Office of Science
U.S. Department of Energy

Chicago Office

FY 2007

Annual Assessment Report

October 30, 2007

Leadership in Partnership

Leadership in Partnership

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Message from the Manager

Fiscal Year (FY) 2007 was a year of challenge and accomplishment for the Office of Science (SC) Chicago Office. We experienced increased demands for our services and growing workloads in many areas of service and support. Once again, as in FY 2006, our Grants Center of Excellence successfully completed the actions associated with more than 4,000 procurement requests, with associated near-record levels of support from our Finance and other business functions.

Much of our business, technical and administrative support was carried out in close alignment with our partners in the Oak Ridge Office as we made substantial progress in achieving the goal of providing truly Integrated Support for the Office of Science, other Department of Energy (DOE) programs and the other agencies of government we support.

Our notable joint progress in FY 2007 spanned several important areas of accomplishment. These included our joint continued development of the Integrated Assessment Schedule, leadership and strong participation in developing the SCience Management System (SCMS), and support of the mandated recompetition of the management and operating (M&O) contracts for SC's laboratories.

Chicago's contributions also included singular assignments such as leading the negotiation of the agreements for the three new Bioenergy Research Centers. In spite of several challenging issues and an ambitious schedule, the Chicago-led team successfully completed these pioneering agreements by the end of the fiscal year, permitting the allocation of FY 2007 funding for an early start to top-priority research by the centers. Dr. Orbach praised the accomplishment of the joint headquarters/field team as "…a Herculean effort, one that has profound consequences for our Department and the Nation."

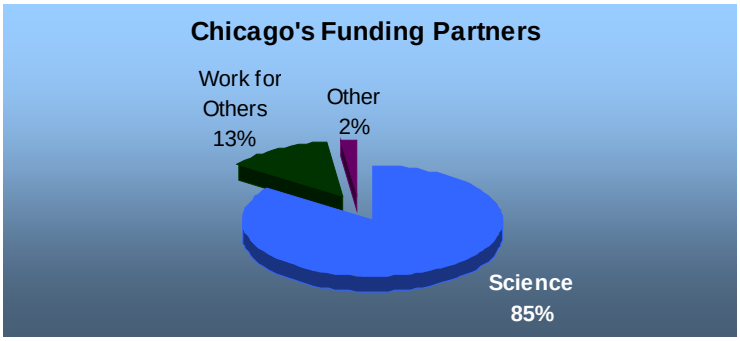
Chicago also took expanded responsibilities as a result of the February 1, 2007, transfer of the New Brunswick Laboratory (NBL) from the Office of Health, Safety, and Security (HSS) to the Office of Science. We have full SC line management responsibility for NBL and are providing extensive technical support to assist the Laboratory. NBL made notable progress in its programmatic responsibilities for certified reference materials, measurement evaluation, nuclear safeguards, nonproliferation, and national security assistance and support.

The Chicago Office is no stranger to accomplishment. But in FY 2007 we set the bar still higher for our performance in support of our customers and accomplishing the missions of the Department. We're proud of what our Chicago team and Oak Ridge partners have accomplished and look forward to the challenges of the year ahead.

Robert Wunderlich, Manager
Chicago Office

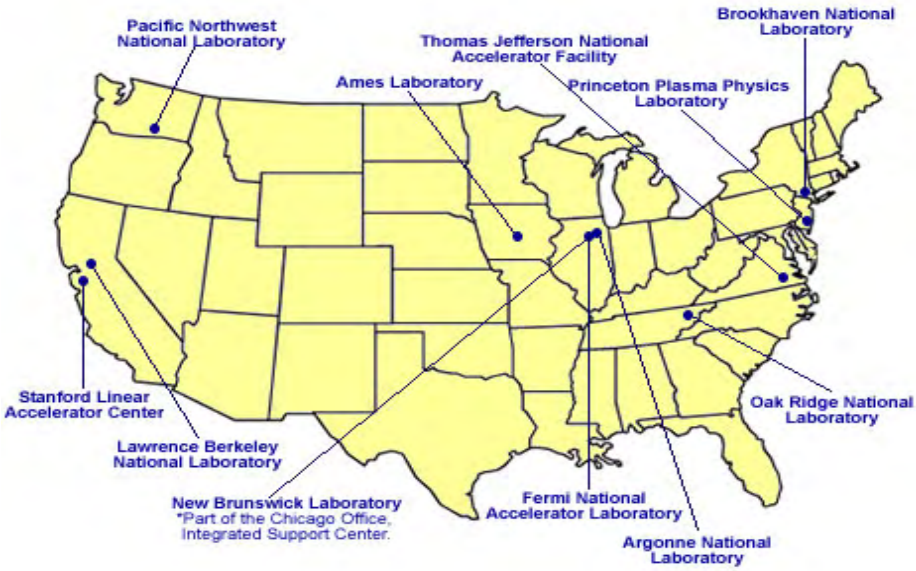
INTRODUCTION

Today Chicago is responsible for about $3 billion of DOE research, development, and other activities involving almost every Departmental program in all 50 states, Puerto Rico, the Virgin Islands, and 30 foreign countries. SC is the largest funding program in this mix, with Chicago responsible for $2.3 billion, or about 85 percent of the funds Chicago manages.



Providing Integrated Support to the Office of Science

The Chicago and Oak Ridge Offices comprise the SC Integrated Support Center (ISC). The Chicago and Oak Ridge Managers directly report to SC's Deputy Director for Field Operations (DDFO) who, in turn, reports to the Director of the Office of Science. The ISC supports the SC mission to safely foster, formulate, and support the Research Programs. Chicago and Oak Ridge provide safety, business, technical, and administrative support to the SC complex, other DOE program offices, and, as appropriate, other federal agencies. ISC services provided to each SC Site Office are pre-arranged, as described in an annual Service Plan. This Plan is annually adjusted to reflect changing needs of the Site Offices and to make most effective use of the resources and capabilities the ISC partners bring to the support of DOE mission accomplishment.



FY 2007 Goals

Seven overarching goals governed the work of Chicago for FY 2007:

- We will successfully achieve our assigned mission as a part of the ISC for SC while we continue to support the overall DOE objectives.
- We will build upon our reputation as the Office of Choice for services.
- We accept challenges and work together to meet those challenges as a way of helping us grow as an organization.
- We will seek new methods to improve customer service to the SC Site Offices and Headquarters (HQ).
- We will serve as the change agent within SC by leading the reengineering of the management systems for SC Operations and we will make sure these changes lead to efficiencies in how we do our work.
- We will continue our self-examination, making changes that will assist us in achieving our mission.
- We will effectively utilize human capital strategies to attract, develop, and retain a highly qualified, technically competent, diverse workforce to meet our current and future mission needs and ensure our reputation as the Office of Choice remains unchallenged.

Summary of FY 2007 Accomplishments

As we look back on the challenges of FY 2007, the ISC partners do so recognizing they have built a solid and growing base of accomplishment and increasing familiarity and confidence in our integrated approach. In the last year Chicago and Oak Ridge made important contributions to advancing SC's management objectives. Working through the ISC concept of integrated support, the partners made significant progress on SC reengineering by taking a lead role for the SCMS. In this partnership, Chicago and Oak Ridge provided the majority of system owners, 16 of 19 Primary Management System Owners (MSO) and many of the functional specialists making up the teams that are actively developing the components of the SCMS, including streamlined management systems and processes.

Illustrating the power of this ISC partnership, the SCMS has achieved significant milestones reflecting real progress in FY 2007. The Managers of Chicago and Oak Ridge have given this their personal attention, meeting weekly and biweekly with their Primary and Secondary MSOs to monitor progress.

As of the end of FY 2007, Management System Descriptions have been approved and published on SCMS for 14 of 19 Management Systems and associated procedures have begun to be made available as a result of the work of the reengineering teams. Ten Management System teams have met in fully-facilitated workshops, some more than once, to move this process forward. As of the end of FY 2007, of 96 proposed Subject Areas, 58 had been received by SCMS Operations for editing and scheduling and 38 more were pending.

SCMS is well on the way to becoming a practical management system. When fully developed, this web-based management tool will provide a common set of reengineered systems and processes for all SC employees to manage more consistently, efficiently, and effectively. This has been identified by 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 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 and the forging of greater mutual respect and closer ties among functional specialists.

Among many areas of notable accomplishment, the ISC partners have helped the DDFO move forward on key priorities by including, for the first time in FY 2007, Joint Operational Goals and Objectives in their respective Annual Performance Plans (APPs). Also beginning in FY 2007, Chicago and Oak Ridge collaborated to develop and include in plans an Integrated Assessment Schedule (IAS), a major new tool for prioritizing and coordinating reviews done in support of Headquarters and the Site Offices. This key achievement is a major step forward in managing a vital, yet resource intensive, part of SC's oversight process. Lastly, the focus on the DDFO's priorities will sharpen still further in FY 2008 with inclusion, for the first time, of the DDFO's specific, defined goals in the Chicago and Oak Ridge APPs.

In FY 2007 the Chicago Office and its ISC partner in Oak Ridge increasingly helped SC meet emerging operational priorities. For example, in July 2007 the Pacific Northwest Site Office (PNSO) requested assistance from Chicago on the development of a transition plan transferring nuclear safety line management responsibilities of the Radiochemical Processing Laboratory (Building 325) of the Pacific Northwest National Laboratory (PNNL) from the Environmental Management Program to SC. The transition of responsibility was scheduled to take place at the end of FY 2007. Members of the Chicago Office of Safety, Technical, and Infrastructure Services visited Building 325 to assess the facility and began working with PNSO and Oak Ridge to develop a transition plan reflecting the PNSO strategy and goals for accomplishing this task. A plan was rapidly developed which identifies the tasks, deliverables, responsible PNSO lead, supporting ISC technical staff, and completion dates.

In the past year we continued to support the mandated recompetition of the M&O contracts for SC's Laboratories by successfully managing Source Evaluation Board (SEB) processes and executing new M&O contracts for several of these critically important facilities. Chicago led and supported the SEBs that evaluated proposals and awarded new contracts for Fermi National Accelerator Laboratory (Fermilab) in November 2006 and Ames Laboratory in December 2006. In FY 2007 Chicago completed the extension of the M&O contract for Princeton Plasma Physics Laboratory (PPPL) until the end of FY 2008 to permit recompetition. Chicago is also leading and supporting the PPPL SEB and has been assigned a similar role supporting the anticipated Brookhaven National Laboratory (BNL) FY 2008 M&O contract competition.

In addition to direct support of recompetitions, Chicago functional organizations filled a wide variety of M&O contract administration support roles to Site Offices in FY 2007. These included non-SEB M&O procurement business and policy reviews, analysis and advice; property management; work-for-others and technology transfer; small business compliance; human relations policy advice and reviews; safety and other technical reviews; legal support (in some instances through dedicated on-site Chicago staff); public affairs assistance; and broad assistance in multiple functional areas with the development of Performance Evaluation Management Plan (PEMP) performance measures and associated performance assessment. In many instances, M&O support was provided in partnership with Oak Ridge.

Also reflecting the growing potential of the ISC partnership, Chicago launched a revitalized Customer Service Initiative in FY 2007 and Oak Ridge has joined in to make it a truly ISC initiative. Early in FY 2007 a Customer Service Working Group (CSWG) was formed in Chicago with Oak Ridge as active participant. A CSWG Charter was developed which called for the group to revisit the Chicago Customer Service Policy and redevelop it with an ISC focus. This revised ISC Customer Service Policy has been signed by the Chicago and Oak Ridge Managers. The Policy includes high-level Customer Service Standards intended to guide ISC functional organizations in their own planning, including the development, as appropriate, of specific functional Customer Service Standards in their respective areas. Also as a result of Working Group activities, customer surveys were developed to support Customer Interviews with Site Offices supported. The first round of these interviews will be completed in October and the feedback assessed by the Working Group to identify opportunities to improve ISC service delivery. As appropriate, the Chicago and Oak Ridge Managers will discuss the results of this analysis with their respective ISC functional units and provide guidance on any needed service improvements.

In addition to activities arising out of collaborative partnership with Oak Ridge, Chicago has also taken on singular assignments that draw on our organizational strengths and historic relationships.

In FY 2007 Chicago was tasked by SC to assemble and lead a team of Headquarters and field specialists in negotiating unique, pioneering agreements with three Bioenergy Research Centers. These were selected by the Department in June 2007 to bring together multidisciplinary teams of leading scientists to advance research needed to make cellulosic ethanol and other biofuels commercially viable on a national scale. This top priority effort is part of the President's Advanced Energy Initiative.

The challenge for the Chicago-led team was to negotiate agreements with two teams led by National Laboratories and one by a major University and resolve complex procurement, intellectual property, and other issues to permit this vital research to proceed as soon as possible. As a result of this joint Headquarters/field team's successful effort, agreements with all three Bioenergy Center teams were completed before the end of the fiscal year, permitting nearly $30 million in FY 2007 funding to jump-start their research efforts. This funding was in addition to $375 million over five years initially announced, bringing the total investment to more than $400 million, made possible by the successful negotiation and completion of the agreements in FY 2007.

In announcing the additional FY 2007 funding, Under Secretary for Science Dr. Raymond Orbach said, "This early infusion of funds will permit the DOE Bioenergy Research Centers to get to work immediately on the basic, transformational science needed to make environmentally friendly biofuels cost-effective, increase their use for transportation, and help achieve President Bush's goal of reducing gasoline consumption by 20 percent in 10 years."

In FY 2007 Chicago expanded its oversight and line management role for NBL, a government-owned, government-operated nuclear analytical chemistry laboratory located on the Argonne National Laboratory site. NBL was operated by the DOE Office of Health, Safety, and Security until February 1, 2007 when SC assumed full responsibility for operations. Chicago serves as the line management organization responsible for NBL (similar to a SC Site Office), performing the oversight necessary for an operational nuclear facility. Since assuming responsibility for NBL, Chicago assisted NBL with its ongoing transition under the A-76 process and addressing a

number of challenging safety, security, and other operational issues. Chicago worked with NBL to implement the PEMP process to better guide and assess NBL operations. Notable progress has been made in a number of key areas such as developing the nuclear safety basis, improving overall security operations, enhancing classified information security, filling key safety positions, and increasing financial coordination. At the end of FY 2007, NBL is on track to full sustainable operations.

Despite limited operations, NBL exceeded FY 2007 programmatic goals for certified reference material (CRM), measurement evaluation, nuclear safeguards, nonproliferation, and national security assistance and support. There is an increased demand both domestically and internationally for NBL products and services. NBL issued three CRMs important for safeguards measurements worldwide. NBL distributed 522 CRMs to customers, total sales of $335,000, doubling the CRM units sold and CRM sales compared to FY 2006. NBL increased international customers (e.g., China, Monaco, URENCO, Japan, and Department of Homeland Security) and expanded its business lines. NBL also decreased its nuclear material inventory through a number of reduction campaigns. This helps the safety and security posture of the Laboratory. NBL also increased work-for-others funding and increased CRM prices to better ensure full cost recovery. NBL program activities are expanding to meet customer's needs.

All these activities were accomplished in addition to the usual procurement, financial, and other business services associated with SC's growing, multi-billion dollar science and technology portfolio, carried out through thousands of grants, contracts, and other financial instruments, across the nation and around the world. Successfully managing these responsibilities to the standards demanded by the public trust placed in us and the oversight scrutiny in which we operate calls for the best efforts and professional competence of our staff. Additionally, the growing and changing requirements for support in a variety of functional disciplines demands that we invest appropriate resources in development and training to assure that we have the people and skills we need to fulfill DOE and SC's vital missions. With the retirement of some of our most experienced people and other resource constraints, this will be one of our greatest challenges in meeting the expectations of customers and stakeholders in the years ahead.

Chicago Mission

Partner and Service Support Leader

Chicago is a critical element of the SC program execution and implementation capability. In this role, Chicago supports the SC mission to foster, formulate, and support forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish DOE missions. Chicago provides business, technical, and administrative support to the SC Laboratory Site Offices and SC-HQ elements. As a strong partner and service support leader, Chicago provides similar assistance to other DOE offices and other Federal agencies that execute programs through Chicago based on agreements with those organizations. Chicago also manages assigned DOE Centers of Excellence.

Chicago Vision

Leadership in Partnership

The Chicago Office is a DOE leader in providing effective and efficient delivery of essential support services for SC and our other program sponsors. We demonstrate this leadership in strong partnership with the Oak Ridge Office under the Integrated Support concept. Our strategic, integrated support enables our sponsors to achieve programmatic success in protecting national, energy, and economic security with advanced science and technology. We are always committed to enhancing strong partnerships with program sponsors, laboratories, industrial partners, and stakeholders. Chicago is part of an integrated team devoted to accomplishing our agency responsibilities and its programmatic commitments to mission accomplishment supporting national goals and objectives. In doing so, we place particular emphasis on supporting the mission of our primary customer, the Office of Science:

> *"…to deliver the remarkable discoveries and scientific tools that transform our understanding of energy and matter and advance the national, economic, and energy security of the United States."*
>
> *Strategic Plan of the Office of Science, February 2004*

Organizational Structure

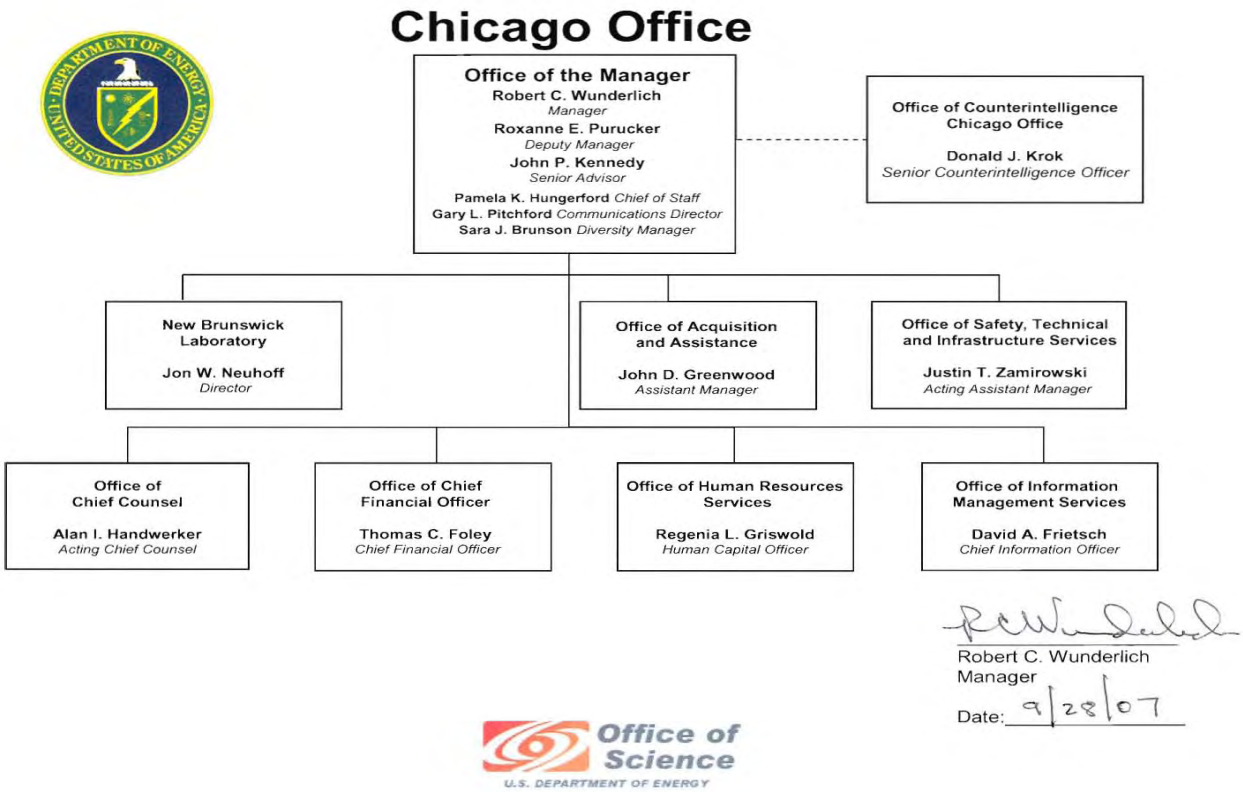
Focus on Integrated Management

Integrated management is the key to providing Integrated Support to SC and other program customers. The ISC provides services through the integration of the capabilities of the Oak Ridge and Chicago Offices. These services are provided to support the total SC enterprise and are designed to ensure effective customer support and operating efficiency. Although Chicago and Oak Ridge have assigned responsibilities, they act as one unit to apply appropriate

resources. Chicago is organized to provide integrated delivery of the following best-in-class business, technical and administrative services:

- Performance-based management of the projects, property, physical plant and operation of government-owned, contractor-operated Laboratories. Technical and management support to the Site Offices that oversee eight of the ten SC national laboratories, including Ames Laboratory, Argonne National Laboratory (ANL), Brookhaven National Laboratory (BNL), Fermi National Accelerator Laboratory (Fermilab), Lawrence Berkeley National Laboratory (LBNL), Pacific Northwest National Laboratory (PNNL), Princeton Plasma Physics Laboratory (PPPL), and the Stanford Linear Accelerator Center (SLAC).
- Performance-based management of NBL, a government-owned and government-operated nuclear analytical chemistry laboratory that is a Center of Excellence in the measurement science of nuclear materials.
- Corporate management services including management of acquisition and financial assistance instruments; financial services; general and intellectual property legal services; and technical, infrastructure, analytical, human resources, information management, and administrative services.
- Performance-based management of programs and projects delegated by DOE program partners, such as the Office of Electricity Delivery and Energy Reliability (OE) and the Office of Emergency Response.

The organization structure changed with the transfer of staff and functions from *Management Analytical and Administrative Services* to the *Office of Information Management Services* and *Office of Safety, Technical and Infrastructure Services*.

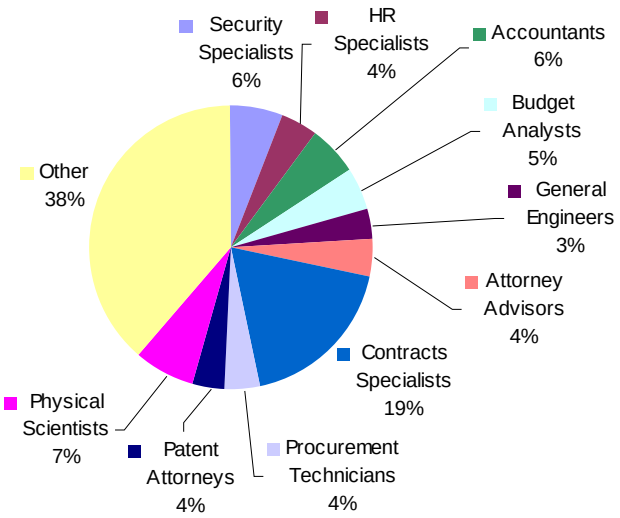


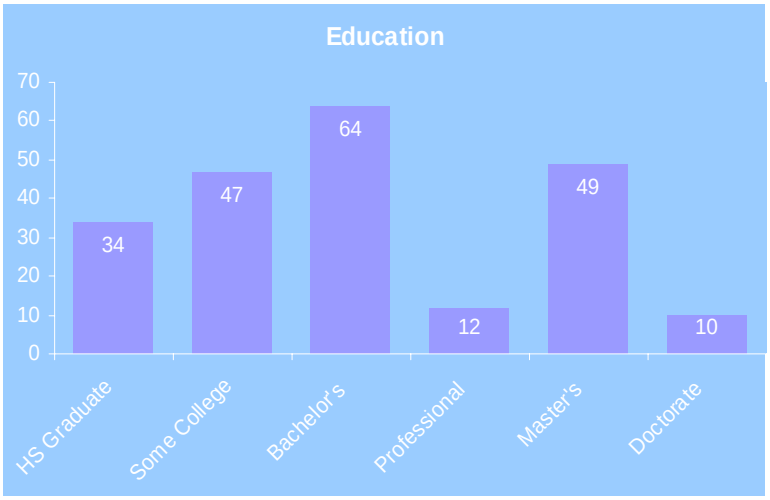
Chicago Office Employees

Human Capital is Our Greatest Resource

Chicago's success is due to the strength, professionalism, and capability of its employees. Taking on additional work, rising to the challenge of new business systems, and adapting to change, Chicago employees' capabilities are recognized and respected throughout the Department. The Office is well known as an integrated team, skilled in DOE and Federal business and technical systems, which rises to new challenges.

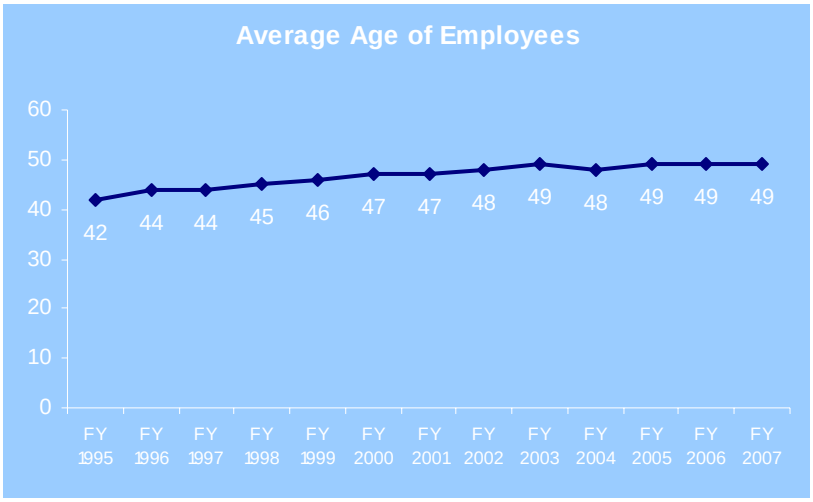
Job Series

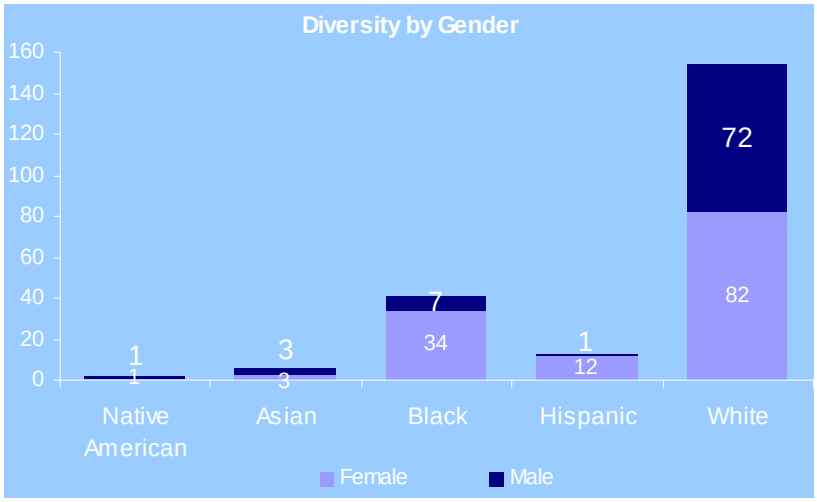




Our highly qualified employees have attained and continue to pursue degrees, licenses, certifications, and continuing education credits to meet the ever-increasing demands for knowledge and skills. The 63 percent of Chicago employees with Bachelor's degrees or higher compares favorably with the Office of Personnel Management (OPM) Fact Book (2005 Edition), which reported 42 percent college-confirmed Federal employees.

OPM reported that in FY 2004 the average age of Federal employees was 47. In FY 2007 the Chicago average is higher at 49, but lower than the SC average of 50 (in FY 2006).





The Chicago workforce includes 29 percent minorities, which compares favorably to the DOE-wide total of 23 percent and the SC-wide representation of 22 percent.

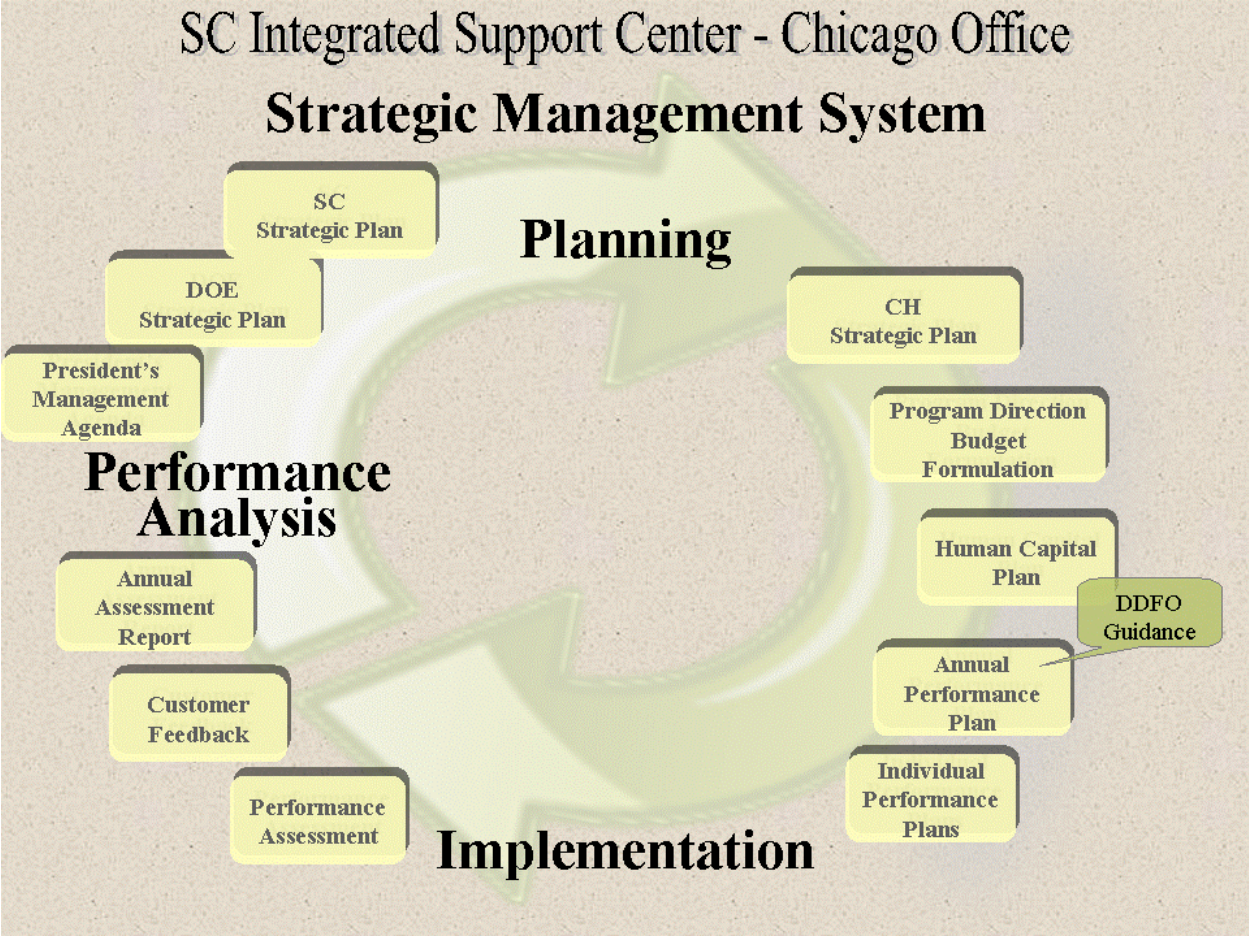
Female representation is 61 percent, considerably more than the DOE-wide representation of 37 percent (FY 2006-2010 DOE Strategic Human Capital Management Plan), 51 percent for SC, and 44 percent for Federal employment (FY 2005 OPM Fact Book).

Strategic Management System

Priority-Based Management Cycle

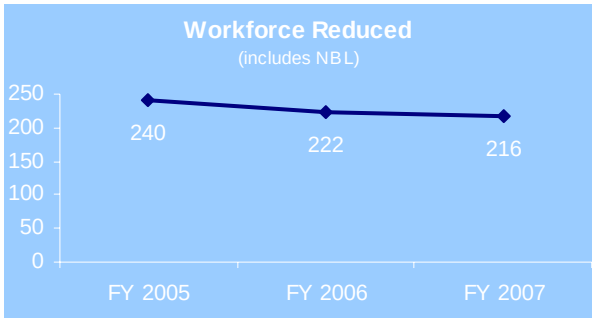
The Strategic Management System integrates components of Chicago into one coherent system enabling the achievement of our mission and vision. The linkage between strategic and annual planning, allocation of resources based on priorities, and evaluation of performance results, integrates management into a system that maintains continuous rigor and control. Chicago continues to meet and exceed expectations laid out in its Strategic Management System by maintaining rigorous and disciplined strategic and annual planning efforts; setting balanced, specific, and measurable objectives; and conducting quarterly assessments of corporate performance.

The Strategic Management System is made relevant to all employees through a structured flow-down from the Strategic Plan to the Annual Performance Plan with specific linkages to individual performance expectations.

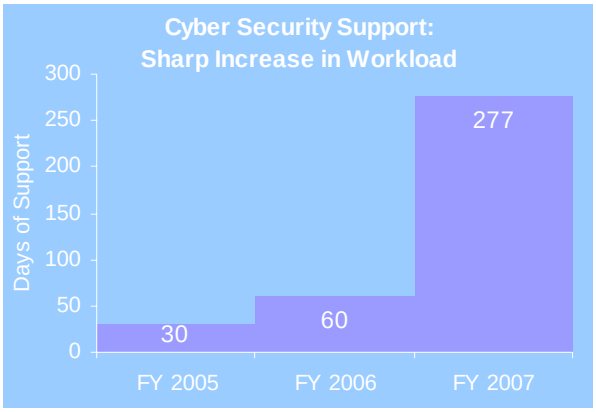


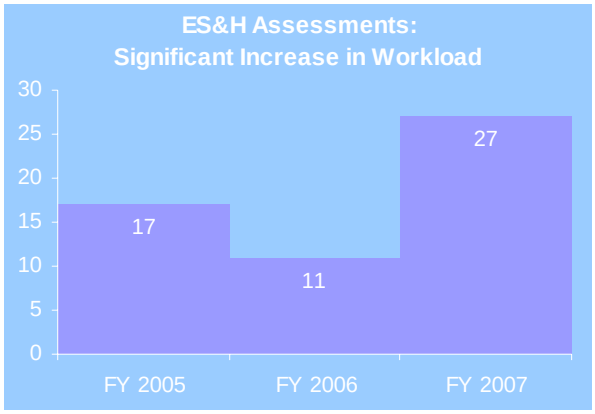
Performance

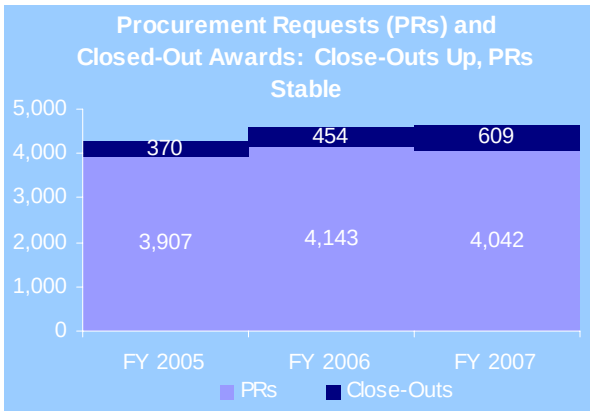
Maintaining High Workloads with Fewer Staff

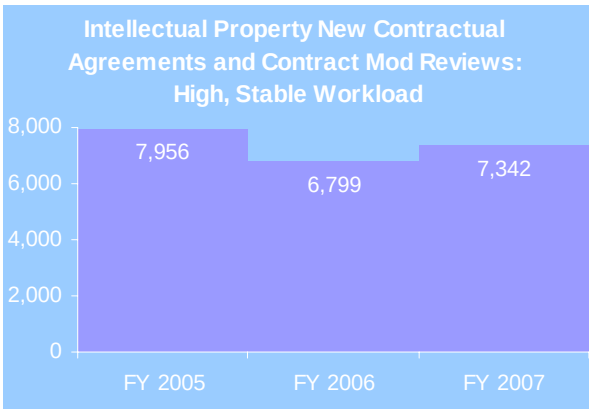


Chicago tracks workload trends through a number of indicators representative of the work of the office. In the past three years, Chicago experienced a 10 percent decline in staffing while workloads in most areas remained steady and several increased significantly. For example, support for cyber security increased almost ten-fold, the number of Environment, Safety, and Health assessments increased 160 percent and the procurement workload remained high, although stabilized. The staff rallied again this year to maintain the record set in FY 2006 for procurement requests (PR) processed and to increase the number of financial assistance awards.







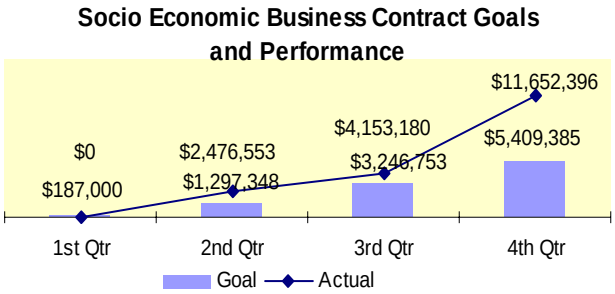


Increased expectations for NBL performance in nuclear safety, safety, financial management, and procurement functions added to workloads in those areas. In addition, SCMS development required a significant amount of staff time across the Office.

Each Chicago organization participated extensively on these and other team efforts, achieving SC or Chicago-wide goals, while also keeping a focus on achieving their organization's functional requirements. Listed below are the highlights of each Chicago organization's performance.

Office of Acquisition and Assistance (ACQ)

- Served as the MSO for the Financial Assistance Management System and M&O Contracting System for SCMS. Also served as team members for the Financial Assistance Management System, M&O Contracting System, and Non-M&O Contracting System development.
- Participated in the joint Headquarters/field team's successful negotiation and placement of the agreements for the three new Bioenergy Research Centers to bring together multidisciplinary teams of leading scientists to advance research needed to make cellulosic ethanol and other biofuels commercially viable on a national scale. Made selections and concluded negotiation with two DOE Labs - Oak Ridge National Laboratory (ORNL) and Berkeley Laboratory (LBNL), and the University of Wisconsin.
- Processed 4,042 PRs. Received PRs as late as September 21, 2007 for award by September 30, 2007.
- Selection activities for a new CH technical support services contractor are progressing. The current contract expires February 14, 2008.
- Supported the development of several SC M&O contract actions, including the SLAC Extend/Compete package, and the PPPL contract extension-modification.
- Successfully completed the selection process for a contractor to manage and operate Ames Laboratory. A new contract was awarded December 2006.
- Supported the selection process for a contractor to manage and operate Fermi National Accelerator Laboratory. A new contract was signed November 2006.
- Leading the source selection activities for a contractor to manage and operate Princeton Plasma Physics Laboratory. The SEB was established in February 2007.
- Anticipated achieving a Socio Economic Business Contract goal of $6.2M, a revised projection from the original $5.4M estimated for FY 2007. Due to the placement of an unanticipated information technology (IT) support services contract, total obligations to small businesses exceeded $11.6M.

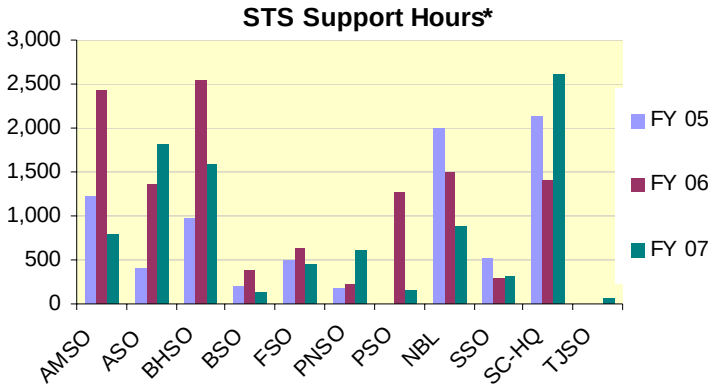


- Awarded all new support service contracts to small businesses utilizing Performance Based Service Contracts, exceeding the DOE Procurement Balanced Scorecard target.

- Retired 609 inactive awards in FY 2007 far exceeding the goal of 425. This number of retirements represents an all-time high in the number of annual retirements achieved.
- Performed 58 alternate and independent reviews. The number was lower than projected due to the 2007 Continuing Resolution, completion of major M&O competition activities and the transfer of the Mixed Oxide (MOX) Fuel program.
- Completed a self-assessment of Purchase cards and initiated corrective action with Card Holders and Reviewing Officials. Completed an internal Procurement Management Assistance Review (PMAR) and discussed with Division Directors and Team Leaders. Findings are a reflection of our staffing shortage and large workload. Prioritized updating of ACQ's policies and procedures is progressing slower than anticipated. Participated in a procurement review at the Energy Technology Center. Delayed planned visits to several other agencies for benchmarking related activities until FY 2008 due to workload.
- Achieved the goal of 80% of the contracting staff meeting their required certification level (32 out of 40 contract specialists).

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

- Provided strong leadership for development of SCMS (established/deployed joint Chicago and Oak Ridge Team, conducted 10 reengineering workshops, published 14 management system descriptions (MSD)), including development of system descriptions, subject area expertise, and system ownership and guidance.
- Served as the MSO for the Real Property Management System and Quality Assurance and Oversight System, and the secondary MSO for Environment, Safety, and Health System, and provided many team members to SCMS.
- Developed control and guidance documents including Chicago Functions, Responsibilities and Authorities Manual (FRAM); Environment, Safety, and Health procedures; operational safety training, etc.
- Provided Safety and Technical Services (STS) support to:
  - NBL (Building 350 Documented Safety Analysis (DSA) Review, internal unit quality assurance assessment);
  - Ames Site Office (industrial hygiene, National Environmental Policy Act (NEPA), Continuity of Operations, emergency management and readiness, and training);
  - Argonne Site Office (Building 205 DSA review, contractor assurance

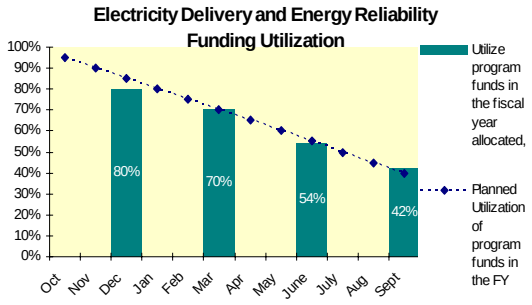


* Note: STS work after February FY 2007 does not include functions transferred to STI-Program Support Services

system assessment, hazardous waste management review, Environmental Management Systems (EMS) reviews, and NEPA support);

- o Brookhaven Site Office (Resource Conservation and Recovery Act (RCRA) compliance and material handling operations and equipment reviews, DSA review of the Brookhaven Graphite Research Reactor (BGRR), 10 Code of Federal Regulations (CFR) 851 worker safety and health plan reviews, and fire protection assessment);
- o Fermi Site Office (fire protection assessment and floodplain assessment);
- o PNSO (Building 325 transition plan, package certification assistance);
- o Princeton Site Office (PSO) (member on the SEB); and
- o Oak Ridge (Operational Readiness Review (ORR) team fire protection subject matter expert for the Molten Salt Reactor Remedial Action).

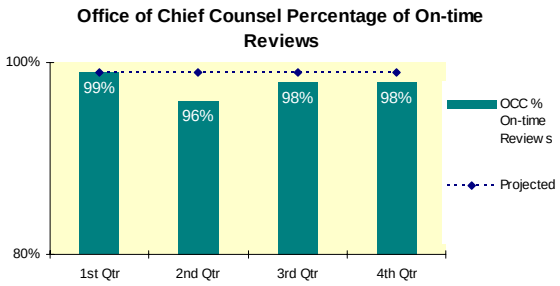
- Served as team leader for rewrite of DOE Manual 470.4-3 and member for rewrite of Manuals 470.4-4 and 4-5
- Conducted technical security reviews for BNL, NBL, ANL, and Chicago.
- Provided Radiological Assistance Program (RAP) support including 25 training and outreach activities and assistance for numerous major events.
- Conducted assessment of the proposed $1.5 billion Facility and Infrastructure Modernization Initiative and developed approach description for program implementation.
- Served on behalf of the OE Program as the program manager for 10 projects, including $11.6 million new award on superconductivity.
- Completed Facilities Information Management System (FIMS) Data Validations (ANL, BNL, Fermilab, PPPL, Ames, and Notre Dame Radiation Laboratory (NDRL)).



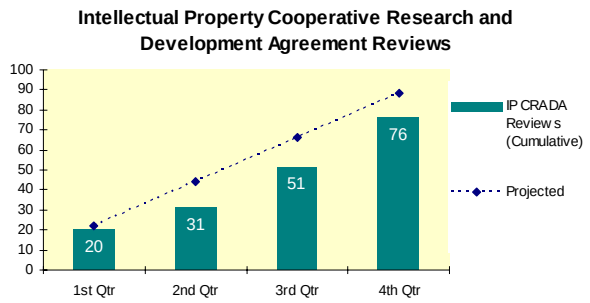
- Completed approximately 70 real estate reviews and actions for SC (BNL, LBNL, SLAC, and ANL).
- Completed 11 Contractor Oversight Assessments for the Congressionally-Mandated Construction Grants Program.
- Initiated the development of the Chicago Technical Qualifications Program (TQP).

Office of Chief Counsel (OCC)

- Served as the MSO for the Legal Services Management System; provided team members/subject matter experts to the Legal Services Management and non-M&O contract Management teams; provided consultation for the Requirements Management System and provided general review support to all others.



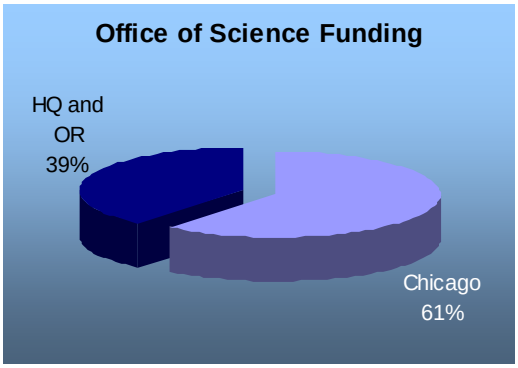
- Achieved greater than 95% on-time legal reviews, with the average review conducted in less than 2 days.
- OCC-General Law reviewed over 700 contract and other legal documents.
- Provided legal support to SC in the preparation of the Funding Opportunity Announcement for the Bioenergy Research Centers. Assisted SC in the timely award of three Bioenergy Research Center Agreements.
- Monitored and provided general intellectual property (IP) support and counsel to the Office of Nuclear Energy (NE) in regard to the Global Nuclear Energy Partnership (GNEP) and Next Generation Nuclear Plant (NGNP) programs.
- Provided IP support to NE for the Nuclear Power (NP) 2010 program, a joint government/industry cost-shared effort to identify sites for new nuclear power plants, develop and bring to market advanced nuclear plant technologies, evaluate the business case for building new nuclear power plants, and demonstrate untested regulatory processes. Provided review of requested IP changes to NP2010 contracts and subcontracts and provided counsel regarding requested changes to the patent waiver provisions.
- Provided support to the Office of Energy Efficiency and Renewable Energy (EERE) in effectuating guidelines for FreedomCAR, Hydrogen Fuel, and 21st Century Truck regarding data treatment under Cooperative Research and Development Agreements (CRADAs) and Work for Others (WFOs).



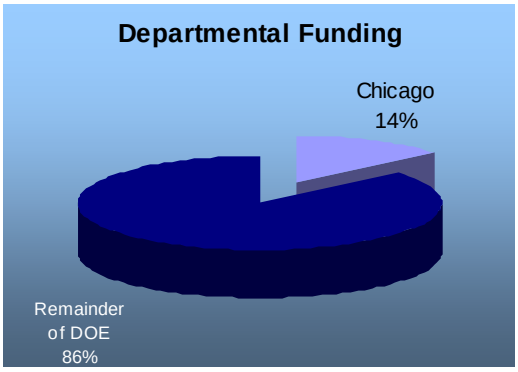
- Provided IP support to SC in effectuating awards made under the 2006 Innovative and Novel Computational Impact on Theory and Experiment (INCITE) program.
- Processed 22 inventions in FY 2007.
- Presented a proposal to abbreviate legal reviews to the DOE General Counsel, with positive reception.
- Exceeded targets for Freedom of Information Act (FOIA) responses by Chicago organizations generally and OCC specifically, with 100 percent on-time reviews with no overdue responses.
- Timely reviewed 181 Office of Government Ethics (OGE) 450 Financial Disclosure Forms, and issued 85 conflict of interest letters.
- Provided significant support to SC through a 90-day detail of an Assistant Chief Counsel as Acting Deputy Chief Operation Officer.
- Provided significant legal support to the Department of Justice in NEPA and Equal Employment Opportunity in a variety of administrative proceedings.

Office of Chief Financial Officer (CR)

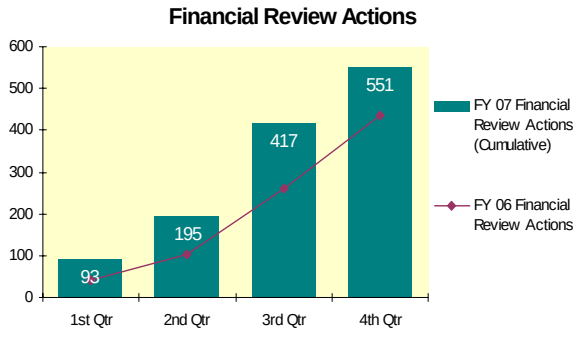
- Served as secondary MSO and provided team members for the Budget and Financial Management System. Drafted procedures and sent to technical editing.
- Continued to provide outstanding financial management services to SC and other Departmental elements. Met the monthly financial reporting requirements of the Standard Accounting and Reporting System (STARS), participated on five contract negotiation boards, and completed user acceptance testing on the Funds Control and Distribution System (FCDS), a new web-based budget system.



- Successfully managed a $3 billion budget (61 percent of the total SC budget and 14 percent of the Department's total budget) by processing contract and grant obligations in a timely manner, providing key financial services to HQ and Site Office staff, and teaming with Oak Ridge to ensure that payments were made in accordance with the Prompt Payment Act.



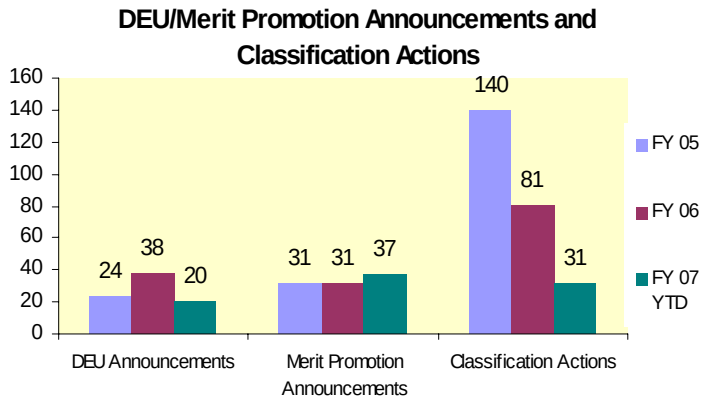
- Continued to exceed local and Departmental financial management expectations through dedication to exemplary customer service, commitment to teamwork, and willingness to accept and manage new responsibilities.
- Provided monthly funding modifications to seven SC Laboratories (ANL, BNL, SLAC, Fermilab, Ames Laboratory, LBNL, and PPPL).
- Completed financial actions for 4,024 procurement requests.
- Met the new aggressive due dates for the development, review and issuance of third quarter and fiscal year-end Financial Statements for the Chicago Office.
- Completed self assessments. A total of 84 processes were documented and tested in line with A-123 internal control requirements, in addition to Federal Manager's Financial Integrity Act (FMFIA) annual assessment.



- Met the Office of Management and Budget (OMB) Circular A-123 internal control processes reporting requirements for Chicago and the Site Offices. Continued towards the improvement of the Funds Control and Distribution System and its interface with STARS.
- Provided financial advice and guidance, and conducted 551 financial reviews for Site Offices, Laboratories and ACQ.

Office of Human Resources Services (HRS)

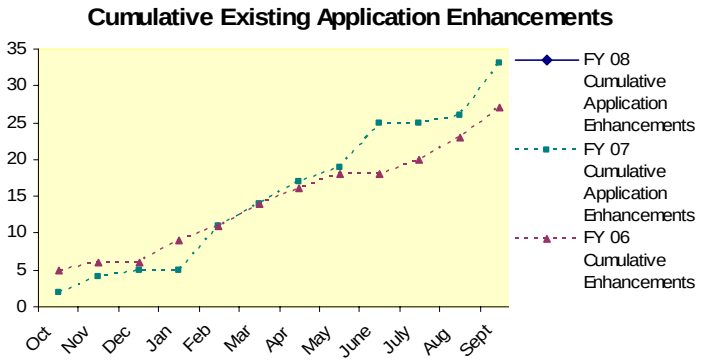
- As the Human Resources MSO, provided guidance to the seven Subject Area Reengineering Teams to ensure that draft procedures were provided to the SCMS Technical Editor in a timely manner and in the prescribed format. Released five Subject Areas (SA) for SC-wide review. Resolved comments for three of the five, one of which (Employee/Labor Relations) was published October 3, 2007.
- Completed four quarterly audits of personnel actions in accordance with Human Capital Management Accountability Program guidance. Completed Delegated Examining Unit (DEU) audit on schedule, and accomplished monthly recruitment timeframe reporting in accordance with established procedures. No findings of statutory violations affecting pay or appointments during the onsite Human Capital Management Accountability Program (HCMAP) audit conducted August 6-8, 2007 by the Office of Human Capital Management. Developed a corrective action plan with milestones to address the few required actions from the audit related to the lack of written documentation in specific instances.



- Expanded workforce planning, originally developed for Chicago, to the six Site Offices provided HR service by Chicago.
- Issued four Newsletters to address the recommendations of the Chicago Employee Satisfaction Survey Response Team to employees' concerns. Received positive feedback.

Office of Information Management Services (IMS)

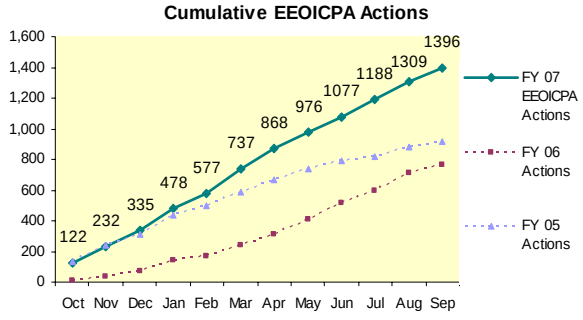
- Participated in SCMS Information Technology Reengineering efforts as Information Technology System MSO. Sent required documentation/procedures to technical editors for review.
- Continued to promote IMS Application Hosting services in support of the OneSC initiative. Hosted information systems integrated into the existing Chicago set of applications as well as non-integrated systems.
- Expanded the access to the Management Decision Support System (MDSS) to SC-HQ.



- Implemented an SC-wide Enterprise Architecture (EA) system including hardware and software purchases, installation, database configuration and development.
- Completed conceptual and logical design models which represent the Federal Enterprise Architecture requirements.
- Implementation of the EA physical model progressed to the development stage.
- Executed plans as defined in the FY 2007-2011 Information Architecture Plan and FY 2007 Operating Plan to the extent that funding levels allowed.
- Provided 483 hours of assistance to Ames and Princeton Laboratories to address recommendations made by the SC Office of Cyber Security and Enterprise Architecture's Site Assist Visit team to improve their cyber security environments.
- Continued to improve the cyber security environment through implementation of state-of-the-art technologies which ensure data confidentiality, integrity, and availability risks are mitigated to an acceptable level.
- Implemented an automated personal computer security configuration, monitoring and reporting process to meet Federal Information Security Management Act (FISMA) requirements.
- In collaboration with the Oak Ridge Office, assisted with the IT transition of Stanford Site Office (SSO) to Oak Ridge on schedule. Agreed to continue providing local IT support to SSO.

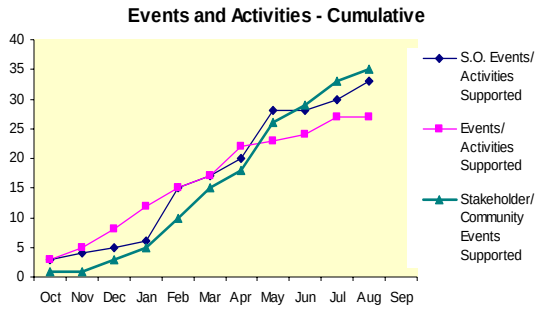
Office of Management Analytical and Administrative Services (MAAS)

- Participated in SCMS development in several management system areas: co-owner of the Records Management System, secondary MSO and team member of the Requirements Management System, and Lead Subject Matter Expert in the Quality Assurance and Oversight Management System.
- Completed a self assessment of the Customer Service Program and the results were presented to the Customer Service Committee.
- Achieved 99.5% availability of MDSS during business hours.
- Added a Rewards and Recognition function to MDSS, automating the award nomination process.
- Processed a record number of Energy Employee Occupational Illness Compensation Program Act (EEOICPA) actions.
- Through close monitoring of ANL bill charges, reduced administrative costs for the Office in FY 2007, even though ANL increased their rates for some services.
- Updated and reviewed organizational performance and workload indicators quarterly.



Office of the Manager - Communications (OMC)

- Secondary Management System Owner in SCMS for Communications and Public Affairs Management System and lead for two Subject Areas.



- Provided support to all Subject Area Teams.
- Established Customer Service Working Group under the leadership of the Chicago Deputy Manager. Oak Ridge joined the effort in late FY 2007.
- Provided support to SC Communications Director on SC Weekly Communications Report, Monthly SC Communications calls as host, and Special Initiatives.
- Provided support to Site Offices in developing and administering public affairs and other communications performance measures and metrics. Coordinated day-to-day oversight of laboratory communications activities on behalf of Site Offices served.
- Planned, executed and/or supported multiple communications outreach activities to advance public understanding of DOE missions and goals, including speeches, open houses, and community events.

Office of the Manager - Diversity (OMD)

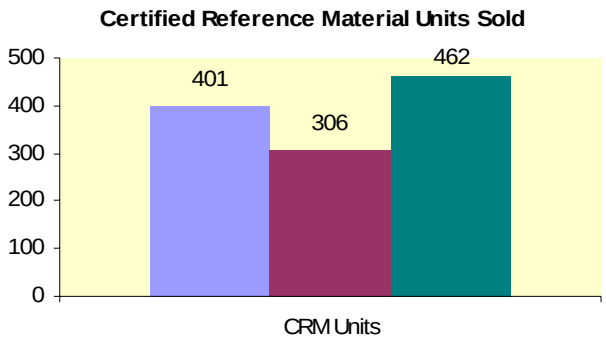
- Hosted a Volunteer Service Fair in April 2007 in conjunction with National Volunteer Week, a week set aside to honor community service and volunteerism throughout America. Local volunteer service organizations were invited to distribute information about volunteer service opportunities. Chicago employees have a long history of generously giving their time and talents to make positive contributions to the communities where they live and work.
- Celebrated Chicago's diversity with the 7th Annual Unity Day Celebration. The theme was "Children of All Ages". Workshop entitled "Generational Differences" by Sean Clayton and Jeffery Vargas was very well received by Chicago employees. The afternoon included "Games from our Childhood" which was an excellent team building event.
- The Manager's Unity Achievement Award is an honorary award, in the form of a plaque, given to an individual employee or group/team of employees who clearly demonstrate that they embody the values of simultaneously building unity while honoring diversity. The award is presented at the annual Unity Day celebration, a living example of inclusion, respect and community. Rory Simpson, of the Argonne Site Office received this year's Unity Achievement Award for providing his DOE expertise to a critical nationwide call for help to assist the many victims of Hurricane Katrina by putting contracts in place to facilitate disaster recovery efforts. His enthusiastic readiness to take on this task brought

respect and appreciation from his co-workers. The Brookhaven Site Office also received a Unity Achievement Award for displaying and fostering an environment of unity by hosting an Annual Diversity Day Celebration. This event enriched their working relationships and afforded them a more cohesive organization.

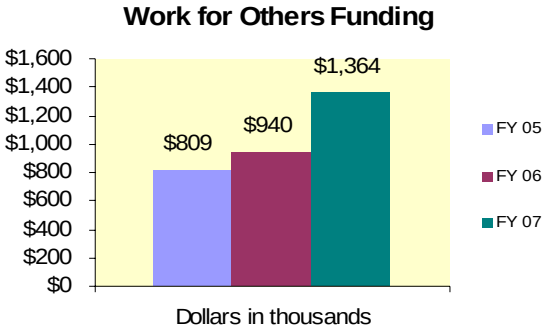
- Hosted premier cultural events to celebrate nationally proclaimed observances. Highlights in FY 2007 included a Latino Dance troupe to honor Hispanic Heritage Month; Chief Laughs a Lot for Indian Heritage Month; the authors of "Einstein on Race and Racism" for Black History Month; and a series of movies and speakers.

New Brunswick Laboratory (NBL)

- Exceeded FY 2007 goals for certified reference material (CRM), measurement evaluation, nuclear safeguards, nonproliferation, and national security assistance and support.
- An NBL-drafted total evaporation standard was approved as a new American Society of Testing and Materials (ASTM) International test method.
- Issued a uranium (U) assay standard and two U isotopic standards, important for safeguards measurements worldwide.



- Distributed 522 CRMs to customers, total sales of $335,000, doubling the CRM units sold and CRM sales compared to FY 2006. New CRM customers were added in China and Monaco (International Atomic Energy Agency (IAEA)).
- Shipped Measurement Evaluation Program (MEP) samples, analyzed data, and provided on-time reports; completed Phases I/II of an upgrade to the MEP database; added URENCO, Inc. and a Japan facility to the MEP. The FY 2007 Annual MEP Meeting was held and the meeting minutes were published ahead of schedule.
- Completed certification work for a Calorimetry Exchange Standard used in plutonium/neutron measurements.
- Coordinated safeguards/measurement support for Oak Ridge Institute for Science and Education (ORISE), East Tennessee Technology Park (ETTP), Savannah River, Paducah, Portsmouth, ORNL, ANL, BNL, and LBNL (increased requests over FY 2006).



- Enhanced business and brought in new customers – Homeland Security, Argentina, IAEA, Brazil, European Atomic Energy Community (EURATOM), France, Japan, China, Kazakhstan, United Kingdom, and Russia.
- Completed transition of program sponsorship from HSS to SC on February 1, 2007.

- Completed a CRM pricing study and increased the prices of 17 CRMs to better ensure cost recovery.
- Restructured the organization in FY 2007 and received approval of a Letter of Obligation (LOO) that accurately describes new organizational functions. Stood-up the Residual/Most Efficient Organization, and performed post-competition accountability activities. Tracked LOO metrics to guide NBL priorities.
- Integrated and improved safety, security and quality assurance activities after obtaining staff and contractor support proficient in these functions.
- Completed four nuclear material inventory reduction campaigns that resulted in a total plutonium (Pu) reduction of 1394g Pu and 163g of Pu slated to be disposed of as waste.
- Made significant progress on the DSA for NBL – 90% product will be completed by the end of calendar year 2007.
- Increased WFO funding, from $940,000 in FY 2006 to $1,364,000 in FY 2007, and ensured full cost recovery.

Community Outreach

Good Neighbors - Making a Difference

One of the Chicago values that is shared and exemplified by the employees is that their responsibilities extend beyond the doors of DOE and its partners, into the community, and the country as a whole. Chicago involvement in outreach activities has been wide-ranging and far-reaching, from assisting with local community leaders to raising over $55K for the Combined Federal Campaign. These and other outreach activity highlights are described below:

Local Community Outreach

Argonne Site

Argonne National Laboratory occupies 1,500 wooded acres in DuPage County, IL, about 25 miles southwest of Chicago.

In FY 2007 Chicago continued its outreach to a number of communities affected by or interested in DOE activities at its sites. For example, Chicago and the Argonne Site Office partnered with Argonne National Laboratory on the joint DOE/Argonne Community Leaders Round Table, with four regular meetings and two special focus event held this fiscal year. Chicago community outreach activities in FY 2007 included participation in: the Argonne National Laboratory Open House, helping to inform thousands of Chicago-area residents about the Department and the Laboratory's programs and accomplishments; the Naperville, IL, Energy Fair, highlighting the Department's research into new energy technologies; and 31 area public meetings in support of the Global Nuclear Energy Partnership (GNEP) initiative, which is considering two possible sites in northern Illinois in the NEPA process. Chicago helped plan these meetings for the Office of Nuclear Energy, performed outreach to communities to inform them about the opportunities to participate, helped coordinate and staff the meetings, and answered stakeholder inquiries about it. Chicago representatives also continued to work closely with the University of Chicago and National Institutes of Health in developing communications and involvement plans to explain the new Harold T. Ricketts Laboratory to Argonne site employees and the surrounding community.

Chicago closely monitored and encouraged on-going efforts at Fermi National Accelerator Laboratory involve the community in dialogue and discussion of issues of community interest and concern, especially possible plans to site a future International Linear Collider at Fermilab. A structured forum has been successfully established and is constructively interacting with the Laboratory. Chicago is similarly involved in support of the Site Offices associated with Ames Laboratory and Brookhaven National Laboratory in efforts at those sites to build and maintain positive community relationships.

Chicago also directly interacts with community representatives through meetings with local homeowners associations near the Chicago office at the Argonne site and through Speaker Bureau activities that make Chicago employees available to local area civic groups.

Combined Federal Campaign (CFC)

CFC fund-raising efforts exceeded expectations. The Office raised money for local, national and international charities through individual donation, sales, and other activities. Chicago earned the Combined Federal Campaign Gold Award by exceeding its goals.

Intern Opportunities at Chicago

The Office of Environmental Management continued their partnership with the United Negro College Fund Special Programs (UNCFSP) to provide college students a summer internship at a DOE facility. The Mentorship for Environmental Scholars (MES) Internship program is a ten-week paid summer internship that provides underrepresented undergraduate students with exposure to DOE and DOE laboratories. Internship opportunities are open to full-time undergraduates who are underrepresented in the Science, Technology, Engineering, and Math (STEM) disciplines. The internship awards provide stipend, housing and travel support.

Mr. Clarence Brown (UNCP) & MAAS Intern Gordon Cone from Savannah Georgia

Mr. Gordon Cone, an Electronics Engineering Major assisted in updating the Integrated Assessment Schedule, the SC assessment planning tool, to synchronize Chicago Office data with Oak Ridge Office data.

Beth Crowe ~ HR Intern

The Chicago Office is also supporting under the Student Career Experience Program (SCEP), student trainee (Human Resources) Beth Crowe. Beth is currently pursuing a Bachelor's degree in Human Resources and will graduate in 2007. HRS' goal is to develop Beth by giving her assignments to prepare her for a position as an HR Specialist.

Employee Association - Chicago Public Schools Supply Drive

The DOE-CH community demonstrated its generosity and willingness to support those less fortunate through its overwhelming support of the school supply drive sponsored by the DOE-CH Employee Association. Donations were provided to an elementary school and a high school in Chicago to benefit economically disadvantaged and homeless students.