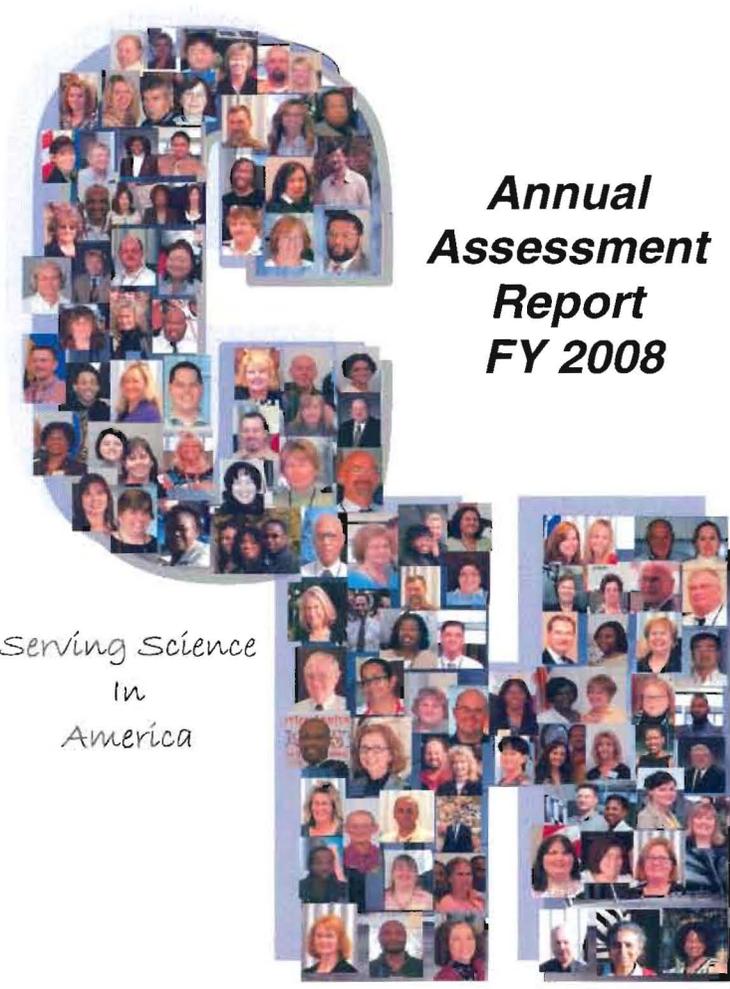




Integrated Support Center Chicago Office



Annual Assessment Report FY 2008

*Serving Science
in
America*

Roxanne E. Purucker 11-14-08

Roxanne E. Purucker, Manager
Office of Science – Chicago Office

date

Revision History**TITLE:** Annual Assessment Report**POINT OF CONTACT:** Barbara Clouse, IMS**SCMS MANAGEMENT SYSTEM:** [Quality Assurance and Oversight](#)**TO BE UPDATED:** Annually

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

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Message from the Manager

In this first year as Manager of the Chicago Office, I am pleased to report that fiscal year 2008 was again a successful and productive year for our Office. The combined support capabilities of the Chicago and Oak Ridge Offices serving as the Office of Science Integrated Support Center (ISC) continue to yield excellent performance. The critical business, administrative, and technical services delivered by the ISC underpin the Office of Science's mission and provide benefit throughout the Department of Energy complex.

The Chicago Office is financially responsible for approximately \$3.3 billion of Department of Energy research, development, and other activities involving almost every Departmental program in all 50 states and many foreign countries. The Office of Science is the largest funding program in the mix, with Chicago responsible for the majority of Office of Science funding. Chicago also provides the primary support for six of the Office of Science Site Offices. The success of our office is based on the collective strength of the individual contributions that each of you provide on a daily basis.

Chicago played a vital role in the accomplishment of the Office of Science's Deputy Director for Field Operations fiscal year 2008 goals. Key among these goals, the Chicago and Oak Ridge Offices are leading the effort to complete the Science Management System, a web-based management tool providing a common set of best-in-class processes for Office of Science employees to manage more effectively across the complex. This tool has been identified by the Department of Energy Under Secretary for Science as critical to the Office of Science's success in effectively managing growing national investments in scientific research while maintaining public confidence in our ability to do so. Together, Chicago and Oak Ridge made great strides in mobilizing the Science Management System, positioning Office of Science for full implementation by the end of the calendar year. Working with our Oak Ridge counterparts, Chicago significantly advanced the Science Management System during fiscal year 2008 by publishing 18 Management System Descriptions, 80 subject areas, 405 procedures and 605 exhibits. Through this effort, numerous local field procedures have been eliminated in favor of using the Science Management System, driving consistency across the Office of Science. Science Management System orientation was delivered across the Office of Science and plans are underway to complete the final management system, *Program Management*, and to transition from implementation to "maintenance". While there is still considerable work ahead, this is already a valuable tool helping us set the standard for world-class service and will serve as the foundation to pursue ISO 9001 certification.

In support of other Deputy Director for Field Operations goals, Chicago established a Technical Qualification Program, consistent with the Oak Ridge program, to serve our staff as well as some of our site offices. Chicago organized efforts to establish a field staffing review process which significantly contributed to the Deputy Director for Field Operations goal to complete and update staffing analyses. We implemented an Entry Level Recruitment Program which is already showing results. The focus on Entry Level Recruitment and use of hiring flexibilities facilitated a refresh of our workforce with several new staff at the entry level. Chicago's Office of Safety Technical and Infrastructure Services continued to provide expert technical support across all functional areas including security, environment, safety and health, infrastructure and project support, and real estate. A significant increase in nuclear safety support was provided

by Chicago to advance Argonne's nuclear footprint reduction efforts and for the two recent additions to the Office of Science's nuclear facilities, New Brunswick Laboratory and a facility at Pacific Northwest National Laboratory.

In addition to supporting the Deputy Director for Field Operations goals, Chicago met all of our major goals and targets including our set of seven jointly shared ISC goals with Oak Ridge. Fiscal year 2008 was the first year that the two offices pursued joint goals in support of the Deputy Director for Field Operations. This not only enabled us to achieve the desired service results, but helped strengthen the ISC partnership.

Finally, we set goals to advance on services unique or specific to Chicago's performance. Within Chicago we have two Centers of Excellence – Intellectual Property Law and Financial Assistance. It was a record setting year for both Centers. IPL, which provides its unique services to more than a dozen Department of Energy facilities, processed more patent applications and inventions than in previous years. The Financial Assistance Center processed 4,272 procurement requests, administered another 4,000 active awards and managed 8 major competitive solicitations such as the Facility for Rare Isotope Beam and the Energy Frontier Research Center. These efforts are heavily supported by others in Chicago, notably by our financial and legal staff. The significant accomplishments by Chicago's financial management staff were recognized by the Department of Energy Chief Financial Officer through their receipt of the prestigious first-ever "Group Award for Financial Excellence". The Office of Chief Counsel continued to provide exceptional legal support to the Department of Energy in a variety of administrative and judicial proceedings. Human Resources Services spent considerable effort to define their processes and improve their procedures. Human Resources Service recruitment and selection processes achieved an average customer satisfaction rate of 97percent. Information Management Services, despite ever increasing challenges in cyber security, was able to maintain a network availability rate of 99percent. Chicago distinguished itself through these accomplishments and others detailed in this Annual Assessment Report.

Perhaps our most significant achievement is that on average, across functional areas, 99percent of our customers were satisfied or highly satisfied with Chicago's service. Our successes for the year embody Secretary Bodman's overall goal for the Department – that the Department of Energy be the agency all federal employees aspire to work at – the employer of choice. Each of you should be proud, as I am, to be part of our Office's distinguished service to the Department of Energy.

I am very pleased with our accomplishments, and John Greenwood and I thank you for the contributions you have made in support of the Department of Energy mission. We will continue to build on our reputation of service as we act to meet our customers' needs and deliver on our goals.



Roxanne E. Purucker, Manager
Chicago Office





Mission, Vision and Values

Mission

The Office of Science - Chicago Office (SC-CH) is a critical element of the Office of Science (SC) 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.

Vision

We are the catalyst and certified provider of best-in-class essential services, facilitating achievement of the Office of Science and the Department of Energy's mission.

Values

- We believe people are our most important resource and should be treated with fairness, respect, and dignity.
- We exist to serve our customer needs.
- We value our partners and stakeholders.
- We are committed to excellence and continual improvement.
- We recognize that leadership, empowerment, and accountability are essential.
- We manage by fact and focus on results to create value.
- We work as a team and advocate teamwork.
- We value safety and respect the environment.
- We value agility, creativity and innovation.
- We are good neighbors and model community citizens.
- We exemplify the highest standards of ethical behavior.



Figure 1. Chicago Office, Argonne Illinois



Organizational Structure and Resources

The SC complex consists of its SC Headquarters (SC-HQ) staff in Washington and Germantown, an ISC that is managed by Chicago and Oak Ridge, and nine SC Site Offices. The Chicago Office Manager reports to the SC Deputy Director for Field Operations and is the line manager for Chicago Office Federal employees. The Chicago Office Manager also serves as a SC Site Office Manager, with line management responsibility for science and operations conducted at New Brunswick Laboratory (NBL). NBL is a Government-Owned Government-Operated facility, which serves as the U.S. Government's Nuclear Materials Measurements and Reference Materials Laboratory and the National Certifying Authority for nuclear reference materials and measurement calibration standards.

In addition to NBL, there are six organizational elements reporting to the Chicago Manager: Acquisition and Assistance; Safety, Technical and Infrastructure Services; Chief Counsel; Human Resources Services; Chief Financial Officer; and Information Management Services. As of September 30, 2008, Chicago was authorized a ceiling of 236 Federal Full-time Equivalents, with 222 on-board and a budget authority of \$3.3 billion. SC is our single largest program and in fiscal year (FY) 2008, \$2.6 billion or 65 percent of SC funding was allotted to Chicago.



November 14, 2008

Roxanne E. Purucker
Roxanne E. Purucker, Manager

Figure 2. Chicago Office Organization Chart



Performance

This Annual Assessment Report (AAR) provides a brief overview of what we have accomplished this year in achieving the goals and objectives described in the Chicago Office FY 2008 Annual Performance Plan (APP). The APP is the road map for our organization's efforts to achieve best-in-class services for our customers using the overall "umbrella" documents which set the management agenda for federal government activities. These broad-based policy documents start with the President's Management Agenda and the Department of Energy's (DOE) strategic plans and priorities, are cascaded through SC's goals and objectives in annual guidance from the Deputy Director for Field Operations (DDFO), and conclude with the Chicago Office Strategic Plan goals and objectives, specific to Chicago's mission and continuous improvement.

Captured within the Chicago goals are the five high-level DDFO goals and the ISC objectives and measures jointly developed with Oak Ridge. Chicago-specific goals, objectives and measures were developed collaboratively by Chicago Office management and staff. In addition to measuring and tracking performance, Chicago monitored workload indicators related to each functional area of the Office. These performance measures and workload indicators were tracked and trends reported by Heads of Chicago Elements in quarterly senior staff performance/progress review meetings convened by the Chicago Manager. The measures, indicators and results can be viewed in the [Management Decision Support System](#) (MDSS) Planning and Analysis Section, Performance Analysis and Workload Indicators tabs. (Note: An ID and password are required to access MDSS. Contact the [Chicago Help Desk](#) at 630-252-2772 for assistance.) All major goals were met, as indicated by the system's color coding.

FY 2008 DDFO performance goals:

1. Improve Our Operations
2. Improve Our Laboratories
3. Bring Order to Chaos
4. Help Our Laboratories Be Successful
5. Evaluate Our Contractors Fairly

FY 2008 ISC Joint Objectives:

1. Fully establish the Science Management System (SCMS)
2. Fully establish SC Technical Qualification Program
3. Successfully perform Management and Operating (M&O) competitions and support Site Offices in contract administration
4. Implement workforce Planning and Staffing Analysis across SC
5. Implement effective and efficient service to the SC Complex
6. Improve operation of the ISC
7. Support assessment needs within SC

The objectives, measures and targets identified in the APP were translated into specific FY 2008 individual performance standards, objectives and measures for the managers and staff of the ISC. Each employee's performance directly impacts and ensures the success of the ISC.



Section 1 Performance Summary ~ DDFO Goals

Chicago contributed significantly to the achievement of FY 2008 DDFO performance goals. Details are found in the [Management Decision Support System](#) (MDSS) Planning and Analysis Section, Performance Analysis tab. Performance highlights include:

SCMS

Continuing the ISC partnership, the Managers of Chicago and Oak Ridge led the development and implementation of SCMS. As of September 30, 2008, SC published 18 of 19 Management System Descriptions, 80 of 92 Subject Areas, including over 400 procedures, and 17 SC Guidance documents/Program Descriptions. Additionally on this date, another 7-10 Subject Areas were in various stages of technical editing and/or undergoing SC-wide review.

With the majority of management systems completed, SCMS is well on the way to becoming operational for SC. When fully developed, this web-based management tool will provide a common set of practices and processes for all SC employees to function more consistently, efficiently, and effectively. SCMS has been identified by the DOE Under Secretary for Science as critical to SC's successful management of growing national investments in scientific research and maintaining public confidence in our ability to do so.

In the process of advancing SCMS, the leadership and staff of Chicago and Oak Ridge have moved the integrated support service concept forward, helping to fulfill the operational vision of the ISC, build familiarity and confidence among the functional teams, and bond the organizations and employees closer together. In this sense, the Chicago and Oak Ridge partnership on SCMS is resulting in unforeseen benefits of team-building, the forging of greater mutual respect, and closer ties among functional specialists.

Staffing Analysis and Workforce Planning

In support of the DDFO, the ISC developed a common approach to address staffing needs for SC's Field Offices. The process allows for the SC Field Office Managers to participate in the prioritization of field staffing needs for the Site Offices and the ISC. Staffing was analyzed and prioritized for FY 2009 and FY 2010. The systematic approach is available to provide input to the annual program direction budget and will be tied to the results of the annual human capital planning effort.

Chicago's Office of Human Resources Services (HRS) Human Capital Officer serves as the Management System Owner for the SCMS HR Management System. Working closely with the Oak Ridge Secondary Management System Owner, the Chicago and Oak Ridge Human Resources (HR) organizations published SCMS procedures for workforce analysis and planning, and developed and implemented an improved SC-wide annual human capital planning process. Chicago's HRS initiated the annual workforce planning effort and prepared guidance and information to Chicago Elements and Site Offices to assist in their annual review of workforce needs. The HR Specialists reviewed the Workforce Management Plans for their serviced organizations and met with the supervisors to review staffing profiles, organizational structure, critical skills, skill gaps and staffing priorities. The HR Specialists prepared staffing profiles for their respective organizations, and the Organizational Planning and Recruitment (OPR) Team Leader developed a list of FY 2009 staffing priorities and mission critical

occupational skills for each organization for review by the Chicago Manager and Acting Deputy Manager.

Budget Process

Chicago's Office of Chief Financial Officer (CR) staff performed various customer outreach activities in order to assist our customers and improve financial management. These outreach activities included day-to-day interactions with Headquarters (HQ), Site Offices and Chicago Office customers. CR staff gained significant improvements to the accounting processes associated with the recording of property, plant and equipment balances into our system. CR staff teamed with the Office of Acquisition and Assistance (ACQ) in order to implement these process improvements.

Quality Assurance and Oversight

Each Chicago organization completed a self-assessment to identify improvements and correct issues. In addition, Chicago staff conducted numerous assessments of SC contractors in support of the Site Offices. Three major areas of assessment support were provided:

In the Office of Safety, Technical and Infrastructure Services (STI), the Safety and Technical Services (STS) and Safeguards and Security Services (SSS) organizations conducted assessments in their areas of expertise. STS led or supported 28 assessments in the areas of Integrated Safety Management (ISM), Environmental Management System, Emergency Management, Transportation Safety, Quality Assurance, and Fire Protection. SSS completed nine major reviews/assessments, including three security inspections, three Classification Appraisals, and three Cyber Security Reviews.

CR provided 623 financial assessments for the Site Offices and laboratories on a variety of financial management topics ranging from overhead rates to audit findings. CR also provided financial reviews in support of various site/Laboratory procurement selection boards.

ACQ participated in three assessments of M&O contractors' procurement systems during FY 2008 in support of DOE's Independent Peer Review Program for contractor's Purchasing Systems.

Nuclear Operations

STI contributed significantly in the area of nuclear operations during FY2008 at three primary SC sites. STI provided on-going safety basis support to the Argonne Site Office (ASO) in carrying out its nuclear footprint reduction initiative. This effort is designed to significantly reduce nuclear operations at the site over the next 3-5 years commensurate with the Laboratory's evolving mission. STS continues to provide on-going nuclear safety expertise needed to shape the overall strategy and to formally review documented safety analyses, submitted by ANL. Pacific Northwest Site Office utilizes STS in carrying out their line management responsibilities for Building 325. This includes the coordination of their Nuclear Safety Oversight Program and conducting safety system oversight reviews in accordance with PNSO/SC Transition Plan.

STI continues to play an active role in the Chicago Manager's line management oversight function for New Brunswick Laboratory (NBL). NBL remains a Hazard Category 2 nuclear facility, requiring significant oversight functions for nuclear operations. Specifically during FY2008 STS provided the Safety Basis Review Team (SBRT) Leader for the review of NBL's Documented Safety Analysis (DSA). The thorough review of the DSA and NBL's operations identified a number of significant issues leading to a stand-down by the Laboratory Director.

Addressing the issues identified through the SBRT review will improve facility safety. During FY 2008 STI conducted four nuclear safety oversight reviews of NBL. A project team has been tasked to evaluate and recommend a preferred option for NBL to change their approach to completing their mission work, including possible closure. All approaches involve reduction of inventory and reduced facility categorization. The project lead, appointed by the Chicago Manager, is an STI employee.

SC Technical Qualifications Program (TQP)

On behalf of the Chicago Manager and in support of the Argonne and Ames Site Offices, STI led the development of SC's TQP. Approximately 60 candidates initiated their qualification activities, which will lead to certification in September 2009. The Chicago Training Officer actively participated with the STI staff members and Oak Ridge personnel tasked with developing and implementing the TQP.

Laboratory Cost of Doing Business

As part of the CR organization's Laboratory Functional Cost Analysis, several cost saving initiatives were proposed and implemented at SC Laboratories. Some examples include:

- Argonne took an aggressive approach in contract negotiations for subcontracts and purchase orders. This has resulted in significant cost savings/cost avoidance each year.
- Argonne changed prescription drug networks which resulted in material cost savings. Argonne also participated in the Midwest Business Group on Health, a health purchasing initiative. Membership in this coalition enabled Argonne to take advantage of a negotiated reduction in a planned fee increase.
- The Fermi Site Office, with Laboratory support, negotiated a public utility easement for a power line easement with the City of Batavia, Illinois. To assure reliable service on their system, the City agreed to upgrade a portion of the government's power distribution infrastructure to make it more robust. This resulted in a cost avoidance of \$5.2 million and reduction in deferred maintenance of \$4.8 million.

Laboratory HR Practices and Systems

The Chicago Contractor Human Resources (CHR) staff provided support to Site Offices in the completion of:

- Fermi National Accelerator Laboratory's compensation program review and certification; and
- Lawrence Berkeley National Laboratory's compensation program review and re-certification.

Management and Operating Competitions and Contract Administration Support

ACQ aggressively supported the extension and competition of SC M&O Laboratory contracts, and other competitive actions, selection panels and Funding Opportunity Announcements. ACQ is leading, and OCC is actively participating on, the Source Evaluation Boards to solicit and select contractors to manage and operate Princeton Plasma Physics Laboratory and Brookhaven National Laboratory (BNL). ACQ was instrumental in the successful extension of the Princeton Plasma Physics Laboratory contract extension. This extension was necessary to accommodate completion of the contract competition. In addition, OCC provided legal support and supervision in obtaining the Secretary of Energy's approval of a Public Law 85-804 nuclear indemnification request for the BNL contract extension.



Section 2 Performance ~ Organizational Highlights

Office of Acquisition and Assistance (ACQ)

ACQ is a business management organization dedicated to procuring goods and services (primarily research and development) for the Department of Energy's Office of Science, the Chicago Office, and other departmental program offices in a timely, effective and efficient manner.



In addition, ACQ provides guidance and support to the Office of Science Head of Contracting Activity (SC-HCA), the Office of Science Site Offices and Chicago personnel in the areas of acquisition and assistance policy, property management, contractor human resources and small business. The organization is led by an Assistant Manager (currently vacant) and a Deputy Assistant Manager, Patricia J. Schuneman, and is organized into two Divisions. The Operations Division, led by Eric M. Simpson, consists of five teams that are devoted to procurement and financial assistance. James R. Bieschke heads the Support Division, with two Policy Teams providing M&O and non-M&O procurement support, and the Contractor Human Resources team.

ACQ had an especially successful year in support of customers. Performance highlights include the following:

- ❖ **Procurement** - ACQ successfully processed 4,272 procurement requests for SC, CH and other DOE program offices during the fiscal year. Currently, ACQ administers over 4,000 active acquisition and financial assistance awards. The awards resulted in ACQ obligating approximately \$1.1 billion in FY 2008.

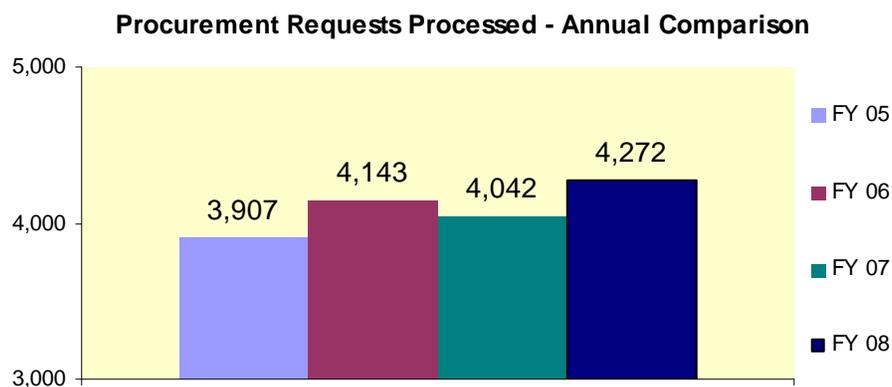


Figure 3. Record Number of Procurement Requests Processed

- ❖ **Timely Award of SC Actions** - Three major Funding Opportunity Announcements, Facility for Rare Isotope Beams, Energy Frontier Research Centers and Electron Scrubbing Technology Demonstration Project (E-Scrub), three solicitation panel actions (CH technical,

patent prosecution and SBIR commercialization support services), and two M&O Source Evaluation Boards were staffed and conducted by ACQ during FY 2008.

- ❖ **Congressional Earmarks** – 100 percent of FY 2008 congressional earmarks were awarded by September 30 despite late funding and receipt of procurement packages.
- ❖ **Small Business Goals** - ACQ exceeded the goal set for awarding actions to small businesses during FY 2008. The stated goal was \$6.1 million and the actual performance for small business awards was \$17.5 million. This was possible due to additional funding resources provided by SC.
- ❖ **SC Performance Evaluation Measurement Plan (PEMP) Review Board** - A member of the ACQ staff led the SC PEMP Review Board. This effort focused on assuring appropriate and adequate performance measures were utilized by SC Site Offices to assess M&O Contractor performance.
- ❖ **Strategic Integrated Procurement Enterprise System (STRIPES)** - Provided significant support to the development of the Department of Energy's procurement solution, STRIPES. All procurement processing will be accomplished utilizing STRIPES when it is deployed in FY 2009.
- ❖ **ISC Initiatives, Including Management of the Office of Acquisition and Assistance** - Timely and quality acquisition and assistance service is being provided to all SC elements. Flow-down of annual goals and objectives have been included in staff performance plans. Resources are being used effectively and efficiently. Self-assessment - A mini Procurement Management Assistance Review (PMAR) was completed and its finding and corrective action plan is underway.
- ❖ **SCMS** - ACQ actively supported SCMS, its development and implementation. As of September 30, 2008, all SCMS management systems for which ACQ was a system owner were completed.
- ❖ **Senior Procurement Executive Programs (SPE)** - Goals and objectives of the SPE were actively supported. In particular, staff development and training goals in support of the Acquisition Career Development Program were achieved with 98percent of acquisition staff becoming Federal Acquisition Certification in Contracting certified to the appropriate level or a waiver was approved by the SPE. Several courses were held on-site and a number of off-site courses were attended. ACQ has filled one upward mobility position and currently has one student participating in the student experience program ACQ had considerable success in filling vacancies with highly qualified candidates and in succession planning.

Office of Chief Counsel (OCC)

OCC, led by the Chicago Chief Counsel, Alan Handwerker, had an extremely productive year in providing legal services to our Chicago customers, SC supported Site Offices, SC-HQ, and other HQ elements and Field Offices. Mark Dvorscak, Deputy Chief Counsel for Intellectual Property Law (IPL), led the IPL Center of Excellence, providing Intellectual Property (IP) law services to ten DOE field offices, nine DOE National Laboratories, one DOE-owned and operated Laboratory, and the DOE Environmental Management (EM) service center. IP support included patents, copyrights, trademarks, data, Cooperative Research and Development Agreements, Work for Others agreements, and a variety of other complex agreements. The General Law Division, led by Vicki Prouty, Deputy Chief Counsel for General Law, played a major role in the award and administration of the BioEnergy Research Center agreements – a key Secretarial initiative. The General Law Division also provided support to SC and Chicago on a variety of major procurement activities, including the Funding Opportunity Announcements for the Facility for Rare Isotope Beams and the Energy Frontier Research Centers.



Whether in environmental law, intellectual property law, ethics, Freedom of Information Act (FOIA) and Privacy Act (PA), labor law, or litigation, OCC made significant contributions to fulfilling DOE's mission as described more fully herein.

- ❖ **Major SC Procurements** – Provided legal review of a number of major SC procurement actions, including National Synchrotron Light Source II construction subcontract, National Energy Research Scientific Computing Center computer acquisition plan, Building 51 Decontamination and Demolition project, and Brookhaven Graphite Research Reactor removal project.

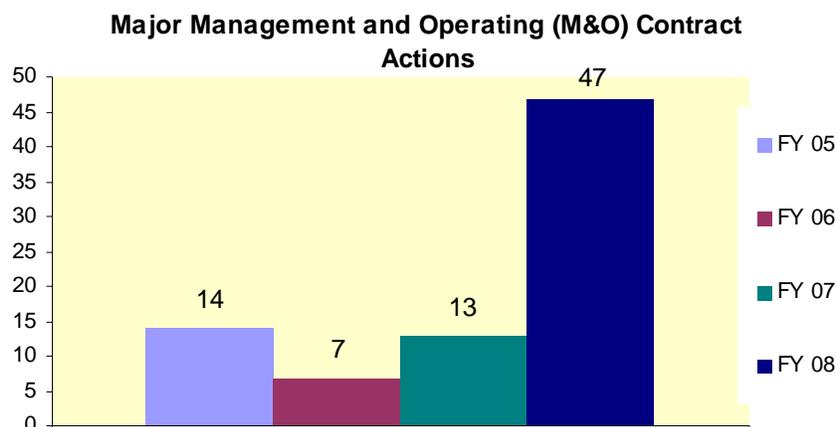


Figure 4. Increased Number of Major Actions

- ❖ **BioEnergy Research Center Agreements** – Assisted in award and administration of three BioEnergy Research Center Agreements. This was a major initiative of the Secretary of Energy and the Under Secretary for Science.

- ❖ **SCMS** – Actively supported the development of the SCMS, including serving as Management System Owner for the Legal Services Management System and supporting the Management and Operating Contracting Management System.
- ❖ **Intellectual Property Law (IPL)** – Filed 31 patent applications on behalf of the government during FY 2008. In addition, IPL filed 44 patent amendments and disposed 1,192 inventions.

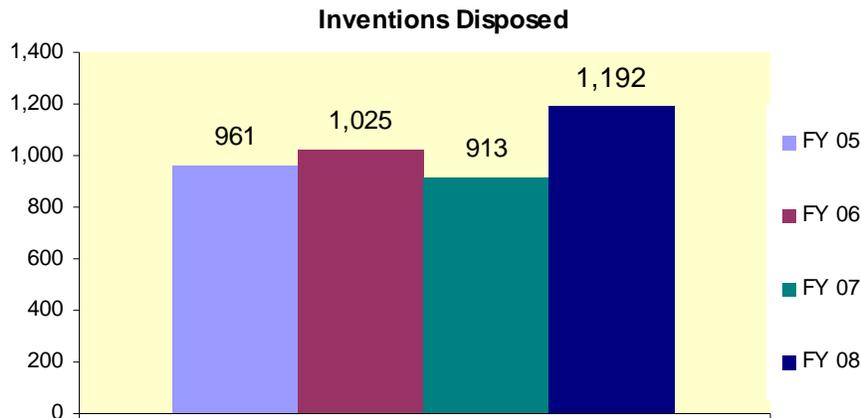


Figure 5. Increased Number of Inventions Disposed

- ❖ **Princeton Plasma Physics Laboratory (PPPL) Source Evaluation Board (SEB)** – Actively participated as a member of the SEB to select a Contractor to manage and operate the Laboratory.
- ❖ **Funding Opportunity Announcements** – Served as Legal Advisor to the funding opportunity announcements for the Facility for Rare Isotope Beams, the Energy Frontier Research Centers and E-Scrub.
- ❖ **Freedom of Information Act/Privacy Act (FOIA/PA)** – Achieved 100percent on-time response to 53 processed FOIA/PA requests, including the controversial Earthpark FOIA request. In addition, OCC request processing time was significantly reduced after delegating FOIA/Privacy Act Authorizing and Denying Officials based on logistical efficiencies, while maintaining appropriate consideration of subject matter expertise. This process improvement was implemented as a result of opportunities for improvement by Chicago and Oak Ridge through the SCMS development process.
- ❖ **Protest and Hearings** – Provided legal support on a contractor's Government Accountability Office (GAO) protest, a number of Equal Employment Opportunity (EEO) administrative hearings, and oversight of M&O contractor litigation.
- ❖ **Personally Identifiable Information (PII)** – Led multi-disciplinary review team chartered by the Chicago Manager. The team successfully achieved the goals of establishing causes and recommending and implementing corrective actions to prevent recurrence of PII releases.

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

STI provides a wide array of technical support to the Chicago Manager, SC Site Offices, and SC HQ. STI is organized into three divisions and managed by an Assistant Manager (currently vacant) and Deputy Assistant Manager, Jeff Roberts. Our Safety and Technical Services (STS) Division, headed by Justin Zamirowski, provides leadership



and support in the areas including, but not limited to Integrated Safety Management, environmental assessment, NEPA, occupational safety, radiation/fire protection, waste management, transportation, and nuclear safety. STS primarily supports Site Offices in conducting their line management responsibilities in these areas, but also serves the Chicago Manager in managing New Brunswick Laboratory (NBL). Tom Gradle leads our Safeguards & Security Services (SSS) Division, responsible for performing security inspections on behalf of the Chicago Manager and SC Site Offices. In addition, SSS conducts/supports cyber security reviews, manages personnel security for Chicago and the SC Site Offices it supports, and provides support in the areas of physical security, and all matters dealing with classified information. Our Program Support Services (PSS), led by Richard Baker provides subject matter experts in the areas of real estate, project management, and facility maintenance.

Significant STI accomplishments for FY 2008 include, but are not limited to:

- ❖ **Safety and Technical Services** - STS worked across the SC complex to facilitate the shipment and disposition of legacy waste inventories...most notably with the elimination of substantial inventories of Remote Handled Transuranic Waste (RH TRU) from the ANL site.
- ❖ **STS Site Office Support** - Support to Site Offices continued as STS led or supported 28 assessments in the areas of Integrated Safety Management (ISM), Environmental Management System, Emergency Management, Transportation Safety, Quality Assurance, and Fire Protection. Also led the review, update and development of plans and procedures for the Fermi Site Office.

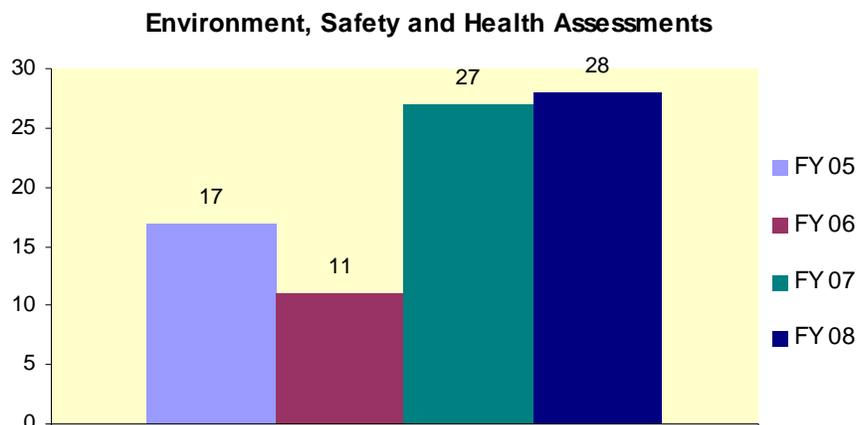


Figure 6. Assessments Led or Supported for Site Offices

- ❖ **NBL Oversight Document** - Developed the *Chicago Office Oversight Program for NBL*. This document describes Chicago’s comprehensive oversight program by establishing an effective program to monitor and maintain cognizance of the status of environment, safety and health; safeguards and security; cyber security; and emergency management.
- ❖ **Safeguards and Security Services** - SSS completed over 1,700 personnel security actions in a timely manner and provided over 300 person days of cyber security support to the SC complex.

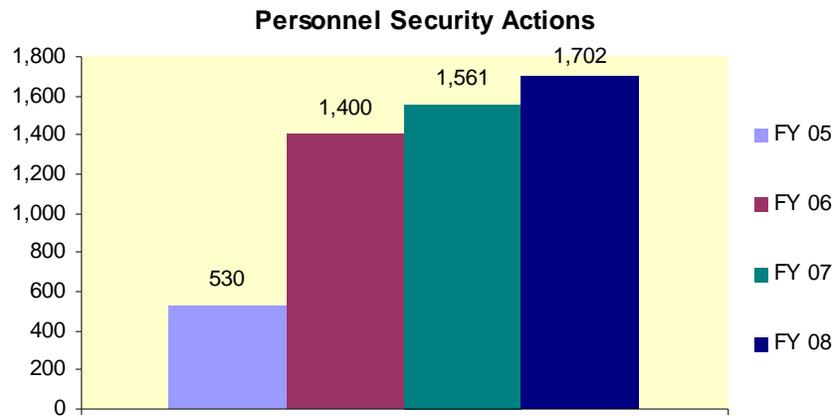


Figure 7. Increased Number of Actions Processed

- ❖ **Program Support Services** – PSS provided extensive support to the Congressionally Mandated Construction Grant program, supporting the award of 76 new grants, while conducting 25 on-site visits to meet with grantees and to assess construction progress.

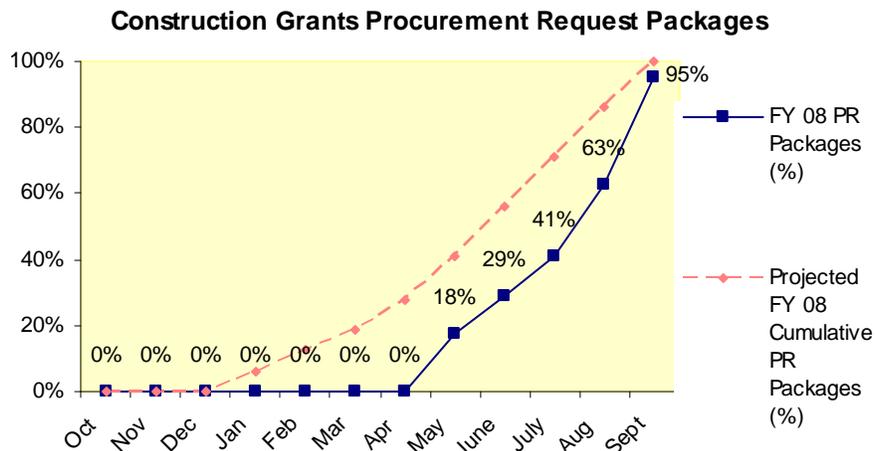


Figure 8. Late Funding Did Not Deter Grant Processing

- ❖ **SCMS** - STI continued to play a major role in the deployment of the Science Management System (SCMS). STI employees serve as Management System Owners (MSOs)/Secondary Management System Owners (SMSOs) for Quality Assurance and Oversight; Real Property; Safeguards, Security, and Emergency Management; and Environment, Safety, and Health. In addition, the STI Deputy Assistant Manager, together with his Oak Ridge counterpart, served as the SCMS Points of Contact for the Integrated Support Center, providing overall leadership toward making SCMS a reality within SC.

Office of Chief Financial Officer (CR)

CR, led by the Chicago Chief Financial Officer, Thomas Foley, provides timely and accurate accounting, finance, and budget services for Chicago and supported Site Offices. The Budget Division, led by Mary Sunderland, provides a full range of budget formulation and budget execution services. Cornell Williams heads the Accounting and Finance Division which provides accounting and financial review and oversight services.



The CR team provides a multitude of financial services including: monthly National Laboratory contract funding modifications, review/approval of Laboratory overhead rates, financial advice and guidance to Sites/Labs/Contractors/Grantees, accounting operations through financial processing of SC Grants and Contracts (thousands of actions), cost accruals, Plant and Equipment analysis, financial reviews and financial statement analysis and preparation.

Some of the highlights of the CR FY 2008 accomplishments are summarized below.

❖ Financial Services Excellence

- **Award Winning** - In May, 2008, CH-CR received the DOE-CFO Group Award for Financial Management Excellence from the DOE-CFO for superb financial services.
- **SC Contract and Laboratory Financial Assessments** - Supported Site Offices and ACQ by conducting 626 reviews of Laboratory, contractor and grant financial data, an area that continues to grow each year. These reviews range from analyses of grantees indirect rates to financial reviews associated with independent review boards and a wide variety of HQ CFO and SC required financial reviews.

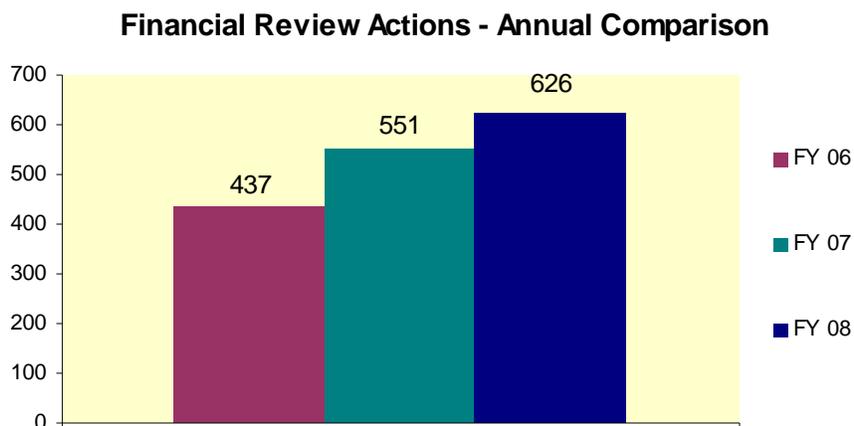


Figure 9. Increased Number of Assessments

- **NBL Improvements** - Continued to make improvements to financial processes and financial reporting at NBL. Provided assistance in preparing the NBL business plan and developing full cost recovery methodologies and also provided key assistance in the preparation of their FY 2010 budget submission.
- **IG Liaison Services** - Developed a new tracking system for IG reports and reviews that is linked to the Chicago Document Logging (DocLog) system. Provided audit report summary findings to Site Office and Chicago managers in order to improve knowledge and communication of IG activities.

❖ **Contributing to SC and Other Programs Financial Success**

- **Successful Funds Management** - Successfully managed limited funding for the Chicago Office under the lengthy continuing resolution period. Provided funding allocations to Chicago Offices, Site Offices, Laboratories and contracts and grants in order to ensure a continuity of operations with minimal disruption to program and project activities.
- **Effective Management Controls** - Managed the Chicago financial management and accounting duties in accordance with Departmental accounting and reporting requirements. Ensured the integrity of the multiprogram and multibillion dollar (\$3.3 billion) Chicago funding allotment and the proper budgeting and accounting of it. There were no funding deficiencies or internal control findings. Financially processed a record number of procurement actions for SC and other programs.
- **Budget Formulation** - Responded successfully to all requests for FY 2010 budget formulation information, including those that dealt with program direction and other crosscutting budget schedules.
- **STRIPES Initiatives** - Provided key advice and guidance to both HQ and Chicago procurement staff on implementation issues associated with the new STRIPES I-Manage procurement module and its impacts on the financial processing of our SC contracts and grants. This was very beneficial in identifying and correcting various potential implementation issues with HQ.
- **Staff Assistance** - Successfully completed a budget staff detail to SC-HQ in order to provide assistance in the preparation of the SC safeguards and security budget.
- **SCMS** - Completed SCMS procedures for all 25 Budget and Financial Management System subject areas in support of OneSC reengineering and the SCMS. Met the milestone date for completion.

❖ **Maintaining Financial Integrity**

- **Meeting Financial Reporting Requirements** - Provided timely and accurate financial reporting to the Department. All monthly STARS financial reporting due dates and other reporting milestones were met on time.
- **Certified Financial Statements** - Certified and issued Chicago Financial Statements in a timely and accurate fashion. These statements covered over \$6 billion in Departmental assets.
- **Favorable Audit Results** - Received a clean audit opinion on Chicago's FY 2007 Financial Statements. This contributed favorably to the Department receiving an unqualified audit opinion on the DOE Financial Statements.

Office of Human Resources Services (HRS)

As an integral part of the Chicago team, HRS supports SC through collaboration with Oak Ridge and HQ to provide a comprehensive human resources program and supports the Chicago mission by providing advisory services and promoting optimum utilization and development of the organization's human resources. Regenia Griswold is the Chicago Human Capital Officer, managing HRS through two service-providing teams. The Organization Planning and Recruitment (OPR) team, led by Elaine Kocolowski, provides workforce planning and offers recruitment strategies and services for Chicago and Site Office managers. The Employee Relations, Benefits and Development (ERBD) team, led by Michael Harvey, provides a wide range of employee services, from professional growth opportunities to retirement planning, and supervisory advisory services.



HRS performance highlights are presented below.

❖ SCMS

- Seven of the eight HR Subject Areas were published in SCMS in FY 2008.
- The publication of the ISC Merit Promotion Plan allows Chicago and Oak Ridge to retire their separate Merit Promotion Plans.

❖ Collaboration with Oak Ridge

- HRS has continued to collaborate with the Oak Ridge and SC HQ Human Resource Directors on data requests or communication of new or revised HR policies to our serviced organizations.
- The Chicago and Oak Ridge HRS Directors communicate on a daily basis via telephone or email, and they have issued joint guidance on performance management closeout and other HR issues throughout the year.
- The HRS Director led a collaborative effort with the Oak Ridge and SC-HQ HR Directors, OR and CH Diversity Managers and other members of the Oak Ridge and Chicago HRS staffs to develop the FY 2007 SC Human Capital Accomplishments Report and identify FY 2008 objectives. This annual report is prepared each year for the Office of Human Capital Management and is the justification for SC's "Green" rating in human capital for the past two years on the Department's internal scorecard.

❖ Results-Oriented Performance Culture

- To complete the final stage of the establishment of a results-based performance culture, the ERBD Team Leader and Employee Relations Specialists conducted the two required Performance Appraisal Assessment Tool (PAAT) reviews and submitted the results to the Office of Human Capital Management within the established timeframes.
- The ERBD Team published Chicago Order 331.1C, Rewards and Recognition Programs, with extensive changes to the Value Matrix. The new Value Matrix was loaded into the newly implemented automated Rewards and Recognition System.

❖ Talent Management

- The OPR Team worked to enhance the effectiveness of vacancy announcement templates by using the Office of Personnel Management Career Patterns concepts.
- HRS developed the Chicago Entry-Level Recruitment Plan with considerable input from the Diversity Programs Manager.
- The OPR Team developed a comprehensive guide to assist Senior Executive Service selection panels to perform their assigned responsibilities in the rating and ranking process effectively.
- Chicago and the Site Offices filled several positions utilizing HRS' expanded recruitment strategies: the Student Career Experience Program (SCEP), Federal Career Intern Program (FCIP), Student Volunteer Program and Upward Mobility Program.
- Chicago and the Site Offices utilized several recruitment and relocation incentives during the rating cycle to attract highly qualified employees.
- The focus on closing skills gaps has continued to be a priority for the Training Officer and Enterprise Training Services Human Resources Development Specialist. In addition to the emphasis placed on the Technical Qualifications Program, they completed the FY 2008 Training Needs Assessment, and identified training priorities based on a review of each serviced organization's annual Workforce Management Plan.

Merit Promotion Announcements

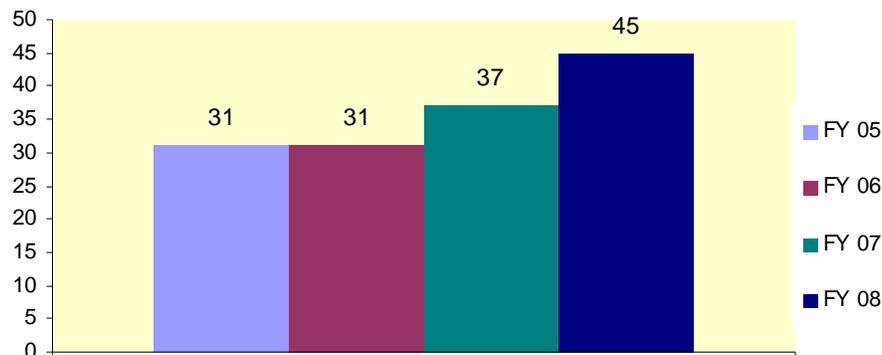


Figure 10. Increased Vacancy Announcements Processed

❖ External Activities

- As President of the Federal Midwest Human Resources Council (FMHRC), the Chicago Human Capital Officer developed and implemented the strategy for the FMHRC to become an official Committee of the Chicago Federal Executive Board (FEB). She and the FMHRC Vice President replaced the archaic Constitution and By-Laws with a streamlined charter. While formalizing the Council's relationship with the FEB met with some initial resistance or hesitation by long-term Council members, she effectively addressed their concerns and brokered a mutually agreeable implementation strategy with the FEB Executive Director. Following her presentation to the Executive Committee of the FEB on November 13, there was a unanimous vote by that body to make the Council a formal FEB committee.
- Under the Chicago Human Capital Officer's leadership as the President of the FMHRC, attendance at this year's Annual Spring Symposium on June 20, 2008 was the highest in its 21 years of existence and online registration via the FEB website was implemented.

Office of Information Management Services (IMS)

Led by the Chicago Chief Information Officer, David Frietsch, IMS provides a broad range of services to Chicago and supported Site Offices, including: cyber security, network management, information architecture, systems development, organizational planning and analysis, printing/publishing management, records management, mail management and radio frequency management.



IMS performance for FY 2008 includes the following highlights.

- ❖ **SCMS** – IMS employees serve as Information Technology (IT) Management Management System Owner and Records Management Secondary Management System Owner and provided subject matter expertise in the areas of IT Capital Planning and Investment Control, Requirements Management, and Quality Assurance and Oversight. During FY 2008 all subject areas and procedures were published.
- ❖ **Cyber Security** – IMS continues to improve cyber defenses with the implementation of new tools that provide protection against and detection of cyber attacks. IMS has successfully shunned thousands of documented attacks while maintaining 99percent network availability.
- ❖ **Network Management** – All core network functions were migrated from Novell to a Microsoft Windows based environment to improve the cyber security posture of the Chicago Office General Support System and to mitigate increases in IT operating costs.
- ❖ **Help Desk** – The Chicago Help Desk handled 5,590 calls with an average Customer Survey Rating of 4.82 out of 5.00.
- ❖ **Portal Page** – Developed, implemented and maintained a new customizable portal “gateway” intranet page which provides Chicago users access to a predefined set of web links and portlets as well as access to authorized applications from a single location.
- ❖ **Website Management** – Successfully managed the development and maintenance of websites hosted by Chicago by working collaboratively with Office of the Manager – Communications (OM-C) and the webmaster.
- ❖ **Information Architecture** – Developed the Chicago Office FY 2008-2012 Information Architecture Plan (IAP) Update. Convened the Information Management Advisory Group (IMAG) to obtain confirmation of requirements and priorities. Developed and implemented the FY 2008 Operating Plan based on the approved IAP.
- ❖ **Business Process Reviews** – Completed reviews of the ACQ Financial Assistance Processing compliance and the Acquisition Processing Equal Employment Opportunity Processing. Began reviews of the Acquisition Processing Retirement Process and the Financial Assistance Processing Retirement Process.
- ❖ **Management Decision Support System (MDSS)** – Installed enhancements to Performance Analysis, Human Resources, Rewards and Recognition and Financial

modules. Expanded the use of MDSS to Fermi Site Office, Princeton Site Office, Stanford Site Office and Thomas Jefferson Site Office through our invitation to use the new Performance Analysis tool.

- ❖ **Science Management Action and Record Tracking (SMART)** – Continued to expand the use of SMART by adding five new categories to facilitate a variety of tracking needs.
- ❖ **Integrated Assessment Schedule (IAS)** – Continuous updates and frequent Quality Control checks ensured synchronization of IAS data in coordination with Oak Ridge.

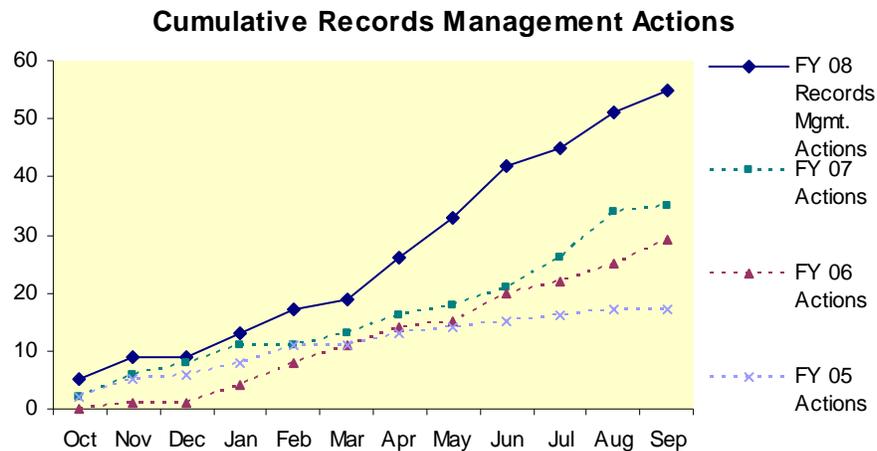


Figure 11. Increased Records Management Activity

- ❖ **Records Management** – Developed a Records Management and Vital Records training modules and a Customer Service brochure in collaboration with Oak Ridge; completed a record number of records management actions resulting in the retirement of 314 cubic feet of inactive records; and supported NBL and Site Offices in a fresh push to retire obsolete information; and validated the proper containment of PII and sensitive information.
- ❖ **Energy Employees Occupational Illness Compensation Program Act (EEOICPA)** – Continued work with the HQ Office of Health, Safety and Security and Laboratories on EEOICPA budget management and processing of claim packages; facilitated the completion of 340 Department of Labor employment verification requests, 514 Department of Labor Document Acquisition Requests, and 304 National Institute for Occupational Safety and Health dose reconstruction requests.
- ❖ **Radio Frequency Management** – Completed migration from broadband to narrowband for UHF (406.1-420MHz) radio frequency assignments. Coordinated with DOE Headquarters to process Bridge Service Request for dedicated transmission service (T1.5 circuit) for Chicago, IL-Denver, CO; and with Chicago CR for commitment of funds for one time installation non-recurring fee and monthly recurring charges.

Office of the Manager ~ Communications (OM-C)

OM-C, led by Brian Quirke, provides support to the communications and public affairs programs of SC-HQ, Chicago, supported Site Offices, and other programs supported by Chicago; and directly responds to requests for information and assistance from members of the public, stakeholders, news media, elected officials and community representatives.

- ❖ **SC Support** – Coordinated SC-1 visits to Argonne National Laboratory and Fermi National Accelerator Laboratory. Led contractor communications in support of "Making the Case for Science." Actively supported the development of the SCMS, including serving as the Management System Owner for Communications and Public Affairs and ensuring they are up-to-date. Staffed the SC booth at the American Association for the Advancement of Science meeting in Boston and developed new communications tools to enhance the SC exhibit. Coordinated and hosted monthly conference calls with SC communicators.
- ❖ **Chicago Support** - Conducted two speakers training courses which were rated "Highly Successful" by 100 percent of the trainees. Supported six speakers through the operation of the speaker's bureau. Developed and maintained several websites including the Chicago Office website, the Brookhaven Request for Proposal website and the Princeton Plasma Physics Laboratory website. Participated in the development and managed the content of the announcements section in the new Chicago Gateway resulting in improved internal communications. Coordinated the preparation for NBL presentation to Argonne/DOE Community Leaders Round Table.
- ❖ **Site Office Support** - Provided primary Public Affairs support for Argonne Site Office (Super Service), Fermi Site Office (Enhanced), Ames Site Office and Princeton Site Office. This support provided "excellent" services (including coordination of numerous press releases; counsel to Laboratory and Site Office management; prepping for speakers to local groups; support on PEMP and Performance Management and developing Public Affairs plan to aid Argonne with community relations).

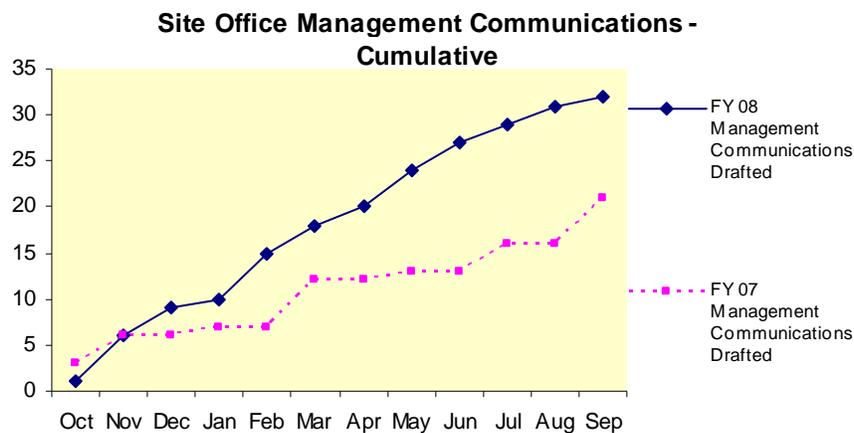


Figure 12. Total Increased Site Office Support Activity

- ❖ **DOE Office of Public Affairs Support** - Served as the only SC representative on the DOE branding committee. Initiated nationwide effort to increase the public's understanding of the benefits of ethanol by contacting more than 240 Midwest reporters to initiate interviews. Continued to maintain a close relationship with Global Nuclear Energy Partnership stakeholders near Argonne and Morris, IL.

Office of the Manager ~ Diversity (OM-D)

As an integral part of the Chicago team, Sara Brunson, Diversity Manager, provides EEO and Diversity advisory services and support to Chicago and supported Site Offices.



- ❖ **Unity Day** - Chicago hosted the eighth annual Unity Day celebration. This year's theme was "Cheers for Peers". A presentation, "Team Building in a Diverse Setting", provided employees teambuilding tips and exercises. The Manager's Unity Achievement Award was presented to an employee and to a team. This honorary award, initiated by the Chicago Unity Council, is given to an individual Chicago or Site Office employee or group of employees who have demonstrated that they embody the values of building unity while honoring diversity in performing their work.



Figure 13. FY 2008 Unity Achievement Awards: Budget Division and Nakisha Jones

- ❖ **Chicago Unity Council** - Initiated a monthly Service Anniversary Celebration to celebrate employees' federal government careers and strengthen team building.
- ❖ **Civil Rights Compliance Review** - Participated in an on-site post-award Title IX compliance review at the University of Wisconsin.
- ❖ **Volunteer Service Fair** - Chicago supported National Volunteer Week by hosting the second annual Volunteer Service Fair in May. To promote volunteerism, ten organizations were invited to provide information to both Chicago and Argonne employees about volunteer opportunities.
- ❖ **DOE Day of Science** - The Chicago Office participated in the DOE Day of Science in Knoxville, TN. There were over 1300 students and faculty members from majority and minority educational institutions registered; 16 national laboratories; and at least 50 exhibitors participating.
- ❖ **Engaging Hispanic Scientists and Engineers Forum** - Attended and served as a workshop facilitator for the DOE "Engaging Hispanic Scientists and Engineers Forum" in Washington, DC. This two-day forum brought together leadership of several Hispanic professional organizations and Hispanic Serving Institutions.

New Brunswick Laboratory (NBL)

NBL is a Government-Owned Government-Operated facility whose mission is the measurement science of nuclear materials. Jon Neuhoff is the NBL Director, reporting directly to the Chicago Manager. As part of the Chicago Office, NBL utilizes services provided by other Chicago Office organizations, such as Human Resources, Acquisition and Assistance, Office of Safety, Technical and Infrastructure Services, and other administrative, legal and financial offices. The NBL Federal staff was awarded, in an A-76 competition, the continued operation of NBL, as the agency tender, named the Most Efficient Organization (MEO), in 2006. The NBL MEO operates with a combination of Federal staff and contractor personnel.



NBL performance highlights include:

- ❖ **Certified Reference Material Sales** - In FY 2008, NBL distributed 513 certified reference material units, with total sales of \$328,600 to domestic and international customers.

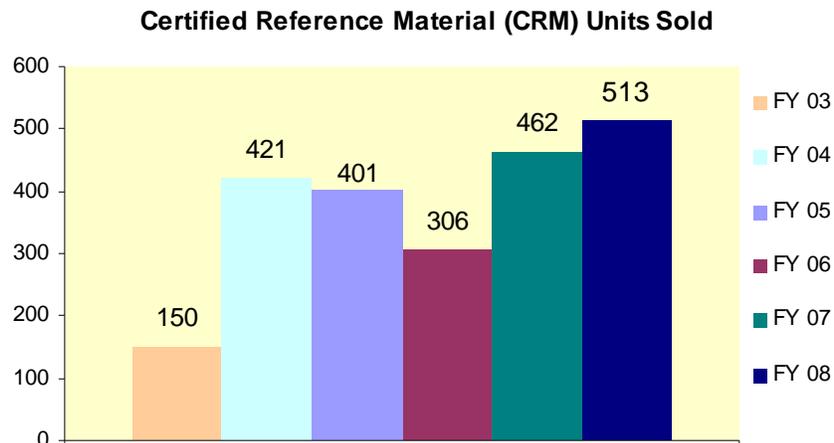


Figure 14. Increased Certified Reference Materials Sales for NBL

- ❖ **NBL Options Study** – NBL was placed in stand down mode while a multi-disciplinary team evaluates options. Actions/phases necessary for further inventory reduction and operational needs to move forward are under review.
- ❖ **Support to DOE Complex and International Partnerships** - NBL continued to build working relationships with numerous DOE complex, NRC licensee and international partners related to the production of Certified Reference Materials, Measurement Evaluation sample exchange programs, and site-assistance and support. These partners include the National Institute of Standards and Technology, Los Alamos National Laboratory, Y-12 National Security Complex, Institute for Reference Materials and Measurements, GE Global Nuclear Fuels Facility, Oak Ridge National Laboratory, and the International Atomic Energy Agency.

- ❖ **Safeguards and Security Inspection** - Achieved highest rating possible, “Satisfactory”, with no findings or suggestions issued on the Safeguards and Security inspection conducted at NBL on January 22-25, 2008.
- ❖ **A-76** - Completed A-76 Post-Competition Accountability activities. The A-76 Independent Verification and Validation review for DOE-HQ was completed in June, 2008, with a final report issued in August, 2008. The report concluded that the NBL MEO and Residual Organization were being properly implemented.
- ❖ **National Enrichment Facility** - Initiated discussions with URENCO, Pro2Serve, and Ares Corporation concerning the startup of the National Enrichment Facility being built in Eunice, New Mexico and met with representatives on October 17, 2007.
- ❖ **NBL Business Plan** - Completed development of an NBL Business Plan which was presented to the SC DDFO on March 6, 2008 in Washington D.C.
- ❖ **NBL Implementation of Integrated Safety Management System** - NBL prepared a summary report and declared the implementation of ISMS as “Needs Improvement,” with corrective actions identified.
- ❖ **NBL Professional Meeting Participation** - NBL participated in technical meetings to publicize NBL capabilities, including the 53rd Annual Radiobioassay and Radiochemical Measurements Conference, the 49th Annual Meeting of the Institute of Nuclear Materials Management (INMM), Institute of Environmental Sciences and Technology Conference of the American Geophysical Union, Federation of Analytical Chemistry and Spectroscopy Societies, and the JAEA-IAEA Workshop on Advanced Safeguards Technology for the Future Nuclear Fuel Cycle. NBL hosted its annual Safeguards Measurement Evaluation and Calorimetry Exchange meeting in conjunction with the INMM meeting.
- ❖ **Consensus Standards Writing Participation** - NBL staff participated in standards development for American Society for Testing and Materials International Fuel Cycle Committee, ISO TC 85/SC 5 on Nuclear Fuel Technology, ANSI committees, and the INMM Technical Committee on Measurements specific to Destructive Analysis Methods.
- ❖ **Work for Others** - NBL negotiated a dramatic increase in Work for Others funding which provides resources to implement needed facility infrastructure improvements.

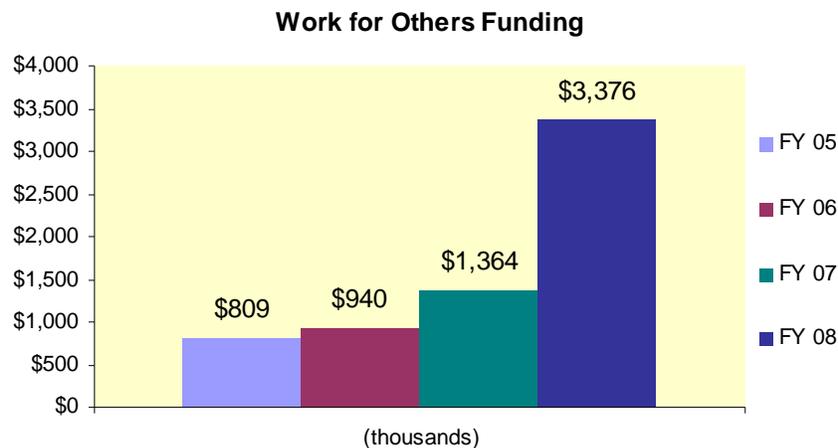


Figure 15. Increased Work for Others by NBL



Section 3 SC Assessment Results

The following assessments were completed by Chicago as scheduled:

PII Review - 10/18/2007 -11/02/2007

Chicago Office of the Manager initiated an independent assessment of Personally Identifiable Information (PII) within the Chicago Office. ([OS-1245](#))

NBL Procurement Assessment - 10/30/2007 - 11/14/2007

Chicago ACQ personnel conducted an examination of the NBL procurement program. ([OS-131](#))

NBL Safeguards and Security (S&S) Assessment - 01/22/2008 - 01/25/2008

Chicago SSS conducted the Safeguards and Security assessment of NBL resulting in no findings or suggestions. ([OS-156](#))

Security Survey of the WesDyne Facility - 02/05/2008 - 02/07/2008

Chicago SSS conducted Periodic security survey of the WesDyne facility located at Waltz Mill, Pennsylvania on February 5, 2008 and the Wesdyne International Westinghouse Columbia Plant on February 6-7, 2008. ([OS-1247](#))

Chicago FEOSH Training Program Assessment - 03/17/2008 - 03/31/2008

Chicago STS assessed the local implementation of DOE and Chicago FEOSH program requirements for training new employees and supervisors resulting in one "Level 1" Finding (Concern). ([OS-1261](#))

New Brunswick Laboratory (NBL) Integrated Safety Management System Description (ISMSD), Revision 4 - approved by the DOE Chicago Office Manager in April, 2008.

CR performed the following financial reviews and assessments for all SC M&O Contractors:

- **Laboratory Directed Research and Development (LDRD) Review - 06/01/2008 - 09/30/2008**
CR reviewed Laboratories' LDRD submissions to ensure that LDRD costs did not exceed the six percent funding limitation. CR also selected and reviewed a sample of LDRD projects to ensure costs, both direct and indirect, were charged appropriately to the project. No issues or findings were identified which resulted in a Chicago CFO certification to the DOE-CFO.
- **Budget Validation Review - 06/01/2008 - 09/30/2008**
CR reviewed Laboratories' budget submissions and verified at least 20 percent of the proposed budget costs to ensure appropriate labor and indirect rates are applied to direct costs proposed. Material costs were also verified on a sample basis. No major issues or findings were identified.
- **Semi-Annual Travel Cost Review - March 2008 and September 2008**

CR reviewed, on a semi-annual basis, contractor travel through the selection of sample travel vouchers. We reviewed the travel vouchers for cost allowability in accordance with contract terms and Federal Travel Regulations. Our review resulted in some minor findings that were reported to the Site Offices for follow-up and resolution.

- **Functional Cost Review** - December 2007

CR reviewed the laboratories' submission of functional costs. This review consisted of the verification of functional costs by category and the justification of changes in functional costs by plus or minus ten percent. No findings or issues were identified which resulted in the Chicago CFO certifying the functional costs to the DOE-CFO.

- **Biennial Pricing Review** - December 2007

The CFO Act of 1990 requires the CFO to review, on a biennial bases, the fees, royalties, rents, and other charges imposed by DOE for services and things of value it provides. Our review consisted of surveying the laboratories to identify all pricing review that have taken place, and obtaining data from the laboratories to verify that all findings that resulted in corrective actions have been corrected and all deficiencies have been resolved regarding pricing issues. No findings or issues were identified which resulted in the Chicago CFO certifying the prices to the DOE-CFO.

The following assessments were completed at NBL as scheduled and were summarized in the ISMS Self-Assessment report, supporting the NBL ISMS declaration:

Self Assessments:

IA-119 Health Hazard Evaluation of Mold – No deficiencies noted

IA-120 Occupational Exposure to Chemicals – No deficiencies noted

IA-121 FEOSH – Resulted in a number of minor deficiencies which are being tracked to closure in NBL's PROQUIS Quality Management System (PROQUIS)

IA-123 Simplified Acquisition Purchases Review – Resulted in a number of minor deficiencies which are being tracked to closure

IA-125 Radiation Protection – Resulted in 4 Strengths, 20 Level 2 Findings and 11 Level 3 Findings, all being tracked to closure in PROQUIS

IA-126 Interim Safety Basis Review – Resulted in 11 deficiencies noted which are being tracked to closure in PROQUIS

IA-127 Potable Drinking Water – No deficiencies noted

IA-129 Fire Protection – No additional deficiencies noted beyond those identified in the 2008 Fire Hazards Analysis

Job Hazard Analyses (JHA)- Process & Procedure-level Safety Reviews:

Over the reporting period 36 reviews were performed per the provisions of FOP ESH-20, "ES&H Review of Projects, Procedures and Tasks"

External Reviews/Assessments:

IA-092 Safeguards and Security – Satisfactory rating in all areas, January 2008.

Fire Hazards Analysis, Rev. 1, February 2008

New Brunswick Laboratory Safety Assessment – December 2007 (TSR review)

Routine (approximately monthly) CH/NBL Overview Meetings

ES&H Monitoring and Surveys:

Radiation surveys; Contamination surveys; Radiological air sampling; Indoor Air Quality (IAQ); Ergonomic Assessments; Asbestos; Legionella (cooling towers and potable water); Lead based paint; Noise; Hexavalent chromium; Perchlorates

Periodic Facility Walkdowns (20) by ES&H personnel. Deficiencies were identified and corrected or entered into PROQUIS for corrective action.

