forms for group employees.
- Designate supervisory roles for group staff members, as appropriate.
- Ensure that visitors to their areas are properly trained and follow Laboratory policies and procedures; serve as a host to visitors and foreign nationals.
- Ensure research activities are properly documented through the use of laboratory notebooks, and that all intellectual property and personally identifiable information generated by their group is handled and protected according to guidelines and other control mechanisms (including cybersecurity) established by the Ames Laboratory.

Safety Management

Group leaders' safety management responsibilities:

- Identify and define group activities for safety review, initiate and take responsibility for Readiness Reviews of group activities; conduct hazard identification and management and worker observations; implement risk

Contact Person	Thomas Lograsso	Revision	0
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		Review Date	07/01/2019

mitigation controls to eliminate or mitigate risk of impact to staff's health and safety, equipment, facilities and the environment; prepare and maintain standard operating procedures for tasks as appropriate.

- Serve as the group's safety representative unless otherwise assigned.
- Complete required training for all supervised activities as required by regulation, Laboratory procedures, and/or identified through the Readiness Review process.
- Provide job-specific training to ensure supervised employees can perform all work activities in a safe and healthy manner; prepare and maintain job-specific training records.
- Allocate resources appropriately to maintain safe work environments.
- Ensure that supervisors and employees under their direction complete HIs/TNQs for their groups, either as templates or for each individual employee; oversee training completion by supervisors and staff under their direction, including GET and other mandatory institutional training and job-specific training.
- Provide job-specific training to ensure supervised employees can perform all work activities in a safe and healthy manner; prepare and maintain job-specific training records

Cybersecurity Management

- Group leaders will serve as the Group Administrator unless otherwise assigned.

4.9. Group Safety Representative

The group leader may assign a safety representative. Safety representative designation is an assignment of tasks not a transfer of roles or delegation of responsibilities. Line management responsibilities are retained by the group leader. The group safety representative will (tasks are not limited to this list):

- Serve as the liaison between the group leader and the safety coordinator; the safety representative also interacts with ESH&A.
- Assist the group leader with the implementation of ES&H-related programs, as directed.
- Conducts periodic walk-throughs, as directed, and reports to the group leader.
- Assist the safety coordinator (when necessary) with providing Emergency Awareness Training (AL-002) to new employees.
- Reports the status of safety activities, including concerns voiced by the group, to the group leader, safety coordinator and/or ESH&A staff member, as indicated.
- Attends safety coordinator / representative meetings as coordinated by ESH&A.
- Attends Hazard Identification (AL-130) and Safety Coordinator/Representative Development (AL-031) training and other training as directed by the group leader and in consultation with ESH&A.
- Reviews Activity ES&H Hazard Identification Checklists for all Readiness Reviews within the group or section and participates in Readiness Reviews, as appropriate.

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		Review Date	07/01/2019

4.10. Group Administrators

The group leader may assign a group administrator. Group administrator designation is an assignment of tasks not a transfer of roles or delegation of responsibilities. Line management responsibilities are retained by the group leader. The group administrator will (tasks are not limited to this list):

- Participate in mandatory cyber security training (AL-195 ACSM Cyber Security Requirements Training).
- Respond to cyber incidents in the group and assist cyber security in the analysis of the incident.
- Respond to notices from system scans to help verify and resolve vulnerabilities.
- Attend ACSM/Group Administrator meetings and distribute information to end users.
- Participate in annual cyber security walk through process including meetings and system evaluation and remediation.
- Assist ACSM and Information Systems staff with requests for information and support security policy and procedures.
- Assist with configuration management responsibilities for systems in their area.
- Identify systems that cannot meet baseline requirements and submit Baseline Exception Request forms to ACSM.
- Help educate users on access control and password account policies.
- Assist with identification and review of all networked machines, including higher risk systems (Moderate and Internet Accessible systems), and follow processes and procedures associated with these systems.