



U.S. DEPARTMENT OF  
**ENERGY**

Office of  
Science

Integrated Support Center  
Chicago Office

**Annual Performance Plan**

Fiscal Year 2010

*Roxanne E. Purucker* 9/30/09

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Office of Science – Chicago Office

Date

SC-CH Revision History

**TITLE:** Annual Performance Plan

**POINT OF CONTACT:** Barbara Clouse, IMS

**SCMS MANAGEMENT SYSTEM:** [Quality Assurance and Oversight](#)

**TO BE UPDATED:** Annually

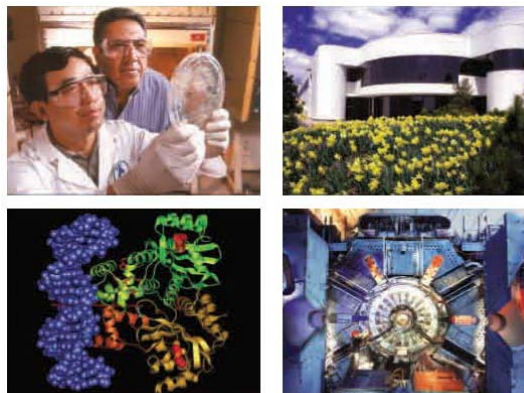
REVISION	DATE	REASON/DRIVER	DESCRIPTION
0	Sep 07	<a href="#">Memo from G. Malosh, DDFO, dated July 17, 2007</a>	Essential element of the SC integrated approach for performance and accountability in all aspects of SC operations reporting to the DDFO
1	Oct 08	<a href="#">Quality Assurance and Oversight</a> SCMS Management System, as required by <a href="#">DOE O 226.1A</a> , Implementation of Department of Energy Oversight Policy	Annual Update
2	Oct 09	Same as above	Annual Update

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## Introduction

The Office of Science – Chicago Office (SC-CH) provides mission support to the Department of Energy (DOE), with emphasis on the Office of Science's (SC) mission to ***deliver the remarkable discoveries and scientific tools that will transform our understanding of energy and matter and advance the energy, economic, and national security of the United States.*** SC-CH provides business services that distribute DOE funds to facilitate research, make experiments safer, protect the environment and safeguard the taxpayer's investment in science.



SC-CH and the SC Oak Ridge Office (SC-OR) comprise the Integrated Support Center (ISC), providing a coordinated approach toward administrative, business and technical services in support of the entire Office of Science complex, including all Site Offices overseeing Science Laboratories, other DOE program offices, and, as appropriate, other federal agencies. ISC success is measured by how well we work with our customers to achieve DOE and SC missions and whether our work meets our customers' expectations for reliability, efficiency, and transparency. This Annual Performance Plan (APP) identifies the goals, objectives and measures that SC-CH has established for fiscal year (FY) 2010 to ensure that, as an ISC partner, we meet DOE and SC mission support requirements and are accountable for our results.

### Background: Building on Our History to Advance DOE and Science Missions

For more than 60 years, SC-CH has provided support to the nation's science and technology missions. During those six decades Chicago supported:

- the growth of nuclear technology from the Manhattan Project through the design and development of commercial nuclear power;
- management and operation of national laboratories as the research and development engines of progress in science and technology;
- management of thousands of contracts and grants funding individual researchers at the majority of the nation's research universities; and
- projects ranging from the construction of particle accelerators to energy efficiency and renewable energy demonstrations.

Over this period, SC-CH built on its expertise and experience to create a versatile team of highly qualified technical and business management experts. Today, we assemble contract specialists, accountants, real estate specialists, environmental engineers (and many others) to assist in the award and administration of management and operating (M&O) contracts for national laboratories and unique procurements such as the recently awarded Facility for Rare Isotope Beam (FRIB) and the Frontier Energy Research Centers. We forge teams of quality assurance specialists and nuclear and fire safety professionals to protect the workers, the public and the environment. We combine the skills of patent attorneys, auditors, and budget, cyber security and real property analysts to ensure that America's investment in science is protected and managed according to the highest standards.

SC-CH supports almost \$5 billion of DOE research, development, and other activities involving almost every Departmental program in all 50 states, Puerto Rico, the Virgin Islands, and 30 foreign countries. SC is the largest funding program in this mix, with Chicago responsible for \$3.9 billion, 63 percent of the SC total, or about 80 percent of the funds Chicago manages.

### **Moving Forward: Serving Science and America in FY 2010**

This year we focus our attention on enhancing the mission support provided to our customers by improving the quality of services and speed of delivery. During FY 2009, SC-CH and SC-OR initiated activities to support attaining a third party accreditation of our operations under ISO 9001:2008. ISO 9001:2008 is an internationally recognized quality standard for both governmental and commercial organizations. ISO certification by the ISC is currently expected to occur within FY 2010 and will further serve as a pilot for all SC elements. It is expected that ISO certification will augment previous efforts to develop the Office of Science Management System (SCMS), but will drive additional/renewed focus on:

- effectively operating our major processes
- customer service
- continual improvement

FY 2010 will bring with it a number of reform initiatives from the Obama Administration with regard to human capital, oversight of our contractors, and procurement. The FY 2010 SC-CH APP clearly recognizes these activities.

Beginning in FY 2009, the deployment of the American Recovery and Reinvestment Act of 2009 (ARRA) will continue to challenge the men and women of SC-CH in FY 2010. ARRA created a significant workload increase for SC-CH, with many new grants combined with high expectations for transparency, oversight, and additional reporting. SC-CH management remains very focused on supporting ARRA success within the Office of Science during FY 2010.

FY 2010 brings with it a number of human capital initiatives designed to provide an enhanced understanding of federal staffing needs throughout the Office of Science. During FY 2010 SC-CH, teaming with SC-OR, will assist SC-4 in deploying workforce/staffing analyses tools in Headquarters (HQ). This effort seeks to identify/document/assess workload drivers and indicators to assure appropriate workload to staffing ratios, while also serving to support SC federal full-time equivalent (FTE) requests. Other human capital initiatives planned for FY 2010 include SCMS enhancements for hiring processes to assure commonality across SC and to complete a number of actions stemming from the FY 2008 Federal Human Capital Survey.

Resources and controls devoted to information management continue to play a prominent role in SC-CH's ability to deliver high quality services to its customers and an efficient workplace for its employees. The question at hand, however, is, "at what cost?" During FY 2010, SC-CH plans to take a hard view of our information technology costs ranging from reducing hardware to evaluating options for our network.

The Office of Science formally authorized restart of limited uranium operations at New Brunswick Laboratory (NBL) on August 26, 2009. This is a significant milestone achieved in the overall nuclear operations strategy for NBL. NBL's top priority during FY 2010 is to return to full operations as the nation's leader in producing nuclear certified reference materials. As a major part of this effort in FY 2010, the ARRA fire protection upgrade project will be a priority to ensure

it is safely and cost-effectively completed. Plutonium material consolidation and movements, under the plutonium justification for continued operations, are expected to commence in FY 2010 after obtaining required authorizations and successfully demonstrating readiness. SC-CH and NBL expect to expend significant effort and focus toward assuring effective and robust safety, security, emergency management, quality assurance, and packaging and shipping programs. NBL will also complete accreditation to ISO 17025 (the testing and calibration laboratory quality management system standard) in order to demonstrate excellence in the laboratory's nuclear certified reference materials and measurement evaluation work. The laboratory is expected to issue new certified nuclear reference material, support the 2010 update to the nuclear material measurement International Target Values, and enhance its communications to make customers aware of NBL operational status, programs, and initiatives. In addition, NBL technical services to other DOE organizations, other federal agencies, domestic and international facilities, and the International Atomic Energy Agency are expected to grow this fiscal year.

Together with Oak Ridge, SC-CH plans to accomplish a number of joint ISC goals to advance and support DOE and SC mission activities. Included in the joint ISC goals is the continued deployment of SCMS, for which SC-CH and SC-OR share a leadership role on behalf of the Deputy Director for Field Operations (DDFO). FY 2010 SCMS activities included within this APP further support the identification and documentation of HQ assigned responsibilities within each Management System. During FY 2006-09 SCMS development teams were primarily comprised of Field employees. Additional effort will also be allocated to assuring all delegations of authorities are properly issued and published within SCMS. Finally, DDFO Assessments conducted during FY 2009 are expected to yield valuable user feedback not only related to SCMS content, but navigation recommendations that may help shape SCMS screens, its construct, and overall usability.

### **Mission**

The Office of Science - Chicago Office is a critical element of the Office of Science program execution and implementation capability. SC-CH is the provider of essential business and technical support to assigned SC Site Offices, other Headquarters program sponsors and other federal agencies. SC-CH facilitates the delivery of remarkable discoveries, advancing technology and the understanding of energy and matter which perpetuates the well-being of the United States.

**Message to Chicago Office Staff**

*Every year, despite escalating responsibilities and activities, we take precious time to examine our plans and set goals for the upcoming year. Part of Chicago's success can be attributed to our history of planning for the future and setting challenging goals. The Annual Performance Plan lays out these goals and serves as both our 2010 game plan and the scorecard by which we will measure our collective performance. Setting our sights on challenging goals helps us to collectively accomplish that which may even appear to be out of reach. The Plan for 2010 focuses on enhancing the quality and timeliness of our mission support services. It also recognizes reform initiatives set by the new DOE Leadership and links the Chicago Office to the high level goals set by the Office of Science. The linkage will be complete as we develop our individual performance plans. This design helps us to keep focus on desired outcomes, often under difficult challenges when focus can easily be lost.*

*The goals we selected for 2010 build on our past successes and drive improvements for important aspects of our work. Our goals, measures and targets reflect continued focus on:*

- the American Recovery and Reinvestment Act;*
- ISO 9001:2008 implementation;*
- strengthening the Integrated Support Center;*
- building on the success of SCMS; and*
- restoring NBL to full operational capability.*

*New goals will focus on:*

- Human Capital initiatives – including teaming on SC-wide efforts to improve workforce planning and analysis;*
- improving service and efficiency in information management services;*
- improving planning with our HQ customers for our large volume of our financial assistance activities; and*
- securing improvements to STRIPES to better manage financial assistance activities.*

*While working to achieve these goals, we will strive to maintain excellence in productivity and service that is the hallmark of Chicago's tradition. As you read the plan, you will see the important contributions that you make on a daily basis. It is through your skills and dedication that we are assured continued success in achieving our goals.*

***Roxanne Purucker, Manager***

## Office Priorities/Goals/Objectives/Measures

This APP provides the framework for our organization's (Attachment 1 – SC-CH Organization Chart) efforts to achieve best-in-class services for our customers in support of the Department's and SC's strategic plans and priorities, the DDFO's FY 2010 Performance Goals and Objectives, and in alignment with our 2006-2010 Strategic Plan issued in May 2006. ISC goals/objectives/measures are jointly developed with Oak Ridge and a collaborative effort is led by the Manager, with input and discussion by Chicago managers and staff, to establish SC-CH annual goals and objectives. These goals and objectives, in turn, flow down to Chicago management and staff performance standards.

The first section of this plan includes seven measures directly linked to SC DDFO organization's Goals and Objectives for FY 2010. In the remaining sections, there are 8 goals and 34 objectives specific to SC-CH, with measures and targets for each objective. Of these objectives, seven are joint ISC objectives with associated measures and targets (designated with a "★") developed by Oak Ridge and Chicago management working together to ensure the science enterprise is precise, safe, law-abiding and predictable.

The balanced approach to development of the APP goals, as part of Chicago's overall Strategic Management System, begins with four Primary Objective Categories: Resources (human capital such as workforce planning, training and development, financial, technology); Mission (products and services); Customer Service (internal and external such as HQ, site offices, program sponsors, grantees); and Continuous Improvement (such as SCMS, ISO 9001). Goals and objectives are developed to align short-term actions with long-term strategy, while considering needs across the four categories to ensure comprehensive and balanced efforts. **This year, the objectives, measures and targets are divided into two categories:**

- **metrics of SC-wide and DDFO interest defined in this APP and**
- **a "local" tier of metrics of importance to SC-CH.**

*Quarterly Management Reviews*, meetings of SC-CH senior staff, are convened by the Manager to evaluate progress toward performance plan goals and objectives and mitigate impacts wherever necessary. Performance measure status and workload indicators are tracked throughout the year in the *Management Decision Support System* (MDSS). MDSS is available at <https://chip.ch.doe.gov/mdss/>. (A user ID and password are required; contact the Chicago Office Help Desk ([DOE-CHHelpDesk@ch.doe.gov](mailto:DOE-CHHelpDesk@ch.doe.gov)) or 630-252-2772) for assistance.)

Annually, we evaluate our performance and report the results to the SC DDFO in an Annual Assessment Report (AAR). This report provides an assessment of Chicago's performance against the objectives outlined in the APP, including noteworthy accomplishments, results, challenges, and any concerns which would impact future performance. It also documents support provided on SC initiatives, participation in the implementation of SCMS, and other support provided to SC during the fiscal year.

Note: “★” Denotes ISC (Joint SC-CH and SC-OR) Objectives or Measures

<b>SC DDFO Performance Goal 1 –</b>				
<b>Improve our Operation</b>				
<b>Goal</b>	<b>Objective</b>	<b>Measure</b>	<b>Target</b>	<b>Owner</b>
DDFO 1	DDFO 1.b. Complete detailed staffing analyses of the Oak Ridge and Chicago offices.  ★ Support SC-4 in comprehensive analysis of HQ Program Offices and Field Offices workload distribution and future workforce requirements to inform the budget, planning and management processes.	★ Coordinate process with serviced organizations to identify relevant workload drivers and weighted workload indicators to determine appropriate workload unit to staffing ratios.	11/27/2009	HRS
		★ Incorporate staffing ratios into SC-wide workforce planning tool to conduct future staffing and workforce analyses and document in SCMS.	03/31/2010	HRS
		★ Facilitate SC-wide workforce analyses.	09/30/2010	HRS
DDFO 1	DDFO 1.c. Incorporate Integrated Management Principles into SCMS.			
DDFO 1	DDFO 1.d.i. Improve selected areas in SCMS: Human Resources – one hiring system for all SC offices will be developed and implemented in SCMS.	★ Map existing ISC hiring process in SCMS using OPM End-to-End Hiring Process tool. Revise ISC process in accordance with established timeframes.	12/31/2009	HRS
DDFO 1	DDFO 1.e. Review and reduce information technology (IT) costs.	Evaluate network options for SC-CH. Complete feasibility study of using ANL network.	09/30/2010	IMS
		Evaluate telecommunications costs in an effort to reduce costs.	5%	IMS
		Evaluate software licensing costs in an effort to reduce costs.	5%	IMS

<b>SC-CH/ISC Performance Goal 1 –</b>				
<b>Effectively exercise all delegated authorities in support of the SC mission/goals</b>				
<b>Goal</b>	<b>Objective</b>	<b>Measure</b>	<b>Target</b>	<b>Owner</b>
1	Complete Chief Financial Officer (CFO) Authorities within established timeframes.	Process funding allotments in a timely manner.	100% Completed by month-end	CR
		Prepare CH Financial Statements in a timely manner.	End of Third Quarter	CR
		Lead SC-CH Federal Manager’s Financial Integrity Act (FMFIA) assessment	08/13/2010	CR
1	Complete responses to Freedom of Information Act (FOIA) and Privacy Act (PA) requests within statutory/ regulatory timeframes.	Percentage of SC-CH on-time FOIA responses (within 20 business days of deadline)	90%	OCC
<b>SC-CH/ISC Performance Goal 2 –</b>				
<b>Effectively deliver service to the SC complex in accordance with customer expectations and the ISC customer service policy</b>				
<b>Goal</b>	<b>Objective</b>	<b>Measure</b>	<b>Target</b>	<b>Owner</b>
2	Complete FY 2010 acquisition and assistance actions for SC and other DOE programs.	Process acquisition and assistance actions within standardized procurement acquisition lead times (PALT).	90%	ACQ

2	Provide financial and budget services to both internal and external customers.	Provide timely development and processing of M&O Laboratory contract funding modification for the SC-CH Site Offices and Laboratories and provide timely processing of acquisition and assistance actions upon receipt.	100% completed by Month-end	CR
		Provide financial advice, guidance and review services to ACQ, Site Offices and/or Laboratories.	2 Site Office Visits	CR
2	Protect the intellectual property interests of the Government.	File patent applications on behalf of DOE.	25	OCC
		Process inventions to final disposition.	1,000	OCC
2	Provide quality assessments in support of the Office of Science.	Support Site Office reviews/assessments needs and complete as scheduled in the Integrated Assessment Schedule (IAS).	100% of requested Environment, Safety and Health/Quality Assurance assessments	STI
			3 Security assessments	STI
			3 or more FIMS Validations	STI

		Support Safety Basis Approval Authority.	Complete safety basis reviews for documents submitted for approval in accordance with the SC-IAS and contingent upon necessary support service funding.	STI
2	Implement program/project management services.	Distribute the FRIB pre-approved draft Environmental Assessment for State/Public comment.	Two weeks after delivery from Michigan State University	STI
2	Meet requirements of Intelligence Reform and Terrorism Prevention Act of 2004.	Adjudication cases are completed within 20 days.	90%	STI
		Submit adjudication cases to OPM.	Average is less than 14 calendar days	STI
2	Build a requirements-based SC safeguards and security budget.	Implement SC Security Benchmarking Results	TBD upon SC management endorsement of study	STI
2	Provide timely and effective real estate transaction support to Site Offices.	Accomplish real estate reviews of typical complete transaction proposals.	Within 2 weeks	STI

<b>SC-CH/ISC Performance Goal 3 –</b>				
<b>Facilitate overall procurement reform within DOE and seek improved procurement planning processes within the Office of Science</b>				
<b>Goal</b>	<b>Objective</b>	<b>Measure</b>	<b>Target</b>	<b>Owner</b>
3	Lead efforts with Golden Office, National Energy Technology Laboratory and other SC users to develop a consolidated set of recommendations for improvement of execution and workload management in STRIPES.	Provide input to MA-6 through SC Head of Contracting Activity (HCA).	12/31/2009	ACQ
3	Initiate discussions with SC-2 and SC-4 to balance distribution of the procurement workload across the entire fiscal year.	Conduct meeting.	11/15/2009	ACQ
<b>SC-CH/ISC Performance Goal 4 –</b>				
<b>Enhance the SC-CH Quality Management System to continually improve overall ISC operations and customer satisfaction</b>				
<b>Goal</b>	<b>Objective</b>	<b>Measure</b>	<b>Target</b>	<b>Owner</b>
4	★ Prepare for SC-wide ISO 9001 Certification by piloting this activity through Certification of the ISC.	★ Inventory desk reference procedures and identify necessary changes.	12/31/2009	OM
		★ Complete internal assessment of ISO 9001 implementation.	02/26/2010	OM

		★ Confirm corrective actions completed; selected follow-up from February ISO-9001 internal assessment.	03/31/2010	OM & Senior Staff
		★ Provide timely required documentation and support which will allow for the award of the certification contract.	Award date: 03/31/2010	OM
		★ Complete Registrar 9001 pre-audit.	06/30/2010	OM
		★ Complete ISO 9001 certification audit.	08/31/2010	OM
4	Ensure SC-CH Strategic Plan adequately supports near-term planning horizon.	Issue SC-CH FY 2010-16 Strategic Plan.	04/15/2009	OM
4	★ Implement Improvements to SCMS.	★ Review reports of SCMS Assessments conducted by SC-3, Jun – Aug 2009, and consider development and completion of responsive actions to any recommendations contained in the report.	12/31/2009	OM
		★ Provide support to aid in ensuring Management System Owner’s complete annual reviews of their Management System Descriptions (MSD).	09/30/2010	OM
		★ Provide support to aid in ensuring all MSDs are updated to reflect results of ISC ISO/SCMS Gap Analyses.	12/31/2009	OM
		★ Complete development and implementation of Delegations of Authority section of the SCMS website.	12/31/2009	OM

		★ Complete requirements baselines for all Management Systems by executing all necessary Requirements Decision of Record (RDR).	12/31/2009	OM
		★ Complete a “make-over” of the SCMS Learning Center.	03/31/2010	OM
		★ Complete further development and/or enhancement of the FAQ section of SCMS.	12/31/2009	OM
		★ Complete MSD/Subject Area reconciliation/automation.	03/31/2010	OM
4	Improve internal processes.	All SC-CH organizations conduct and report a self-assessment of a function or process.	100% by 06/30/2010	ALL
		All SC-CH organizations implement identified process improvements resulting from self-assessments.	100% by 09/30/2010	ALL
		Update/reissue FY2010 Integrated Safety Management (ISM) Declaration	11/01/2009	STI
		Update/reissue SC-CH Functions, Responsibilities and Authorities Manual (FRAM).	11/01/2009	STI
		Update/release SC-CH Integrated Safety Management System Description (ISMSD).	11/01/2009	STI
		Complete FY2010 Federal Employee Occupational Safety and Health (FEOSH) review.	03/01/2010	STI

<b>SC-CH/ISC Performance Goal 5 –</b>				
<b>Provide industry leading information technology/services on a risk informed basis to cost effectively support SC mission/goals</b>				
<b>Goal</b>	<b>Objective</b>	<b>Measure</b>	<b>Target</b>	<b>Owner</b>
5	Implement improvements to cyber security systems identified through customer feedback mechanisms such as from town hall meetings and through internal assessments.	Evaluate customer suggestions/requests for revisions to cyber systems and controls for impacts and possible implementation.	100% of suggestions/ requests assessed and responses provided to the requestors within 30 days of receipt.	IMS
5	Evaluate and revise desktop equipment refresh policy.	Update computer refresh policy to prioritize STARS/STRIPES/other heavy users of databases.	03/31/2010	IMS
<b>SC-CH/ISC Performance Goal 6 –</b>				
<b>Facilitate DOE human capital management reform, including further institutionalizing rigorous work force planning throughout the Office of Science</b>				
<b>Goal</b>	<b>Objective</b>	<b>Measure</b>	<b>Target</b>	<b>Owner</b>
6	★ Improve employee satisfaction and wellness by addressing issues identified in DOE/SC 2008 Federal Human Capital Survey results.	★ Provide guidance to supervisors and employees on telecommuting to enable staff to work remotely in the event of Continuity of Operations (COOP) activation or a biological event.	09/30/2010	HRS

		★ Survey managers and supervisors to identify barriers to providing constructive performance feedback to address performance deficiencies.	09/30/2010	HRS
		★ Identify and make available formal training courses to enhance supervisors' competence in conducting performance discussions and addressing performance deficiencies.	09/30/2010	HRS
		★ Utilize the <i>"Ignite Your Career: Learn to Prepare for a New Opportunity"</i> workshop materials developed by SC-CH across SC.	09/30/2010	HRS
		★ Educate employees on requirements for specific occupations and how they can prepare themselves through formal career development programs, tuition assistance, rotational assignments, etc.	09/30/2010	HRS
		★ Promote establishment of bridge and upward mobility positions by SC supervisors as a workforce management tool. Educate supervisor on how to incorporate Individual Development Plans into the workforce planning strategies.	09/30/2010	HRS
6	★ Increase ISC Diversity.	Develop targeted recruitment strategies to increase representation of Hispanics, Asians and people with targeted disabilities in the applicant pool.	03/31/2009	OMD
6	Identify opportunities for increased efficiency of staffing essential functions.	Conduct a management and organization analysis of NBL.	11/15/2009	OM

<b>SC-CH/ISC Performance Goal 7 –</b> <b>Restart and operate NBL safely, cost effectively, and in accord with the approved Justification for Continued Operations</b>				
Goal	Objective	Measure	Target	Owner
7	Ensure compliance with nuclear facility operational requirements for environment, safety and health (ES&H) in accordance with the Uranium Justification for Continued Operations (U JCO), Plutonium Justification for Continued Operations (Pu JCO), and Documented Safety Analysis (DSA).	Submit the final draft DSA, addressing SC-CH issues, for approval consistent with the nuclear operational strategy approved by SC-3 (final DSA approval to occur after completion of the ARRA fire protection upgrades).	02/15/2010	NBL
		Declare readiness for SC-CH Pu JCO readiness assessment based on completion of the overall management self-assessment (MSA) and resolution of any MSA pre-start issues.	04/28/2010	NBL
		Complete Pu JCO material movements on schedule and without incident and place NBL into its final configuration with respect to the nuclear operational footprint.	11/30/2010	NBL
7	Improve the NBL self-assessment program.	Complete self-assessments on time per the FY 2010 schedule.	09/30/2010	NBL
		Validate closure of all Office of Health, Safety and Security (HSS) corrective actions.	09/30/2010	NBL
7	Maintain an effective safeguards and security and emergency management program.	Results of SC-CH Safeguards and Security (S&S) Survey are successful.	Receipt of “satisfactory” or above in all areas	NBL

7	Utilize the ISO 17025 standard to improve NBL operations.	Complete a self-assessment/gap analysis for ISO 17025 accreditation.	03/31/2010	NBL
		Complete accreditation to ISO 17025.	09/30/2010	NBL
7	Establish effective packaging, shipping, and transportation services for NBL.	Complete domestic shipments of reference materials and measurement evaluation samples to customers.	14 days from receipt of an official request	NBL
		Complete foreign shipments of reference materials and measurement evaluation samples to customers.	28 days from receipt of an official request	NBL
7	Effective planning and completion of the ARRA Stimulus Fire Protection Project	Complete design.	03/31/2010	NBL
		Complete construction on time and within budget.	07/31/2010	NBL
7	Provide new or replacement nuclear certified reference materials and meet responsibilities as the Federal Certifying Authority for nuclear reference materials.	Issue nuclear certified reference materials by the end of FY 2010.	One	NBL
7	Deliver enhanced measurement evaluation services to provide independent validation of facility quality control of nuclear material measurement capabilities.	Complete Annual Measurement Evaluation Program reports (Safeguards Measurement Evaluation (SME) and Calorimetric Exchange (CALEX)) by the end of the third quarter of the following fiscal year, as required.	06/30/2010	NBL
7	Provide analytical chemistry measurement services and maintain equipment to perform state-of-the-art destructive measurements.	Submit the positive Unreviewed Safety Question (USQ) compensatory measures required to make uranium hexafluoride measurements operational for SC approval.	06/30/2010	NBL

7	Provide analytical chemistry measurement method development.	Complete project plan for uranium calibration mixes.	09/30/2010	NBL
<b>SC-CH/ISC Performance Goal 8 – American Recovery and Reinvestment Act of 2009 (ARRA)</b>				
<b>★ Support job creation and economic stimulus in accordance with ARRA</b>				
<b>Goal</b>	<b>Objective</b>	<b>Measure</b>	<b>Target</b>	<b>Owner</b>
8	★ Meet Processing and Reporting Requirements.	★ Obligations for each ARRA project are processed expeditiously once all required paperwork is received.	By Month-end	CR
		★ For non-management and operating contractor awards, select high-risk areas for transaction testing and real-time post-award monitoring and closeout.	10% of all non-M&O recovery awards	CR
8	★ Ensure Adequate Oversight and Transparency.	★ Coordinate ARRA joint reviews with Site Offices and M&O contractors.	Complete Reviews as Scheduled	CR
8	Provide project management for American Recovery and Reinvestment Act funded fire safety improvements project at NBL.	Construction complete.	09/30/2010	STI

## **FY 2010 Oversight Plan and the SC Integrated Assessment Schedule (IAS)**

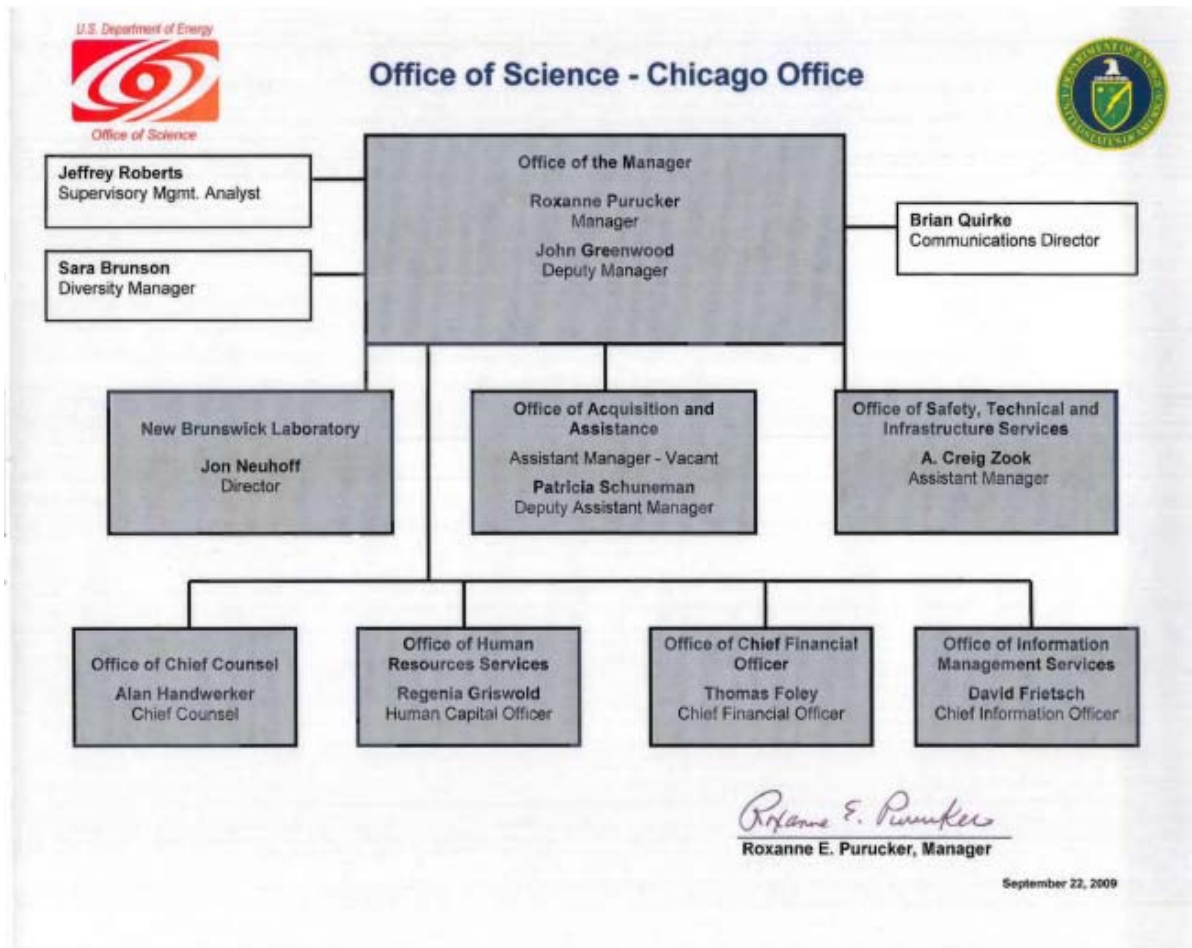
Chicago's oversight program consists of three major components. The first is focused on assessing our effectiveness in our role as the provider of a broad range of services to our SC-CH associates, to the SC Site Offices and to SC Headquarters. Each organization is responsible for conducting at least one formal management or self assessment of a chosen function each year. The Manager also commissions at least one management assessment of a cross-cutting area. The second component of Chicago's oversight program is the delegated SC line management oversight responsibility for the New Brunswick Laboratory, assigned by the SC DDFO to the Chicago Manager. The third component is the assessment responsibilities delegated to SC-CH in various functional areas. Chicago's assessments planned for FY 2010 are listed in Attachment 2, *FY 2010 Integrated Assessment Schedule* and are also available for viewing at <https://chip.ch.doe.gov/smart/>. (A user ID and password are required; contact the Chicago Office Help Desk ([DOE-CHHelpDesk@ch.doe.gov](mailto:DOE-CHHelpDesk@ch.doe.gov) or 630-252-2772) for assistance.)

In addition, SC-CH provides support to Site Office Oversight Programs as requested, filling lead auditor and team member roles of assessments in various functions. The IAS support information will continue to be updated as Site Office assessment plans are coordinated and refined.

## **Workload Indicators**

In addition to measuring and tracking performance, SC-CH monitors workload indicators related to each functional area of the Office. Workload status is reported by Managers in the quarterly Management Review meetings convened by the Chicago Manager. A list of indicators planned for FY 2010 is included as Attachment 3, *FY 2010 Workload Indicators*. The workload indicators and multi-year data are available in graphical form in MDSS for trending analyses. Improvements to the indicator set are considered annually and as needed throughout the year.

### SC-CH Organization Chart



## FY 2010 Integrated Assessment Schedule

Title	Areas	Description	Planned Start	Planned Completion	SMART Key
IG-KPMG Audit of Financial Statements	Business Operations	Office of the Inspector General's annual review of financial statements.	01/01/2009	11/02/2009	OS-2077
Conduct Management Representation Letter Assessment	Business Operations	Perform an assessment of SC-CH's financial reporting systems sufficient to provide a Management Representation Letter.	09/15/2009	10/09/2009	OS-1818
3011 DSA Review for ANL Bldg 212 (AGHCF)	ES&H - Nuclear Safety Basis	Safety basis review support commitment to Argonne Site Office.	10/01/2009	11/12/2009	OS-1890
Procurement Self-Assessment	Business Operations	Perform a review of SC-CH procurement policies, practices and transactions in preparation for Procurement Management Assistance Review.	11/02/2009	12/31/2009	OS-1890
BNL - ARRA Reporting	Business Operations	Review the adequacy, integrity, and completeness of the Recovery Act reporting requirements for M&O's and Grantees.	01/01/2010	03/30/2010	OS-2047
LBNL - ARRA Reporting	Business Operations	Review the adequacy, integrity, and completeness of the Recovery Act reporting requirements for M&O's and Grantees.	01/01/2010	03/30/2010	OS-2049
Ames Lab - ARRA Reporting	Business Operations	Review the adequacy, integrity, and completeness of the Recovery Act reporting requirements for M&O's and Grantees.	01/01/2010	03/30/2010	OS-2044
PPPL - ARRA Reporting	Business Operations	Review the adequacy, integrity, and completeness of the Recovery Act reporting requirements for M&O's and Grantees.	01/01/2010	03/30/2010	OS-2040
ANL - ARRA Reporting	Business Operations	Review the adequacy, integrity, and completeness of the Recovery Act reporting requirements for M&O's and Grantees.	01/01/2010	03/30/2010	OS-2041
FNAL - ARRA Reporting	Business Operations	Review the adequacy, integrity, and completeness of the Recovery Act reporting requirements for M&O's and Grantees.	01/01/2010	03/30/2010	OS-

Title	Areas	Description	Planned Start	Planned Completion	SMART Key
LBNL - ARRA Review of Cost Accruals	Business Operations	Review the cost and accrual process used on Recovery Act awards to ensure accurate and complete accounting.	01/01/2010	03/30/2010	OS-2064
FNAL - ARRA Review of Cost Accruals	Business Operations	Review the cost and accrual process used on Recovery Act awards to ensure accurate and complete accounting.	01/01/2010	03/30/2010	OS-2055
BNL - ARRA Review of Cost Accruals	Business Operations	Review the cost and accrual process used on Recovery Act awards to ensure accurate and complete accounting.	01/01/2010	03/30/2010	OS-2061
PPPL - ARRA Review of Cost Accruals	Business Operations	Review the cost and accrual process used on Recovery Act awards to ensure accurate and complete accounting.	01/01/2010	03/30/2010	OS-2052
Ames Lab - ARRA Review of Cost Accruals	Business Operations	Review the cost and accrual process used on Recovery Act awards to ensure accurate and complete accounting.	01/01/2010	03/30/2010	OS-2058
ANL - ARRA Review of Cost Accruals	Business Operations	Review the cost and accrual process used on Recovery Act awards to ensure accurate and complete accounting.	01/01/2010	03/30/2010	OS-
MDSS Management Assessment	Business Operations	Management Review of the Management Decision Support System (MDSS).	01/25/2010	01/28/2010	OS-1935
NBL S&S Survey	Safeguards and Security/ISSM	Review NBL's safeguards and security programs.	01/25/2010	01/29/2010	OS-1216
NBL-SNR-05.1 - Consolidation and transfer of nuclear material at NBL	ES&H - Nuclear Safety Basis	Review NBL to resume operations.	01/25/2010	02/05/2010	OS-1903
Information Management Systems Self-Assessment	Information Technology	Self-Assessment of an IT function.	02/01/2010	02/26/2010	OS-2359
Safeguards and Security Inspection - WesDyne: Waltz	Safeguards and Security/ISSM	Review WesDyne International, LLC, Waltz Mill, safeguards and security programs.	02/09/2010	02/09/2010	OS-1917

<b>Title</b>	<b>Areas</b>	<b>Description</b>	<b>Planned Start</b>	<b>Planned Completion</b>	<b>SMART Key</b>
Mill					
Safeguards and Security Inspection - WesDyne: Columbia Plant	Safeguards and Security/ISSM	Review WesDyne International, LLC, Columbia Plant, safeguards and security programs.	02/10/2010	02/10/2010	OS-1918
Human Resources Self-Assessment	Business Operations	Review 3R (Recruitment, Relocation and Retention Incentives) programs, plans and procedures.	02/15/2010	03/15/2010	OS-2384
SC-CH Continuity of Operations Program Self-Assessment	Emergency Management	Self-Assessment of SC-CH COOP per DOE O 150.1.	03/01/2010	03/05/2010	OS-1869
3011 DSA Review for ANL Bldg 306	ES&H - Nuclear Safety Basis	Safety basis review support commitment to ASO.	03/01/2010	04/09/2010	OS-1891
DSA Annual Update for ANL Bldg 205 K-Wing Deactivation	ES&H - Nuclear Safety Basis	Safety basis review of Building 205 K-Wing Deactivation.	03/09/2010	03/16/2010	OS-1892
NBL Procurement Review	Business Operations	Review NBL procurement transactions.	06/01/2010	07/30/2010	OS-2363
DOE HCMAP Audit	Business Operations	The DOE-HQ Office of Human Capital Management will conduct a Human Capital Management Accountability Program Audit of the SC-CH HRS programs.	06/01/2010	09/30/2010	OS-2388
Conduct FMFIA assessment for SC-CH	Business Operations	Review SC-CH, Site Office and Integrated Contractor FMFIA Assurance memorandums.	07/01/2010	08/15/2010	OS-1866
Annual SC-CH Workplace Safety and Health Inspection	ES&H – Industrial Safety	Inspect SC-CH workplaces to identify safety and health hazards.	08/02/2010	08/31/2010	OS-2391

<b>Title</b>	<b>Areas</b>	<b>Description</b>	<b>Planned Start</b>	<b>Planned Completion</b>	<b>SMART Key</b>
Safeguards and Security Inspection - TVA	Safeguards and Security/ISSM	Review Tennessee Valley Authority safeguards and security programs.	09/14/2010	09/14/2010	OS-1916

## FY 2010 Workload Indicators

<b>Office of Acquisition and Assistance (ACQ):</b>	
Procurement Requests Received	Small Business Outreach Activities/Events
Active Awards	M&O Extend/Compete & Competitive Actions Supported
Inactive Awards	Non-M&O Actions Supported
Over-aged Inactive Awards	Foreign Equipment Loans Processed
Awards Retired	Excess Property Transfers Processed
Over-aged Awards Retired	Property Clearances Reviewed
Small Purchases	Labor Standards Requests Processed
Alternate Reviews	Assurance of Compliance Actions Over \$200K Processed
Independent Reviews	
<b>Office of Chief Financial Officer (CR):</b>	
Funding Allotment	Accounting Transactions
Financial Review Actions	Obligation Entries
<b>Office of Human Resources Services (HRS):</b>	
Actions Processed in CHRIS	Delegated Examining Unit (DEU) Announcements
Actions Processed in HR Workflow	Merit Promotion Announcements
Actions Processed in Training Workflow	Employees Provided Retirement Counseling
Award Nominations Processed	Retirement Calculations Computed
Review of Performance Plans against Performance Appraisal Assessment Tool (PAAT) requirements	Classification Actions
<b>Office of Information Management Services (IMS):</b>	
Application Enhancements	Energy Employees Occupational Illness Compensation Act (EEOICPA) Actions
Number of Help Desk Calls	Records Management Actions
Applications Supported	Telephone Action Requests
Application Hosting Environment (AHE) Applications Supported	Directives
Network Modifications	Laptop Maintenance
<b>Office of Chief Counsel (OCC):</b>	
Major M&O Prime Contract Actions	Intellectual Property (IP) Procurement Reviews
Other Major Actions	Copyrights
Litigation/Administrative Proceedings	Invention Disclosures Received
General Law (GL) Procurement Action Reviews (including Locals)	Inventions Disposed

GL Directives/SCMS Reviews	Patent Applications Filed
GL Other Reviews	Patent Application Amendments Filed
GL 450 Reviews	Confirmatory Licenses Submitted
IP Work for Others (WFO) Reviews	Waiver Statements of Consideration Forwarded
IP Cooperative Research and Development Agreement (CRADA) Reviews	SC-CH FOIA/PA Requests Received
IP Contract Agreement Close-outs	SC-CH FOIA/PA Requests Processed
<b>Office of Safety, Technical and Infrastructure Services (STI):</b>	
Personnel Security Actions	Construction Grants On-site Visits
Days of Cyber Security Support Provided	Construction Grants Submitted
Site Office S&S Oversight Support Days	Electricity Delivery and Energy Reliability Progress Visits
ES&H Assessments Led/Participated In	Facilities Support Services Requests
STS Support Hours	FIMS Validations
Real Estate Transaction Reviews	
<b>Office of the Manager, Communications (OMC):</b>	
SO Press Releases Reviews Coordinated	SC-CH/HQ Events/Activities Supported
SO Events/Activities Supported	SC-CH/HQ Committees/Task Force Supported
SO Committees/Task Force Supported	SC-CH/HQ Management Communications Drafted
SO Advice/ Coaching/Training	Stakeholder/Community Events Supported
SO Assistance in Performance Expectations/Reviews	Public Inquiries/Interactions
SO Management Communications Drafted	Media Inquiries/Interactions
SC-CH/HQ Advice/ Coaching/Training	Web Sites/Pages Active
<b>Office of the Manager, Diversity (OMD):</b>	
Employee Concerns Program contacts	Events/activities supported
Employees serviced	HQ data calls responded to
EEO contacts	SO assistance in Performance Expectations/reviews
<b>New Brunswick Laboratory (NBL) (workload indicators and status tracking):</b>	
# of ES&H operating plans and procedures revised/issued	% complete – process improvement evaluation of packaging, shipping, and transportation services
# of ES&H incidents/quarter (ORPS, reportable illness/injury)	% complete – establish corrective action database
% DSA complete	# corrective actions closed
% Pu JCO readiness complete	# of repeat findings
% Pu JCO implementation complete	% findings entered within 10 days of final report receipt

# of maintenance backlog projects	% corrective actions implemented within 45 days
# of surveillances	% complete – establish causal analysis process
# self-assessments completed (Qtr 1-2)	% complete – establish qualified investigation staff
# self-assessments completed (Qtr 3-4)	# of lessons learned routed to staff for actions
% HSS corrective actions validated	# of NBL processes, procedures, training improvements from lessons learned information
% S&S survey readiness complete	% complete – Fire Protection Project design
% inventory complete	% complete – Fire Protection Project construction
% exercise plan complete	CRM units sold
% drills complete	# of formal occasions for CRM communication
# of S&S and emergency management operating plans and procedures revised/issued	# customer interactions
# of S&S incidents (IMI 1-4)	% complete – SMES implementation
# of QA/QC operating plans and procedures revised/issued	# reports – experimental results
% complete for assessment of drills conducted	% timely delivery - experimental results reports
# timely document confirmations	% complete – SME and CALEX
# training units completed	# project milestones
% overall staff completion in TQP	# reports – fiscal and project reports
% self-assessment/gap analysis completed	# assistance requests
% complete - corrective actions for achieving ISO 17025 accreditation	% complete – positive USQ compensatory measures
% complete - accreditation to ISO 17025	% complete – project plan for uranium calibration mixes
# CRM units sold - domestic	# chemists trained
% shipped/ordered - domestic	# courses provided
# CRM units sold - foreign	% complete – NBL web page update
% shipped/ordered - foreign	% complete – Annual Progress Report
% SME program samples shipped	% complete – NBL brochure
# unique customer inquiries	% complete – Outreach Plan update
# of ordering, packaging, and shipping plans and procedures revised/issued	% complete – financial management software improvements
% complete – ordering and shipping software evaluated, selected, utilized	