



U.S. DEPARTMENT OF  
**ENERGY**

Office of  
Science

Integrated Support Center  
Chicago Office

**Office of Science-Chicago Office  
Annual Assessment Report and  
Annual Performance Plan**

October 1, 2012 – March 31, 2014

A handwritten signature in black ink, appearing to read "Roxanne E. Purucker".

Roxanne E. Purucker, Manager  
Chicago Office

Date: 11/20/12

ISC Revision History

**TITLE:** ISC Chicago Office Annual Performance Plan and Annual Report

**POINT OF CONTACT:** Roxanne Purucker, OM

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

**EXPIRATION DATE:** March 31, 2014

REVISION	DATE	REASON/DRIVER	DESCRIPTION
0	Oct 10	<a href="#">Memo from G. Malosh, DDFO</a>	First annual joint ISC APP
1	Oct 11	Memo from J. McBrearty, DDFO	Annual update
2	Oct 12	Memo from J. McBrearty, DDFO	Annual update

***We pledge to respect and value our partners and customers, communicate responsively and professionally, and build our reputation for delivering excellent professional services with each task performed. The superior quality and timeliness of the services we provide our partners and customers is critical to the achievement of the Science mission.***

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

## **I. Manager's Perspective**

The mission of the Chicago Office is to serve the Office of Science by delivering professional support and services to our partners and customers including Headquarters, the site offices, about 300 leading universities funded through Science grants, and hundreds of small businesses, along with other customers both within and beyond the Department. Our professional services support the Site Offices manning the front line in overseeing Sciences' Labs and ensuring that Labs' contractor assurance systems meet the mark and protect the taxpayers' investment. We also supply contracting, legal, business, and other expertise necessary to support the broad range of science and technology initiatives planned by the Department.

During FY 2012 we set ambitious goals and achieved notable success in delivering our services and support in faster, better ways. We embraced the goals set by the Deputy Director for Field Operations by streamlining key processes resulting in more timely services, without compromising quality. We succeeded in:

- reducing the average time it takes to issue a grant from 41 days to 28 days;
- improving overall timeliness of awards from 55% to 88%;
- committing to and achieving a 24 hour turnaround time for STRIPES budgetary reviews;
- reducing the time it takes to hire non-Senior Executive Service personnel by 32%;
- achieving 97% on-time response to over 70 Freedom of Information/Privacy Act requests;
- 33% reduction of grants in closeout status;
- actively working to improve communication and increasing site visits to better tailor our support to specific office needs;
- focusing intently on figuring out how to better support the site offices in the challenges they face on the front line in both overseeing and supporting the Science Laboratories;
- actively supporting seven Lehman reviews and 19 project reviews; and
- delivering 100% of the environment, safety and health, quality assurance, and security assessment support requested by the Site Offices.

### **Increased Quality**

A major part of our ISO 9001 Quality commitment is to demonstrate continual improvement and focus on delivering world class customer service. We accomplished this by training all Chicago employees in customer service delivery, requiring each of our business units to develop and use a customer service plan, and soliciting customer feedback for further improvement. Each of our business units is required to self-assess at least one process annually for

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

improvement. With the emphasis on customer service and efforts to do our work in faster, better ways, we achieved marked improvements in customer satisfaction particularly with program managers and grant recipients.

### **Operated Efficiently**

In addition to the efficiencies we achieved by streamlining our processes, we cut costs to the bone. We are relentless with our drive to go paperless, have consolidated or eliminated copiers, printers, and fax machines; reduced blackberry usage, and consolidated our office space to the extent feasible. We achieved savings by scaling back support contractors for Information Technology and administrative and technical support. During the past year, we helped initiate and advocate for the Science Information Technology Modernization project, which should realize future savings, while improving and standardizing our technology. We scrutinized travel costs. In fact, all discretionary costs are scrutinized. While placing emphasis on streamlining and increasing efficiencies, we continued to integrate Environmental Safety & Health (ES&H) and Quality Assurance (QA) concepts into all of our work; this is further detailed in the Chicago Annual Integrated Safety Management (ISM) Declaration (see Appendix 1). We expect additional savings will be made by eliminating duplicative medical services, hosting the majority of required training on site and expanding the use of video conferencing in lieu of travel for meetings.

### **Revitalized New Brunswick Laboratory (NBL)**

Of particular note is that after many years of hard work the dedicated NBL staff has turned the corner from restart to a carefully planned full operational status. During FY 2012 NBL completed the facility safety basis and returned the facility to operational status. Also during FY 2012 NBL began implementing improvements to the nuclear measurement programs with the goal of regaining pre-eminent status in nuclear materials measurement science. A key initial accomplishment was attaining formal accreditation under ISO 17025. These efforts will continue in FY 2013 with the operations resumption of additional mass spectrometers and expanding the scope of analytical techniques and programs accredited under ISO. NBL has achieved remarkable success considering their size, budget and unique place in the Department.

### **Rejuvenated Staff**

We made these improvements while undergoing a loss of almost ten percent of our staff due to retirements and other departures. While we looked with trepidation at the extensive staff loss we would suffer from the Voluntary Early Out and Buyouts it turned out that because of our multiple years of workforce planning, use of a targeted approach, and a flawless execution of

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

the process, the trepidation was quickly overtaken with a sense of rejuvenation. We were able to reorganize, adapt and make many internal changes. We invited our staff to compete for job opportunities at the core of our mission such as “grants specialists”; we reorganized our Acquisition unit to better focus on specific customers; and we were able to secure interns and a few others to fill selected vacancies to improve our skill base and capabilities. These changes continue to bring a fresh outlook to our entire organization.

### **Tackling the Future**

As we look ahead to the challenges of FY 2013 and beyond, we are building on a solid base of accomplishment achieved in FY 2012. We have a renewed confidence and positive outlook on our ability to sustain our expertise and a renewed focus on achieving even higher levels of customer satisfaction. We expect the FY 2013 budget to be very tight, but intend to invest everything possible to support our greatest resource, our staff, including training, developmental opportunities and additional ways to recognize our employees. We expect to revamp our on-boarding process to include “Rules of Thumb” training and provide “re-boarding” of current employees to give each staff member an understanding of the importance of their job in the Science mission.

We will achieve our acquisition training goals and support our technical staff as they seek technical certifications including double and triple certifications. Effectively delivering support to HQ and the Sites generally requires expensive travel. We will explore alternatives to contain costs such as video conferencing and GO TO meetings. We will support the site offices as they implement contractor assurance. We will continue to streamline our processes and fully support the Information Technology Modernization Project including the acquisition for the project. We will meet our goals to tackle the large backlog of closeouts. NBL will set course to reopen operations to a full steady state, while maintaining their impressive safety record and preeminence in nuclear materials measurement.

### **Renewed Strategies**

As we move into the new fiscal year, we believe that our continued success is tied to adhering to four strategies: 1) we will deliver quality professional support; 2) we will practice customer focused communication; 3) we will invest in our people; and 4) we will increase efficiency. These strategies are central to the development of the FY 2013/2014 Chicago performance plan and are discussed further in the following paragraphs.

**Quality Professional Support:** We will continue to deliver professional support of the highest quality to the Site Offices and Headquarters. Chicago staff possesses specialized

expertise in numerous technical, business, and legal fields that staffing constraints make impractical to position at every Site Office. The principle of competence commensurate with responsibility results in authorities, which must be exercised through the Site Offices, being delegated to Subject Matter Experts who reside in the Integrated Support Center. Chicago will work in partnership with the Site Offices to seamlessly deliver our specialized expertise and exercise our authorities to achieve the Science mission.

**Customer Focused Communication:** We will continue our efforts to improve communications with the Site Offices and Headquarters which is essential in developing a thorough understanding of their needs and expectations. To maintain and improve this understanding, we will continue to expand upon our implementation of the customer focus tenets of our ISO 9001 based quality management system. In support of this, we will improve our tools to solicit and analyze customer satisfaction information, and institute improvements in response to the feedback. We will implement initiatives focused on providing our staff with an understanding of the Site Offices, Laboratories, and Headquarters, and seek opportunities for our employees to perform details there to provide them with first-hand knowledge of the work of our partners.

**Invest In Our People:** Our staff is our most important asset in delivering professional services of the highest quality to execute our mission. We will invest in our people to further hone their expertise and improve our work environment for two reasons: (1) to keep Chicago a place where talented professionals want to devote their careers; and (2) to develop a talent pool of Science Leaders. To that end, we will continue efforts focused on energizing staff, retaining employees, mentoring, cross-training, finding the best fit for each employee's unique abilities, and highlighting how each person's job contributes to achievement of the Science mission.

**Increase Efficiency:** While Chicago is already a lean organization, we will continue to look for opportunities to increase our efficiency. We will build upon the success of the Lean Six Sigma effort applied to the Financial Assistance Award Process and identify other areas to which we can apply this process improvement methodology. In partnership with the Site Offices and Headquarters, we will take informed risks to focus on the priority items and eliminate actions that add no value. In areas where Chicago provides oversight support to the Site Offices, our staff is transitioning to a continuous monitoring model as part of the Contractor Assurance System. This oversight model features focused reviews which are conducted cooperatively with contractor self-assessment activities. The Cyber Security Program incorporates monitoring of

performance metric data and remote network testing by the Chicago staff. These features of the continuous monitoring oversight model promise improved oversight at lower cost by reducing duplication of effort and decreasing travel costs. We will continue to improve the use of technology to enhance efficiency. This will yield savings of time and money, which in turn will enable the optimal use of our limited resources.

## II. Performance Assessment

# Business Services

### Office of Acquisitions and Assistance (ACQ)

The Office of Acquisition and Assistance (ACQ) supports the Office of Science's (SC) science and technology research mission by offering cradle-to-grave procurement services and procurement policy and guidance to SC's Site Offices and Programs. ACQ commits to offering its customers professional, responsive and timely assistance to meet their mission requirements while striving to be flexible and accommodating.

In FY 2012, ACQ delivered services to the site offices charged with administering SC's national laboratory management and operating contracts. These services included: procurement policy and guidance; contractor human resources advice/support; personal property management; small business program support; fee negotiation position development; and guidance in developing and measuring annual performance measures and incentives. Especially notable efforts in FY 2012 include ACQ staff chairing three Award Term Review Boards and facilitating the approval of the Thomas Jefferson Laboratory, Argonne National Laboratory (ANL) and the Fermi National Accelerator Laboratory (FNAL) contract extensions, as well as the Contractor Human Resources team support of Argonne Site Office (ASO), Brookhaven Site Office (BHSO), Fermi Site Office (FSO) and Princeton Site Office (PSO) with insurance replacement activities following the termination of the arrangement with Liberty Mutual Insurance. A staff member was part of the team reviewing the Berkeley Second Campus package for the Office of Science. Also in support of the site offices, ACQ coordinated data calls with Oak Ridge (OR), participated as a member of the DOE property order rewrite and rollout, coordinated M&O fleet reduction data calls and fleet local use objective approvals, and provided support to various Site Offices for Davis-Bacon and Service Contract Act wage determinations. Significant interactions between Site Offices and ACQ occurred on a daily basis.

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

Another ACQ contribution to SC’s research mission involves its role as the SC Financial Assistance Center of Excellence. ACQ annually awards and administers thousands of financial assistance actions to leading academic institutions nationwide.

In order to improve the financial assistance process, a Lean Six Sigma review of SC and ACQ’s award process was undertaken in November 2012. All parties to the financial assistance cycle (program, finance and procurement) met to ascertain what efficiencies and improvements could be gained to increase the overall timeliness of the financial assistance

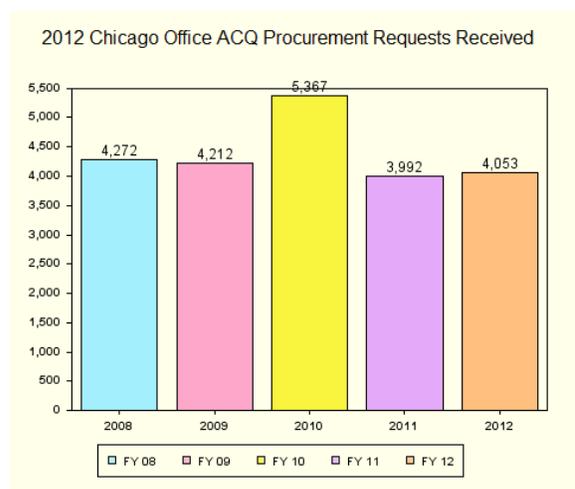
Efficiency Results from Lean Six Sigma Process		
	FY 2011	FY 2012
Percentage of On-Time Awards Within Procurement Lead Time	55%	88%
Average Number of Days to Process Financial Assistance Requisition	41	28

award (requisition through award) process. As a result, many improvements and efficiencies were realized. The biggest impact was made by the development of workload management reports for contracting

officers and contract specialists utilizing DOE’s Information Data Warehouse (IDW). Prior to the development of these reports, contracting officers and contract specialists had no way to prioritize their workload in STRIPES. The new reports identified each requisition received, the expected procurement lead time, and a notification system when the requisition was approaching its deadline for award.

Additional improvements and efficiencies resulting from the Lean Six Sigma process included: implementation of the Subject to Availability of Funds process (or parallel processing), uniform standards for budget justifications, elimination of alternate reviews for all research and development financial assistance awards with domestic educational or domestic non-profit organizations and unilateral de-obligations.

During FY 2012, ACQ processed approximately 4050 requisitions valued at over \$1B. About 2000 of those requisitions were received in the May through August timeframe. The majority of the requisitions were supportive of SC’s Financial Assistance Program providing funding for transformative science and technology solutions at hundreds



*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

of academic institutions nation-wide. In addition, hundreds of small businesses received funding in support of the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs. ACQ lead the procurement team for the new Energy Innovation Hub – Batteries and Energy Storage Funding Opportunity Announcement (a Secretarial initiative) valued at \$20M for the first year. In addition to the financial assistance workload, significant acquisition activities occurred throughout the year. These included: definitization of the CH IT Support Services contract; procurement lead for the SC IT mega-contract; and the commercialization support for the SBIR/STTR office.

Major challenges lay ahead for ACQ in FY 2013. A primary focus continues to be the timely closeout of inactive awards. While significant progress has been made in this area (a 33% reduction of awards in closeout status and closeout of 1000 expired awards), ACQ must employ every avenue available to aggressively pursue closeout of greater numbers of awards and continue building on the progress made over the last few fiscal years.

Additionally, increasing opportunities to support small businesses will continue to be a priority in FY 2013. The Department of Energy is under substantial pressure to meet goals set by the Small Business Administration in pursuit of greater support of socio-economic programs. ACQ is in the process of setting up to lead a small business program that supports both the Site Offices, Headquarters SC and the Chicago Office. Special emphasis will be placed on greater outreach efforts and training for site office, procurement and program personnel on current socio-economic programs available to assist small and small disadvantaged business in order to enhance small business participation contracting efforts within DOE.

Other major challenges for FY2013 include:

- conducting a process improvement effort with the SBIR/STTR to identify improvements and efficiencies in the award process;
- ensuring certification of all procurement staff to appropriate levels required by DOE's Acquisition Career Management Program; and
- improving upon the successes realized from the 2012 Lean Six Sigma review.

### **Office of Chief Financial Officer (CR)**

The Office of the Chief Financial Officer had an extremely productive and successful year supporting customers throughout Headquarters, Site Offices and grant recipients at leading research institutions.

CR managed a slightly increased funding allotment of approximately \$4 billion dollars in support of the DOE and SC missions including six National Laboratories and thousands of

	FY 2011	FY 2012
STRIPES Budgetary Processing Times	2 Days	1 Day

procurement actions at leading research institutions across the United States. CR played a lead role in processing over 4050 financial

actions, including 422 SBIRs and 74 STTRs.

CR achieved major efficiencies and was instrumental in streamlining processes resulting in marked improvement in timeliness and improved use of staff resources. CR was instrumental in the Lean Six Sigma process improvement, with efforts culminating in a major change to the processing of SC financial assistance awards. Under the new process called SAF, or Subject to Availability of Funds, SC HQ can send requisitions to Chicago well in advance of the desired award dates precluding a glut of requisitions at the end of the fiscal year, resulting in improved customer satisfaction at HQ and with the recipients.

We streamlined the way we process work and prepare reports. Through business process changes we were able to eliminate over 8,600 paper document reports this fiscal year. CR committed to, and achieved, a reduction in STRIPES budgetary processing times, meeting our goal of approvals in 24 hours, halving our prior commitment of approvals in two days.

We focused on enhancing communications with HQ and site offices this year and were frequently in conversation with the SC budget office on a host of issues, as we worked together to maximize university research awards and secure adequate funding to keep Laboratory projects at each of the six Labs running. We held periodic conference calls in order to provide assistance and awareness in the budget and accounting topical areas, and individual calls, as we sought to work with both the site office and laboratory staff on specific issues.

To support the SC enterprise we contributed leadership and expertise on major working groups including:

- Financial Assistance/STRIPES reengineering;
- PAMS development (SC’s Portfolio Analysis and Management System);
- CFO selection of a Department-wide budget system;

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

- STARS/Standard General Legend training for laboratory accounting staff; and
- CFO working groups to review Laboratory Institutional Costs department-wide, and to develop a new, easier and uniform format for the Laboratory Statement of Costs Incurred and Claimed (SCIC).

Some of these efforts, such as the STRIPES reengineering, have already led to significant and sustained improvements in processing, while others, such as PAMS and SCIC, are poised for implementation at the start of FY 2013.

We achieved 100% on time submittals of our budget and accounting products including the annual A-123 reviews, Financial Management Assessment, Federal Managers Financial Integrity Act and Entity Assessment Tool as well as general monthly STARS requirements, and financial plans.

CR responsibility for financial actions start as budgetary allotments and authorizations are received and extends through the years as balances remain on our books, until final completion of work. During FY 2012 we developed a reporting and tracking process that enables Chicago to prioritize closeouts and de-obligations. During FY 2012, over \$9.4M was de-obligated, which will help the SC budget office with the FY 2013 budgetary offset.

CR achieved 100% of the FY 2012 goals for delivering our customers timely and accurate financial services. We did this despite being in a transitional period – having to replace seasoned retiring staff with new staff. It's an exciting transition as we invest in training and continue to develop these new staff. We are stronger as a result.

We will be challenged next year with:

- completion of a reorganization to create a separate Financial Review Division within the Chicago CFO office, and posting for an internal position to head up this group;
- working closely with our site offices as we provide accounting and financial guidance and support in collaboratively reviewing financial systems, as well as other financial related support, such as disclosure statement adequacy, compliance with cost accounting standards and laboratory implementation reviews; and
- preparing for user acceptance testing in late October as SC prepares to implement the PAMS/STRIPES link. This phase of implementation will mean that SC program staff can input requisition data into PAMS, and it will flow through to budget via the STRIPES system, bringing additional responsibility to our staff as we will now assume the role of "owner" for the SC requisitions.

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

We expect that the FY 2013 budget will be challenging, due to possible political transitions, possibility of sequestration, and requirements that we minimize spending on travel and contractor resources.

**Office of Human Resources (HRS)**

Throughout FY 2012, HRS provided the full complement of human capital programs and advisory services to the Chicago customer base including: Chicago personnel; six of the ten Site Offices; the Deputy Director for Field Operations (SC-3), the Deputy Director for Resource Management (SC-4), and the Office of the Chief Human Capital Officer.

While working against an aggressive timeline, HRS collaborated with Oak Ridge and SC-3 personnel to develop the request for use of Voluntary Early Retirement Authority (VERA) and Voluntary Separation Incentive Payments (VSIP). Our expertise with Office of Personnel Management (OPM) regulations, knowledge of serviced organizations, and prior experience with other VERA/VSIP requests, resulted in a faster than anticipated approval by the OPM and Office of Management and Budget. 100 percent accuracy in the projected number of employee separations was achieved thru their use of the FY2012 Workforce Management Plans, Seventy-five percent of separating employees responded within one day of notification, consistent with the timeframes anticipated by HRS.

The primary objectives of the VERA/VSIP request were to address skill mix issues, strengthen core competencies and implement succession management aligned with the *SC FY 2009-2013 Human Capital Management Plan*. As a result of the separations, Chicago was able to fill several critical vacancies at the entry-level through the use of student appointments and other hiring authorities for veterans and persons with disabilities. In addition, we executed a successful summer intern program that was mutually beneficial to the 15 students and their host organizations including Chicago, and the Brookhaven, Fermi and Princeton Site Offices.

Another significant FY 2012 accomplishment was a 32% reduction from the FY 2011 time-to-hire for



*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

non-SES positions. It is also notable that HRS successfully underwent a strenuous OPM audit of its delegated examining unit (DEU) authorities. Not only was Chicago selected by OPM as the DOE representative organization for the audit, it resulted in only a few minor findings. The Chicago audit results reflected well upon DOE, as any serious deficiencies could have resulted in the loss of the Department's DEU authority.

Additional accomplishments during FY 2012 included 100% implementation of each phase of ePerformance and comprehensive preparation for the impending negotiations with the new American Federation of Government Employees (AFGE) local at New Brunswick Laboratory.

During FY 2013/2014, HRS will focus on the SC-3 goals of enhancing employee productivity and retention through effective onboarding, development, succession management and recognition. These emphasis areas are aligned with the following Human Capital Measures of Performance for the DOE Strategic Plan: Improving Federal Hiring Processes; Optimizing the Federal Workforce through Workforce Planning; Orientation and Onboarding Reform; and Leadership and Employee Engagement. Each area encompasses investing in our most important resource to ensure a highly-qualified, capable and flexible Federal workforce.

The startup of the negotiation process for the development of a Collective Bargaining Agreement for the newly certified Local 704 at New Brunswick Laboratory has proven to be a challenge for HRS staff, the union and agency negotiation team members.

The DDFO and Departmental emphasis on "developing our people" will present the management team and HRS staff with many challenges primarily due to the projected funding constraints during FY2013. HRS will work closely with the other two SC servicing HR offices to provide appropriate development opportunities for the next generation of leaders, and to ensure employees have the requisite technical competence to perform their jobs now and in the future. Another challenge we will face is the need to devise creative ways to motivate, retain and engage employees so that they are productive and excel in an environment of salary freezes, proposed changes to benefits which will negatively impact Federal employees, and a continuing need to "do more with less".

#### **Office of the Manager Diversity (OMD)**

During FY 2012, the Office of the Manager-Diversity (OMD) coordinated and planned various Workforce Diversity and Inclusion Focus Group Sessions and Town Hall meetings for DOE employees nationwide. 1,200 employees participated including 74.6% of Chicago

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

serviced employees. Three goals were developed from the employee focus group input: Workforce Diversity, Workforce Inclusion and Management Commitment and Accountability. The Chicago Equal Employment Opportunity (EEO) and Diversity office partnered, and will continue to partner, with all site offices to continuously improve our agency through engaging and developing our employees. We will focus on building skills, offering meaningful training, and in creating a work environment in which people from diverse backgrounds, styles, cultures, and functions work together for long-term agency success.

OMD partnered with HR to work on workforce diversity by increasing outreach for a balanced candidate pool representative of all EEO groups. A total of 34 internal/external promotional vacancy opportunities were competed. OMD prepared and delivered diversity related topics to address Chicago employee concerns in an effort to foster an inclusive environment. In addition, various team-building exercises were conducted.

OMD conducted a Chicago EEO/Diversity assessment based on the essential elements of the EEOC Model EEO Program and all measures under Chicago's jurisdiction and control were achieved. Chicago worked closely with Oak Ridge updating SCMS EEO/Diversity procedures. OMD also conducted a Title IX review of a selected institution/recipient of grant funding which resulted in no findings of misuse of funds. The purpose of the Department of Energy Title IX regulations and reviews is to effectuate Title IX of the Education Amendment of 1972, which is designed to eliminate discrimination on the basis of gender in any education program or activity receiving Federal financial assistance.

OMD monitors data regularly and the majority of Chicago serviced workforce statistics are at, or above, civilian labor force percentages. During FY 2012 OMD coordinated the development and collection of statistical trend analysis of the Chicago workforce to establish a baseline in new hires, veterans, and persons with a disability by EEO groups.

Major areas of focus for OMD in FY 2013/2014 will be to support the site offices in their oversight of the Laboratory contractor organizations and to develop the best data set possible to allow accurate trend analysis of workforce recruitment, hiring, promotions, development, and separations. OMD will also develop improved partnership and communication with each site office and partner with OR to support an inclusive work environment. Future OMD initiatives will include the development of measures to assist each site manager with management commitment and program accountability.

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

### **Office of Information Management Services (IMS)**

IMS provides comprehensive Information Technology (IT) tools and services to Chicago, SC-HQ, and SC Site Office customers.

We completed workstation upgrades to Windows 7, Microsoft Office 2010, and enhanced cyber security monitoring tools for Chicago Office business units and six site offices. We developed plans to upgrade video conferencing equipment with state of the art technologies and to outfit new training areas to enable most efficient training and meetings and eliminate some travel. In support of Princeton Site Office, we deployed Secure Socket Layer/Virtual Private Network for corporate system access. A pilot program for Virtual Desktop technology is currently being tested which will improve offsite access significantly.

We deployed SharePoint 2010, which will be an important collaboration tool for Chicago and our supported site offices. This version features tight integration features with Microsoft Office 2010 and will be important in our drive to develop paperless work processes. We moved forward with the new mobile technology, using iPads for local meeting, travel, and sharing of information internally. This new technology also allows face-to-face communications (video conferencing).

The FY 2012 ISC ISO 9001 Management Assessment included a review of Call Center Operations and Desk Side support. The results of the assessment indicated that overall objectives are being met and no findings were identified. The use of the SMART2 ticket tracking system was noted as a strength.

Current year cost savings of \$838,000 was achieved by the elimination of services, Support Contract reductions, reduction of Blackberry use in the bring your own device (BYoD) effort, and strong management controls on purchases and obsolete monitoring tools. Additionally, we are reducing and consolidating printers.

In partnership with SC-HQ and SC-OR, we established the scope of the integrated Planning Teams for the SC Information Technology Modernization Plan (SCITMP). The SCITMP will transform the current separate systems at Chicago, SC-OR, and SC-HQ into a single integrated IT environment. The benefits will include improved collaboration tools for SC wide work processes, increased operating efficiency, and reduced overall cost with enhanced failover capabilities.

The following items will be areas of major focus for IMS in FY 2013/2014:

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

- Complete implementation of the first phase of the SC Information Technology Modernization Plan (SCITMP). This phase features implementation of the Edge network which provides high speed networking between the three SC federal sites and the supported site offices;
- Consolidation to a single Help Desk throughout SC;
- Transition to voice over internet protocol (VoIP) for state-of –the-art telephone system technology; and
- Installation of category 6 cable to the desktop at Chicago.

Additionally, IMS will focus on taking full advantage of the capabilities of SharePoint, and to develop and implement an SC-wide virtual desktop solution that will securely provide access to data and information from any location and improve ease of use for customers.

### **New Brunswick Laboratory (NBL)**

NBL is a nuclear analytical chemistry laboratory, owned and operated by DOE, with an enduring mission to improve, build confidence, and strengthen the effectiveness and efficiency of nuclear material measurements in support of DOE and other U.S. agency needs. NBL is a unique national resource in DOE, serving a key national security role as the U.S. Government’s certifying authority for nuclear reference materials. NBL has extensive international collaboration in nuclear safeguards, nonproliferation, forensics and serves as a Network Laboratory of the International Atomic Energy Agency (IAEA).

In FY 2012, NBL completed a multiple year effort to lower the facility hazard categorization and obtain approval of a fully upgraded safety basis. These multi-year activities included a significant reduction in the laboratory nuclear material inventory; evaluation and correction of seismic issues for the building; ARRA funded improvements in fire barriers and fire suppression systems; development, and subsequent approval, of a fully revised Documented Safety Analysis and Technical Safety Requirements documents; and substantial improvements in all Safety Management Programs and execution procedures.

Although operational improvements continue, significant challenges at NBL have been overcome and the laboratory focus is shifting toward the resumption of full mission activities. A significant FY 2012 mission accomplishment was the receipt of accreditation under ISO 17025. The major mission goal for NBL is to return to pre-eminence as the U.S. National Metrology Institute for Nuclear Measurements. Achieving this goal will be a multi-year effort. Areas of focus for FY 2013/2014 in support of this goal include:

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

- expanding the scope of NBL's ISO 17025 accreditation by at least one method (uranium isotope dilution mass spectrometry) and one Program (Measurement Evaluation - Proficiency Testing provider);
- expanding measurement capabilities by re-instituting UF6 operations and ICP-MS installation;
- refurbishing laboratory rooms and reinstating key measurement techniques; and
- retaining and attracting qualified technical staff.

### **Office of the Manager – Communications (OMC)**

The role of the Chicago Office of the Manager-Communications is to partner with ISC-OR to deliver the highest-quality communications services to aid the Office of Science in delivering science. Throughout FY2012, OMC's customer feedback from Chicago, the Chicago supported Site Offices, other DOE Field Offices and DOE Headquarters (HQ) elements was universally positive with 95% ratings at "highly satisfied".

During the year OMC helped develop the Department's change process by helping design and deliver six training/retreat sessions, including the SC retreat, for the Office of Science Leadership.

OMC provided the following assistance to the SC Site Offices:

- assisted the Princeton Site Office and the lab in developing a management strategy to resurrect fusion communications; 12 of these specific strategies are now being executed, including a recently completed summit of communications directors and lab directors in the fusion community;
- assisted the Fermi Site Office by "beefing up" communications with the lab and site office which led to helping the site office change course on communicating about tritium leakage; and also by going beyond the normal "communications" role to help lead NEPA work for the Long Baseline Neutrino Experiment (LBNE) project;
- coordinated a visit by Deputy Secretary for the Ames Site Office and represented the site office at a visit by President Obama at an event nearby.
- assisted Argonne Site Office's community relations and Science Technology Engineering and Mathematics outreach activities; and
- assisted Chicago Office's internal and management communications;

OMC is currently planning speaker training for the Pacific Northwest Site Office and "Rules" training for the Brookhaven and Princeton Site Offices.

OMC has several areas of focus in FY2013/14:

- Actively solicit, identify and address, site office and other customer needs;
- Implement the process and customer feedback recommendations made in the FY 2012 ISO review;
- Actively work to establish/enhance regular communications with our partner communicators; and
- Achieving cost savings through aggressive efforts to transition to 90% paperless activities and finding travel cost savings.

## LEGAL

### Office of Chief Counsel (OCC)

In FY 2012, the Office of Chief Counsel (OCC) provided comprehensive, timely, and professional legal support to the Chicago Office, the Chicago supported Site Offices, other DOE Field Offices and DOE Headquarters (HQ) elements, with 99% customer review within 3 business days or alternative customer deadline.

Notably, the OCC Assistant Chief Counsel at BHSO was presented the Secretary's Appreciation Award for his work on the Long Island Solar Farm (LISF), and an OCC-Intellectual Property Law (IPL) Assistant Chief Counsel was presented the Secretary's Appreciation Award for helping to create and execute a Management Reform called "Agreements for Commercializing Technology (ACT)". ACT is a new contractual mechanism that will make it easier for private companies to work with the Department of Energy's national laboratories, create jobs, and accelerate the development of new clean energy technologies. OCC maintained an excellent relationship with the HQ General Counsel (OGC) and provided significant assistance to them in FY 2012.

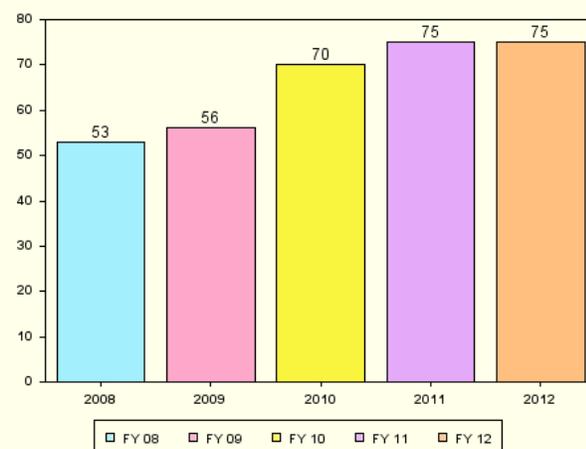
OCC supported several major efforts, including addressing numerous legal issues arising out of the proposed Berkeley Second Campus, and provided significant legal support for the \$120 million Battery and Energy Storage HUB FOA. In addition, OCC provided significant leadership support to the HQ Privacy Office, managed the Chicago Freedom of Information Act (FOIA), Privacy Act, and personally identifiable information (PII) programs, and has responded to 70+ FOIA and Privacy Act requests and inquiries in a timely manner, including a complex request from a news media requester where 3600+ pages of responsive material were produced in rolling releases over an 8 month time period.

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

OCC established an excellent work relationship with the Oak Ridge Office of Chief Counsel (ORO OCC), issued a variety of joint legal guidance memos to the SC Site Offices and assured that legal interpretations affecting SC were coordinated and consistent.

The OCC Intellectual Property Law (IPL) Center of Excellence continued to provide exceptional legal support to assigned DOE Offices both in SC and throughout the DOE, with over 1700 new invention disclosures received, 2300+ award instruments closed out, 80+ patent applications or amendments filed, and 750+ inventions disposed.

2012 Chicago Office OCC-GL SC-CH FOIA/PA Requests Processed



OCC has several major areas of focus for FY 2013/14:

- Identifying and addressing customer needs, which will be aggressively pursued through feedback from the OCC customer survey;
- Focusing on manpower demands, which are primarily from support of SC Site Offices in award and administration of Laboratory M&O contracts; support of ACQ in the award of financial assistance and contract agreements; and support of major projects. This will be addressed by identifying opportunities to fill critical skills gaps through cross-training of OCC personnel; and
- Achieving cost savings through aggressive efforts to transition to a 90% paperless FOIA process and finding travel cost savings.

## TECHNICAL SUPPORT

### Project Management (OMPM)

During FY 2012, the Federal Project Director (FPD) for the Facility for Rare Isotope Beams (FRIB) continued to provide significant site presence and oversight of the project at Michigan State University (MSU). The FRIB FPD actively participated in nine MSU Internal Advisory Committee meetings or Peer Reviews and successfully represented the project to upper management of DOE/SC. This effort resulted in the project being well-prepared and

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

enabled the FPD to successfully represent the FRIB project to the Energy System Acquisition Advisory Board (ESAAB) Acquisition Executive and obtain approval of the Long Lead Procurement (LLP) to install the Earth Retention and De-watering system valued at \$10 million. The approval of this LLP reduced schedule risk and protected the project's critical path.

Also during the fiscal year the FRIB FPD and the Integrated Project Advisory Team (IPAT) supported the project in obtaining timely consent of MSU procurements totaling approximately \$60 million for the FRIB Conventional Facilities Site Preparation, Excavation and Facilities Building Structure. The FRIB project completed the pre-construction activities for the Utility Relocation Phase II and the Site Preparations. The FRIB FPD conducted weekly conference calls with the upper management of the Office of Nuclear Physics and the MSU-FRIB project management staff. In addition the FRIB FPD has provided consistently on time delivery of Quarterly Project Manager's Status Reports. The FPD monitored the progress of the \$212M of MSU contributions to the FRIB project which includes the construction of a four-story office building for FRIB Users and expansion of high-bay space for assembly of technical components.

The FRIB FPD also serves on behalf of the ASO as the Argonne Photon Source Upgrade (APS-U) Federal Project Director. The APS-U FPD reports activities on the APS-U project to senior management of DOE-BES, Chicago and ASO. The APS-U FPD conducts weekly meetings with the ANL APS-U Project management team and monthly meetings with the upper program management of the Office of Basic Energy Sciences. Also the APS-U FPD participates in the weekly meetings of the Argonne Laboratory Director focused on the APS-U project. During FY 2012 the APS-U FPD successfully represented the project through an SC status review and two mini-reviews. These reviews resulted in the APS-U FPD successfully obtaining approval on August 30, 2012, from the ESAAB Acquisition Executive for Long Lead Procurements for two APS-U beamlines (Resonant Inelastic X-ray Scattering (RIXS) and the Advanced Spectroscopy and LERIX (ASL) totaling \$12.4 million). The benefit of the APS-U LLP provides for the capability to perform early science on these two APS-U beamlines (by one year) and reduces the schedule risk of the project.

In support of the SC, the Chicago FPD participated as a committee member on the program review conducted by the Office of High Energy Physics (HEP) of the Fermilab Muon Accelerator Program (MAP). The Chicago FPD obtained Level 4 Project Manager certification and continued to mentor other SC FPD's. The FPD will also mentor a new hire, which will jointly serve as an electrical safety expert and provide succession planning for the FRIB FPD.

The major areas of focus for Chicago Project Management support in FY 2013/2014 continue to be the FPD for the FRIB and APS-U projects. The FRIB FPD will seek approval of

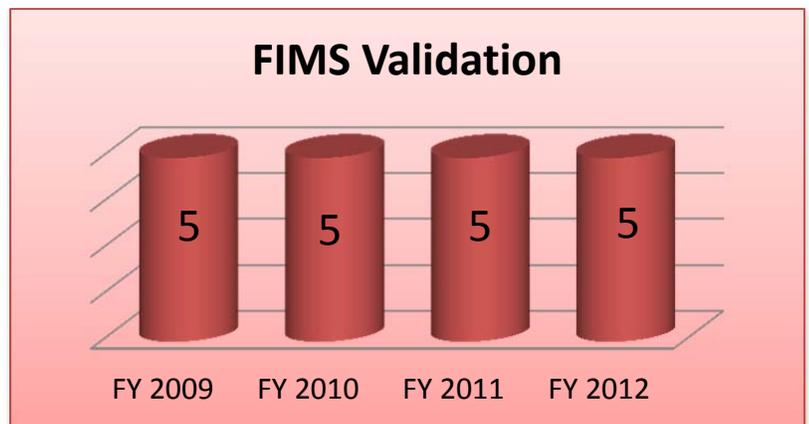
*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

the FRIB project baseline and the start of Civil Construction. The APS-U FPD will continue its partnership with ASO and seek approval of the APS-U project baseline and additional Long Lead Procurements. Also the Chicago FPD will continue to provide support to SC in the review of other projects and to support/mentor other SC Federal Project Directors.

**Office of Safety, Technical and Infrastructure Services (STI)**

During FY 2012, STI continued to provide our customers with high quality and timely support services in the functional areas of safety and health, environmental protection, quality assurance, safeguards and security, real estate, and facility services. This was accomplished despite losing six of our colleagues to retirement and two to untimely deaths; the departure of these eight people constituted the loss of many decades of experience. We were able to revitalize our organization with selected backfills. While absorbing the loss of experienced staff and integrating the new staff into the organization, STI has taken on additional work to support AMSO. This new role involves coordination of all oversight activities being performed as part of the AMSO contractor assurance system, which is in addition to fully augmenting technical expertise in support of the oversight of Ames Laboratory.

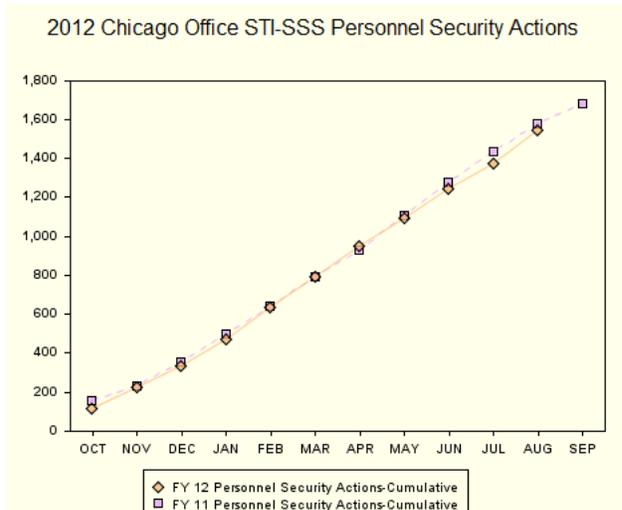
We are working with our Site Office customers in their implementation of the Contractor Assurance System (CAS) approach to oversight. During FY 2012, STI delivered the necessary support for 100% of the Site Offices' requests for ES&H and QA



assessments, safeguards and security inspections, FIMS validations, and real estate reviews. This included serving as Chairperson of a DOE Accident Investigation Board (BNL Ladder Fall), 14 ES&H assessments, managing the Federal Occupational Safety and Health Program for all Building 201 Federal employees (which includes Chicago, AMSO and ASO) and support services contractors, serving as the delegated National Environmental Policy Act Compliance Officer for AMSO, ASO, FSO, NBL, PSO and Chicago, six quality assurance assessments, 11 safeguards and security inspections, 10 reviews of major documents (e.g., DSA revisions, TSR revisions, environmental permits, QA programs, etc.), five FIMS validations and 24 real estate transactions.

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

We also processed over 1600 personnel security actions for our customers. In the area of



quality assurance, we served along with, or on behalf of, Site Office staff on joint Laboratory-Site Office assessments. In the area of safeguards and security we developed an approach to S&S oversight know as Continuous Monitoring, in which reviews can be led by SSS, led jointly by SSS and the contractor, or led by the contractor and observed by SSS. The Cyber Security Program incorporates monitoring of performance metric data and remote network testing by the SC-CH staff. These features of the continuous

monitoring oversight model promise improved oversight at lower cost by reducing duplication of effort and decreasing travel costs. We continue to work with the Site Offices to further integrate the delivery of all of our areas of expertise with their CAS approach to oversight activities. The Site Offices recognize our expertise in conducting accident investigations, and continue to rely on us to lead these efforts.

STI continues to be a major contributor to the maintenance of SCMS. STI staff members serve as the Management System Owner (MSO) for two Management Systems, the Secondary Management System Owner (SMSO) for four Management Systems, and the Point of Contact (POC) for seven Subject Areas. SC’s revised directives review process has placed increased demands on the MSO/SMSOs; however the affected STI staff has fulfilled their MSO/SMSO duties. We contribute our expertise to the development of DOE-wide policy through our representation on various DOE-wide committees and working groups such as the Quality Council, the Aviation Safety Committee, the EMS working group, and the Software QA Support Group. We collaborated with our ISC colleagues at Oak Ridge to transfer the SC Integrated Assessment Schedule (IAS) from the dual platforms of ORION and SMART to the single SC-wide ePegasus platform; conduct a joint Chicago/Oak Ridge management assessment of the Integrated Service Center’s ISO 9001 implementation, and to deliver ISO 9001 based internal auditor training via GoTo Meeting to all of the Site Offices.

As we move into FY 2013/2014, STI faces several challenges. We will continue to be challenged with the loss of expertise due to retirement. And the demand for our services

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

by the Site Offices continues to increase every year. Finally, the potential for severe budget constraints could severely reduce travel funds, making it difficult to deliver the on-site services requested by the Site Offices.

### **III. FY 2013/14 Objectives and Measures**

The Chicago strategies of delivering quality professional support, practicing customer focused communication, investing in our people, and increasing efficiency are consistent with, and supportive of, the SC-DDFO goals and objectives for FY 2013/14. These strategies were used by the Chicago Senior Management Team to develop the SC-CH FY 2013/14 performance measures which are presented below and are aligned with the SC-DDFO goals/objectives which they support.

#### **SC-3 Goal 1: Develop our people, allowing us to achieve success as a team; train the next generation of field operations leaders.**

Excellence in field operations can only be achieved with the highest caliber workforce. We must ensure our current workforce is challenged and rewarded, and that new additions to the SC field operations team are of the highest quality. We will work collaboratively with SC-2 and SC-4 in both areas.

##### Objectives

- Establish/reinvigorate employee recognition programs, at both the local and SC-wide levels, that incentivize and reward employees.
- Clearly communicate expectations, including the types of behaviors that we want. Follow that with training (Rules of Thumb), development, and leadership to onboard staff. Improve our use of performance-based evaluations to drive accountability.
- Improve communication across SC-3 so our workforce has situational awareness, and understands intent and expectations from senior leadership.
- Recruit, develop, and retain new staff to meet mission needs and increase core competencies.
- Formalize and implement a mentoring program within SC-3.
- Provide detail opportunities to staff so that they gain perspective from other SC organizations, as well as other DOE offices.
- Provide functional subject matter experts (e.g., contracting officers, federal project directors, safety managers) with low-cost ways to meet, collaborate, and share ideas.
- Conduct meaningful succession planning, leveraging hiring, training, and developmental opportunities.

#### **Invest in Our People - Workforce Development**

**CH DDFO 1.1.** Every business unit will Identify and support at least one developmental and one cross training assignment opportunity by 03/31/2014. (ALL)

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

**CH DDFO 1.2.** Promote the use of reassignments, cross training, position and/or organizational restructuring and other internal staffing options to close potential critical skills gaps identified by hiring managers in their FY 2013 Workforce Management Plans by January 31, 2013. (HRS)

**CH DDFO 1.3.** Every business unit will ensure IDPs are current and include appropriate, feasible training and developmental activities 04/30/2013. (ALL)

**CH DDFO 1.4.** Every business unit Supervisor will monitor completion of learning activities identified on IDPs, and completion of certification/qualification requirements on a quarterly basis. (ALL)

**CH DDFO 1.5.** Develop and deliver training, incorporating the Rules of Thumb, for all SC-CH employees, but especially targeted at new employees, to provide information on the DOE mission, the SC mission, and how SC-CH “fits” into them by 03/31/2014. (OMC and HRS)

**CH DDFO 1.6.** Transform the current New Employee Orientation process for SC-CH and the Site Offices from a one-day in-processing event to a one-year interactive program (pre-onboarding, onboarding, engagement and training, performance and teambuilding, integration and transition) in accordance with new Departmental guidelines by 3/31/14. (HRS)

**CH DDFO 1.7.** Promote use of existing ISC mentoring program (*Get Acquainted Mentoring Employees*) to Site Offices and SC Headquarters by 1/31/2013. (HRS)

**CH DDFO 1.8.** Invest in SC-3 supervisors by strengthening and facilitating supervisory development via classroom training, webinars, audio conferences and group discussions on a quarterly basis in order to improve specific areas identified in the FY2012 Employee Viewpoint Survey. Develop “*Supervisory Corner*” in SharePoint by 3/31/13. (HRS)

CH DDFO 1.9. Conduct at least 4 “Walk to see Science” walking/tours of the lab. (OM)

### **Invest in Our People through Customer Focused Communication**

**CH DDFO 1.10.** Communicate frequently with site and ISC supervisors to advertise appropriate supervisor/employee training opportunities to address barriers identified by EEO contact issues; identify at least two learning activities for delivery to supervisors/employees by 09/30/2013. (OMD)

**CH DDFO 1.11.** Conduct quarterly meetings with Senior Managers to assess whether personnel programs, policies, and procedures are in compliance with EEOC management directives. (OMD)

**CH DDFO 1.12.** Conduct monthly discussions between CH and OR Chief Counsels to discuss common legal issues; will be held by the last day of each month. (OCC)

**CH DDFO 1.13.** Establish monthly conference calls with the SC Communications Team. (OMC)

### **Invest in Our People - Qualifications/Certifications**

**CH DDFO 1.14.** Invest in our staff training by ensuring staff meets certification requirements with at least an 80% certification rate pursuant to DOE ACMP requirements for acquisition and assistance by September 30, 2013. (ACQ)

**CH DDFO 1.15.** Invest in our staff training by ensuring 80% of the technical staff are on target with their assigned technical certification requirements; and encourage staff to seek optional qualifications. (STI)

**CH DDFO 1.16.** Enhance the mentoring of Federal Project Directors and advance mentored staff to the next level by 03/31/2014. (OMPM)

### **Invest in Our People - Employee Recognition**

**CH DDFO 1.17.** Promote use of existing low-cost or non-monetary recognition mechanisms (e.g., Customer Service Star Award, Bright Ideas, “Clapping Hands”, Cheers for Peers, celebration of service anniversaries and birth months) across all SC-3 organizations on a monthly basis. (HRS)

**CH DDFO 1.18.** Refresh Unity Council with renewed focus and engaging activities, including establishing a Multicultural Day celebration to ensure that all employee groups have an opportunity to showcase their culture by 09/30/2013. (OMD)

### **SC-3 Goal 2: Develop and implement policies and programs that enable science.**

Development and implementation of policies that enable science at our laboratories is critical to achieving our mission. We do this in collaboration with the other DOE line programs, as well as in conjunction with functional offices like the Office of Management; Health, Safety and Security; and the Office of the Chief Information Officer.

#### Objectives

- Partner across the Department to drive development of innovative policies and practices, and implement mutually beneficial and fair solutions.
- Partner with DOE functional organizations to ensure their policies and practices support the science mission, ensuring there is a proper balance between mission and meeting requirements.
- Develop a communication tool for ensuring that SC's field operations are well-understood by the upcoming transition team.
- Continue to leverage horizontal integration opportunities like the Field Management Council, the Chief Operating Officers Board, and the Working Capital Fund Board, to effect DOE-wide improvements that benefit Science.
- Improve communication throughout the DDFO organization to ensure that policies and practices are well-understood (including intent) and implemented consistently and effectively across our organization.

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

- Drive improvements in laboratory safety and sustainability.
- Implement an SLI program that is based on current Science priorities, and evaluate alternative financing methods for facility needs.
- Improve the way we work with small businesses.

### **Quality Professional Support - Policy Work that Supports the SC Mission**

**CH DDFO 2.1.** Every business unit will contribute leadership and technical expertise to policy-focused councils, committees, working groups, etc. by participating in efforts to improve, revise or streamline DOE directives, rules and regulations as appropriate via conference/video by 03/30/2014 (ALL)

**CH DDFO 2.2.** Every business unit will ensure SCMS Management System Owners (MSOs), Secondary Management System Owners (SMSOs), and Subject Matter Experts (SMEs) apply the concepts of the Enterprise Risk Model, as described in the SCMS Requirements Management Subject Area, when reviewing Justification Memoranda, DOE Project Justification Statements, Draft DOE Policies, Draft DOE Directives, Draft DOE Notices, and Certification Letters. (ALL)

**CH DDFO 2.3.** Work with SC-DDFO to ensure that SC's field operations are well understood by the upcoming transition team; completion targeted by March 30, 2013. (OM)

**CH DDFO 2.4.** OMC will, via video conferencing and/or face to face meetings, focus on one site office per quarter to better understand its unique mission; develop/deepen relationships with Site Office personnel; partner with them on special/ongoing internal communications activities; and identify and execute one "management consultant" recommendation, such as a product or plan specific to that site office. (OMC)

**CH DDFO 2.5.** In order to enhance opportunities to contract with small and small disadvantaged business, outreach efforts will be increased to include at least three outreach events or efforts per quarter. (ACQ)

**CH DDFO 2.6.** To enhance understanding of socio-economic programs available for contracting with small business entities, provide training to Site Office, Chicago Office and Headquarters procurement, program or other interested personnel by September 30, 2013. (ACQ)

**CH DDFO 2.7.** Enhance communication with SC, especially with the Office of Nuclear Physics, Basic Energy Science and High Energy Physics through video conferencing, conference calls and face to face meetings by 03/31/2014. (OMPM)

**CH DDFO 2.8.** Actively participate in the SC IT IRB and collaborate with Federal and Contractor IT professionals. SC IT IRB meetings will be via video conferencing on a quarterly basis to collaborate on future projects and developmental opportunities. (IMS)

### **Quality Professional Support - Enhancing NBL Scientific Capabilities**

**CH DDFO 2.9.** Re-establish additional mass spectrometry mission capabilities by 06/30/2013. (NBL)

**CH DDFO 2.10.** Prepare for and conduct annual Measurement Evaluation meeting by 07/31/2013. (NBL)

**CH DDFO 2.11.** Complete engineering modifications for inductively coupled mass spectrometer (ICP-MS) in the uranium wing (based solely on funding availability) by 09/30/2013. (NBL)

**CH DDFO 2.12.** Prepare two NBL mission materials (Certified Reference Material, Measurement Evaluation Material, and Nuclear Forensics Material) by 09/30/2013. (NBL)

**CH DDFO 2.13.** Provide requested technical support for contractor safeguards and security surveys and audits by 03/31/2014. (NBL)

### **SC-3 Goal 3: Streamline our processes to eliminate inefficiencies and reduce costs.**

Providing a best-in-class platform for science requires us to continually streamline our processes, eliminate inefficiencies and reduce costs. Our approach should be two-fold, looking at our own systems and processes to find efficiencies and also working with the laboratories to support their efforts to reduce the cost of doing business. Over the next year, work should focus on reducing low/no-value transactions at the site and Headquarters levels, ensuring a risk-based approach is taken in our requirements management processes, and continuing to be careful stewards of taxpayer dollars in conducting our business every day.

#### Objectives:

- Clearly communicate expectations and incentivize staff to take innovative approaches to conducting the science mission, and look for ways to creatively solve problems.
- Aggressively seek opportunities for reducing transactions, eliminating low-value work, and automating work where possible to gain efficiencies and increase productivity.
- Build on recent internal business process improvements (e.g., financial assistance processes) and heavily engage in Department-wide business process efforts to drive improvements (e.g., STRIPES, funds distribution).
- Improve the way we integrate our work across the SC-3 organizations (e.g., capitalizing on ISC resources), and increase collaboration throughout SC.
- Efficiently use program direction funding by reducing spending on travel, federally-sponsored conferences, office equipment, etc.
- Reduce response times — e.g., quicker response times for intellectual property reviews, improved processing of grants, faster responses to laboratory requests.
- Support implementation of the best practices identified by the Operations Improvement Committee to be executed across the laboratories.
- Ensure SCMS reflects the most up-to-date and efficient methods of conducting business and meeting mission goals.

- Critically review directives, Acquisition Letters, and other requirements documents to ensure controls are commensurate with risk, and will be cost effective. Support implementation of the Enterprise Risk Model framework.
- Develop tools to measure and improve our level of customer support (individually and collectively).
- Provide improved technologies to increase efficiency and productivity.

### **Customer Focused Communication - Improve Customer Satisfaction**

**CH DDFO 3.1.** All business units will continue to strive for excellence in customer service by surveying customers to obtain and analyze customer satisfaction feedback with the goal of attaining a highly satisfied or satisfied rating for each customer survey response by 09/30/2013. (ALL)

**CH DDFO 3.2.** Each business unit will achieve at least 90% of their customer service standards are met as described in their Customer Service Plan by 03/31/2014. (ALL)

**CH DDFO 3.3.** Drive improvement of the Customer Service Plans across Chicago by conducting a Chicago-wide analysis to identify best practices to share between groups, and identify opportunities for improvement to be completed by 03/30/2014. (QAR Council)

**CH DDFO 3.4.** Improve the use of customer satisfaction feedback information in driving product and process improvement by conducting a CH-wide analysis to identify best practices to share between groups, and identify opportunities for improvement by 03/30/2014. (QAR Council)

**CH DDFO 3.5.** Collaborate with the Berkeley Site Office (BSO) to formally document the Chicago Office's needs (e.g. time frames, what constitutes a complete package, etc.) relative to documents submitted by the Site Office to Chicago for review, comment, processing, concurrence, or approval. (ALL)

**CH DDFO 3.6.** Each quarter the Chicago Office will provide the Fermi Site Office (FSO) with a summary of the hours of support that the ISC provided to FSO during the previous quarter, as well as a summary listing of the customer satisfaction surveys sent to FSO during the previous quarter. This will aid FSO in measuring the ISC support they receive and ensuring that customer satisfaction surveys are completed and returned to the Chicago Office. (ALL)

### **Increase Efficiency – Improve Processes**

**CH DDFO 3.7.** Every business unit will conduct a review (Lean Six Sigma or other self-assessment) of at least one critical/major process by reviewing and benchmarking work processes and sub processes to identify those areas that could be streamlined in order to increase efficiency and productivity by 9/30/2013. (ALL)

**CH DDFO 3.8.** Conduct a process improvement initiative with the SBIR/STTR Program Office to explore opportunities for efficiencies by June 30, 2013. (ACQ)

**CH DDFO 3.9.** Promote SCITMP efforts to develop and implement a OneSC IT Network throughout the SC complex by 03/31/2014. The benefits of this integrated network will include improved collaboration tools for SC wide work processes. (IMS)

**CH DDFO 3.10.** Review and flowchart each phase of the existing onboarding process at Chicago and the Site Offices to ensure proper documentation and improve efficiency by 10/31/2012. (HRS)

**CH DDFO 3.11.** Develop Standard Operating Procedures for employee onboarding to clearly delineate roles and responsibilities for each phase by 12/31/2012. (HRS)

**CH DDFO 3.12.** Assess the Chicago EEO/Diversity Assessment Program based on the essential elements checklist of the Model EEO Program to identify opportunities for improvement by 09/30/2013. (OMD)

**CH DDFO 3.13.** Use technology (e.g., SharePoint) to implement/streamline NBL information/records access by 03/31/2014. (NBL)

**CH DDFO 3.14.** 100% of major hardware/software technology upgrades and new functionality are initiated as defined in the SC-CH 2013 Information Management Operating Plan (contingent on funding availability) (IMS)

**CH DDFO 3.15.** 100% of system development efforts are initiated as defined in the Chicago FY 2013 Information Management Operating Plan (contingent on funding availability) (IMS)

#### **Increase Efficiency – Improve Timeliness**

**CH DDFO 3.16.** Provide a listing of expired awards and track and provide status on closeouts and de-obligation activity as needed by other CH organizations and SC-Headquarters on a monthly basis and assist with setting priorities to be accomplished. (CR)

**CH DDFO 3.17.** Ensure 90% on-time SC-CH FOIA/PA responses (within 20 business days of receipt of valid FOIA request, or within 30 days if unusual circumstances extension allowed by statute). (OCC)

**CH DDFO 3.18.** Complete 90% of all GL reviews within the monthly customer deadline. (OCC)

**CH DDFO 3.19.** Ensure that 90% of acquisition and assistance actions are awarded within the procurement lead times agreed upon with the Office of Science by September 30, 2013. (ACQ)

**CH DDFO 3.20.** Continue to work to reduce average processing days for financial assistance actions to 25 days by September 30, 2013. (ACQ)

**CH DDFO 3.21.** Applicable business units will ensure that the annual review of Communications and Public Affairs; Requirements Management; Records Management; Office of Science Management System are completed by December 31, 2012 (OMC, STI and OM)

**CH DDFO 3.22.** Applicable business units will ensure that the annual review of M&O Contracting; Non-M&O Contracting; Personal Property; Quality Assurance and Oversight and Real Property SCMS Management Systems are completed by March 31, 2013. (ACQ/STI)

**CH DDFO 3.23.** Applicable business units will ensure that the annual review of Budget and Financial Management; Financial Assistance; and Safeguards, Security and Emergency Management are completed by June 30, 2013. (STI, ACQ, CR)

**CH DDFO 3.24.** Applicable business units will ensure that the annual review of Environment, Safety, and Health; Human Resources Services; Information Technology and Legal Services are completed by September 30, 2013. (STI, HRS, IMS, OCC)

**CH DDFO 3.25.** Applicable business units will ensure that the annual review of Communications and Public Affairs; Requirements Management; Records Management; Office of Science Management System are completed by December 31, 2013 (OMC, STI and OM)

**CH DDFO 3.26.** Applicable business units will ensure that the annual review of M&O Contracting; Non-M&O Contracting; Personal Property; Quality Assurance and Oversight and Real Property SCMS Management Systems are completed by March 31, 2014. (ACQ/STI)

**CH DDFO 3.27.** Every business unit will ensure responses for comments regarding SCMS documents submitted through the SCMS automated comment process are provided within 45 days. (ALL)

**CH DDFO 3.28.** The Chicago and Oak Ridge Managers will, on a quarterly basis, brief the SC-DDFO on the status of SCMS. (ALL)

**CH DDFO 3.29.** The Chicago Office SCMS POCs or SMEs will continue to work with the SCMS MSOs/SMSOs who reside at SSI to accomplish the annual reviews/revisions of the SCMS Management Systems. (ALL)

#### **Increase Efficiency – Improve Service Delivery**

**CH DDFO 3.30.** Retire 1500 inactive awards by March 14, 2014. (ACQ)

**CH DDFO 3.31.** Process 25 patent applications filed on behalf of DOE by 09/30/2013. (OCC)

**CH DDFO 3.32.** Process 750 intentions to final disposition by 09/30/2013. (OCC)

**CH DDFO 3.33.** Develop a consultation with interested stakeholders to reorder/realign OMC's delivery of services with stakeholders' needs by 03/31/2013. (OMC)

**CH DDFO 3.34.** Monitor performance on a monthly basis in accordance with the HRS Customer Service Plan to identify and resolve service delivery issues. (HRS)

**CH DDFO 3.35.** Network availability is 99% of scheduled uptime. (IMS)

**CH DDFO 3.36.** Implement improved work hour/project time tracking by 09/30/2013. (NBL)

### **Increase Efficiency – Reduce Costs**

**CH DDFO 3.37.** Every business unit will use video conferencing as a first alternative and make use of low-cost/no-cost conference facilities on the Argonne site to reduce the costs of Chicago hosted conferences/workshops/meetings (cost-avoidance data will be tracked). (ALL)

**CH DDFO 3.38.** Ensure 80% of security clearance interviews conducted for off-site locations is done via video-conferencing to reduce costs by 09/30/2013. (STI)

**CH DDFO 3.39.** Every business unit will identify at least two additional opportunities to eliminate paper processes with a goal of continue to work toward a paperless office by 03/31/2014. (ALL)

**CH DDFO 3.40.** Institute a printer consolidation that will reduce the number of printers by 53% by 09/30/2013. (IMS)

**CH DDFO 3.41.** OCC will continue to work towards a paperless office in the FOIA area by reducing the paper usage by 90% by March 31, 2014. (OCC)

**CH DDFO 3.42.** Improve collaboration and paperless work processes SC Complex-wide as a result of the development of SharePoint 2010 during the SC IT Modernization Project. Identify requirements through review and continuous communication with the business units and Site Offices. This task is to be completed by 12/31/2012. Follow-on fine tuning of the tool will continue throughout the remainder of the SC IT MP. (IMS)

### **SC-3 Goal 4: Fully implement Contractor Assurance Systems (CAS) as the cornerstone of field operations oversight and performance.**

SC's field operations must simultaneously drive outstanding mission performance while holding the contractor accountable. Science will continue to use Contractor Assurance Systems as the cornerstone of our oversight and performance model for ensuring best-in-class laboratory operations. An initial round of CAS peer reviews has been completed, and both contractor and federal staff should now focus on the behavior changes necessary to fully implement CAS. Site Managers and laboratory Chief Operating Officers need to ensure that staff all the way to the "deck plate" understand CAS and execute their work in accordance with the goals of effective contractor assurance. For contractors, these behaviors will focus on engaging the workforce in driving improvements, self-identifying and correcting issues, and demonstrating effective performance. For federal staff, behaviors should include finding ways to modify oversight to take full advantage of CAS results.

Objectives:

- Critically and objectively analyze results of the initial round of CAS peer reviews to determine the state of implementation across SC, share lessons learned among the sites, and identify risks to successful implementation going forward.
- Conduct an in-depth analysis of 2 of the 4 primary assurance processes (i.e., self-assessment, performance measurement, issues management, feedback and improvement) to benchmark, share lessons learned, and drive behavior changes necessary to optimize that element of CAS.
- Develop tools to share CAS results at appropriate levels of detail throughout SC.
- Clearly communicate and reinforce expectations for using CAS as the cornerstone of our oversight processes - from leadership to staff and across functional lines.
- Work within individual site offices to ensure CAS is maturing in all areas of operations, including business systems.
- Spend time in the field, observing work and verifying CAS results via "boots on the ground".

**Quality Professional Support**

**CH DDFO 4.1** Work with Site Offices to satisfy 100% of their needs for assessment services by 09/31/2013. (STI)

**CH DDFO 4.2.** Drive improvement of SC-CH management/self-assessments by conducting a CH-wide analysis to identify best practices to share between groups, and identify opportunities for improvement by 03/30/2014. (QAR Council)

**CH DDFO 4.3.** Work with the Site Offices to further integrate the delivery of our expertise with their CAS approach to oversight activities, by 09/31/2013. (ALL)

**CH DDFO 4.4.** Work with individual site offices to provide accounting and financial guidance and support in reviewing CAS business systems as well as other financial review support, such as disclosure statement compliance and implementation reviews in accordance with Cost Accounting Standards by 09/31/2013. (CR)

**CH DDFO 4.5.** Maintain ISO 17025 accreditation Initial Chemical Testing Scope by 06/30/2013. (NBL)

**CH DDFO 4.6.** Add to ISO 17025 accreditation scope by 03/31/2014. (NBL)

**CH DDFO 4.7.** Provide qualified staff for Ames assessments consistent with the Ames Site Office assessment schedule. (ALL)

**CH DDFO 4.8.** Collaborate with Argonne Site Office (ASO) to formally document the FY13/14 assessment related support that the Chicago Office will provide to address ASO expectations. (ALL)

**CH DDFO 4.9.** The Chicago Office (or the ISC) will utilize the Brookhaven Site Office staff to augment Chicago (or ISC) supported reviews and process improvement projects. (ALL)

**CH DDFO 4.10.** Provide qualified staff for Pacific Northwest National Laboratory assessments consistent with the Pacific Northwest Site Office assessment schedule. (ALL)

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

**CH DDFO 4.11.** Collaborate with the Princeton Site Office (PSO) to formally document the FY13/14 assessment related support that the ISC-Chicago Office will provide to address PSO expectations. (ALL)

**CH DDFO 4.12.** Collaborate with SC-31 to include SC-31 staff members on Environment, Safety and Health; Safeguards and Security; Facilities and Infrastructure, and/or Quality Assurance assessments that the ISC-Chicago Office performs at the request of Site Office customers. (STI)

#### **IV. Oversight Plan**

The goal of SC-CH oversight/assurance efforts is to critically assess ourselves to ensure that we are meeting expectations and to identify opportunities to further enhance the quality of our work and the efficiency of our processes. The Chicago QA Program requires each element of Chicago to annually plan and perform a management/self-assessment of their functions. Annually, Chicago performs an ISO-9001 based assessment of its operations. The Chicago QA Representatives Council offers ISO-9001 based Internal Auditor training to enhance the assessment/audit skills of those who perform the management/self-assessments.

As a component of the SC-ISC, a major area of support that Chicago provides to our Site Office partners is planning, leading, performing, and documenting assessments/audits on behalf of the Site Office in a broad range of technical and business functions. Our success in providing this support is dependent on having a good understanding of the assessment/audit support needs of our Site Office partners. This understanding is obtained through frequent communication with our Site Office partners. The SC-wide Integrated Assessment Schedule (IAS) augments the information gained through informal communications, as it shows what assessment/audit support is needed by each of the Site Offices. Chicago possesses a wide range of expertise that enables us to satisfy the vast majority of the assessment/audit needs of our Site Office partners. For the rare occurrences in which Chicago does not have the expertise to satisfy a particular assessment/audit need of a Site Office, we obtain it either through SC-OR, SC-HQ, other DOE Program Offices, or a support contractor. As the implementation of the Contractor Assurance System continues to evolve, many instances of assessment/audit support are joint efforts by the Laboratory and the Site Office, with the Chicago staff member serving on behalf of the Site Office.

Chicago is responsible for SC line management oversight of New Brunswick Laboratory. Chicago maintains operational awareness of operations and conditions at NBL through frequent communications with NBL management and staff, day-to-day Facility Representative oversight activities, and formal assessments. The topics subjected to assessment are selected based on considerations of hazards, risks, operational history, and importance to mission achievement.

The DOE Facility for Rare Isotope Beams Federal Project Director is responsible and accountable for the overall conduct of the FRIB Project and has been delegated DOE line management oversight responsibility and authority for the FRIB Project consistent with the Preliminary Project Execution Plan and the requirements of the Cooperative Agreement (CA). The DOE FRIB FPD reports to the Manager of the DOE Chicago Office. Support to the DOE FRIB FPD will be provided by Chicago matrix organizations and by DOE Office of Nuclear Physics (NP) at the level required for project success.

The DOE FRIB FPD is responsible and accountable for the overall conduct of the APS-U Project and has been delegated line management responsibility and authority for the APS-U Project on behalf of the Argonne Site Office. The DOE APS-U Federal Project Director heads the APS-U Integrated Project Team. The intent is to implement DOE Order 413.3B via a tailored approach that optimizes control, progress, performance, and success of the APS-U Project.

Chicago implements SCMS processes for planning, performing, and documenting assessments, as well as for identifying, tracking, and correcting issues identified through oversight activities. Chicago enters its management/self-assessments, as well as the line management oversight assessments of NBL, in the SC IAS.

## **APPENDIX 1 – FY 2012 Annual SC Chicago Office Integrated Safety Management (ISM)**

### **Declaration**

Chicago has evaluated the overall effectiveness of ISM implementation during FY 2012. Chicago has determined that ISM is effectively implemented. This evaluation covered the office-type work performed by Chicago Federal and support services contractor employees stationed in Building 201 at Argonne National Laboratory (ANL), and the line oversight responsibilities held by Chicago for monitoring the safe performance of work at New Brunswick Laboratory (NBL). NBL is a Government-owned, Government-operated radiological and hazard category 3 nuclear facility co-located at ANL. This determination was derived from the analysis of the following Chicago management systems used to implement DOE safety\* requirements.

#### Oversight of Chicago

##### Management Assessment -

During FY2012, Chicago did not perform a management assessment specific to ISM or related to environment, safety, and health.

##### Federal Employee Occupational Safety and Health -

To ensure the accuracy and relevance of safety implementation, annually Chicago reviews and revises its ISM System Description, as well as the *SC-CH ESH Functions, Responsibilities and Authorities Manual*, *SC-CH Ergonomics Program*, and the *Building 201 Federal Employee Worker Safety and Health Plan*. This latter document is the means by which Chicago implements the applicable Federal workforce safety requirements established by DOE G 440.1-1B, *Worker Safety and Health Program for DOE (Including the National Nuclear Security Administration) Federal and Contractor Employees*. The format of this document is based on the five ISM Core Functions. The Plan defines the type of work performed by the Chicago Federal employees and support services contractor staff, the recognized hazards associated with that work, and the preferred controls for eliminating and/or mitigating those hazards. Feedback and continuous improvement is then achieved through various other documented SC-CH quality assurance processes and the employee concerns and differing professional opinion processes established in the SCMS.

A safety and health committee which includes Chicago management and non-management employees exists for the purpose of representing the safety and well-being of all Federal

---

\* The term "safety" is used synonymously with environment, safety, and health to encompass protection of the public, the workers, and the environment.

employees and support services contractor staff. This committee includes representation of all Chicago organizations, meets at least quarterly, and is run as an open-forum for all employees to voice safety concerns to Chicago management.

Chicago has in recent times experienced few if any recordable occupational injuries and illnesses. Likewise, lost time also remains extremely low. It is strongly believe this is the result of continuous communication about; the observation of; and the timely resolution of hazards. An example of this is the Chicago initiative to address occupational ergonomic issues. This has included the provision of adjustable ergonomic chairs and keyboard trays to all employees, but most importantly individual instruction provided to all employees on proper ergonomic positioning, and use of their chairs and keyboard trays.

Because of these diligent efforts, Chicago is effectively implementing ISM.

### Oversight of NBL

#### Independent Assessment -

During FY 2012, Chicago performed one scheduled safety-related independent assessment of NBL programs. The completed independent assessment was of the NBL triennial environmental management system as required by DOE O 436.1, *Departmental Sustainability*. At the request of NBL, Chicago has agreed to postpone the balance of its FY 2012 and most of FY 2013 scheduled safety-related independent assessments until FY 2014. This agreement was to allow NBL the opportunity to “catch-up” with outstanding corrective actions needing to be completed as a path forward for achieving the resumption of full operations. Because work now being performed by NBL staff is currently limited in scope as they pursue full operations, this was decision is viewed as an allowable risk.

Exceptions to the postponement of the assessments include the triennial Fire Protection Program assessment to be conducted during FY 2013, and the annual Documented Safety Analysis revision. The set of postponed assessments includes:

- Limited Scope Triennial 10 CFR 835
- NFPA 70E Compliance
- Limited Scope Safety and Health Inspection
- Respiratory Protection Program
- Focused Causal Analysis, Issues and Action Management Surveillance
- Limited Scope Safety and Health Inspection
- ISMS Verification
- 29 CFR 1960 Compliance

*Before using this document, verify it is the most current version by going to SC-CH Documents, Plans and Programs*

The STI triennial safety and quality assurance assessment schedule to support the Chicago Manager with the oversight of NBL has been revised accordingly. This independent assessment schedule is prepared and updated annually by STI in accordance with the SCMS Quality Assurance & Oversight Management System. These scheduled assessments are posted in Science Management Actions and Recording Tracking (SMART) system.

#### Operational Awareness -

Day-to-day operational awareness of NBL is performed by a DOE Facility Representative qualified to DOE-STD-1063, *Facility Representatives*. The Facility Representative is an STI staff member who meets weekly with the Chicago Manager to discuss safety issues observed at NBL. Furthermore, the Chicago Manager and the Assistant Manager for STI meet weekly with NBL management to address the status of facility operations, which includes discussion on the implementation of DOE safety requirements. The Facility Representative prepares weekly activity reports and posts those reports on an electronic shared drive for viewing by the Chicago Manager and STI staff.

#### NBL ISM Assessment

NBL has declared that ISM is being effectively implemented as they aim for continuous improvements. Being that NBL is currently performing limited operations as part of their nuclear facility hazard category downgrade, Chicago concurs with their ISM Declaration which is included as an attachment. NBL currently has an ES&H program based on the recognized hazards in the workplace, and has established controls that effectively eliminate or minimize exposure to these hazards by Laboratory employees and support contractors. It is anticipated that NBL will resume full operations by the close of this calendar year. Furthermore NBL possesses a current ISM System Description that details the corresponding roles and responsibilities for pursuing safe operations. Chicago concurs with the NBL conclusion that ISM is effectively implemented.

#### ISM Performance Objectives, Measures, and Commitments

Chicago had no ISM-related performance objectives, measures, or commitments during FY 2012.

#### Strengths, Weaknesses, and Opportunities for Improvement

Chicago currently possesses DOE technically qualified staff to effectively monitor ISM implementation when monitoring DOE FEOSH requirements, and those DOE safety requirements applicable to the operation of NBL. However, since staffing in most areas of expertise is only one-deep, potential weaknesses in the ability to continue to effectively

monitor this implementation, would be jeopardized with any loss of staff. Additionally, having a limited staff impacts the ability to pursue the timely resolution of corrective actions stemming from management assessments and FEOSH observations due to competing priorities.