



FY 2009

**Performance Evaluation of
UChicago Argonne, LLC**

for the

**Management and Operation of
Argonne National Laboratory**

**Office of Science
Argonne Site Office
December 2009**



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I. OVERALL SUMMARY RATING/FEE

Performance-Based Score and Adjectival Rating

The evaluation of UChicago Argonne, LLC's (the Contractor) management and operation of the Argonne National Laboratory (the Laboratory) during FY 2009 centered on the results of meeting Objectives found within the following Performance Goals:

- 1.0 Provide for Efficient and Effective Mission Accomplishment (Quality, Productivity, Leadership, & Timeliness of Research and Development)
- 2.0 Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Facilities
- 3.0 Provide Effective and Efficient Science and Technology Research Project/Program Management
- 4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory
- 5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection
- 6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)
- 7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs
- 8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems

Each Performance Goal was composed of two or more weighted Objectives, and most Objectives had a set of performance measures which served as the basis in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identified significant activities, requirements, and/or milestones important to the success of the corresponding Objective. The following describes the methodology utilized in determining the Contractor performance rating.

Each Objective within a Goal was assigned a numerical score by the evaluating office. Each evaluation measured the degree of effectiveness and performance of the Contractor in meeting the Objective and was based on the Contractor's success in meeting the set of Performance Measures/Targets identified for each Objective, as well as other performance information available to the evaluating office from other sources to include, but not limited to, the Contractor's self-evaluation report, operational awareness (daily oversight) activities; "For Cause" reviews (if any); other outside agency reviews {Office of Inspector General (OIG), Government Accountability Office (GAO), Defense Contract Audit Agency (DCAA), etc.}, and the annual 2-week review (if needed). If no performance measures/targets were utilized, the description of the general expectations for the success of the objective was utilized as the baseline for the effectiveness and performance of the Contractor in meeting the corresponding Objective and in determining the score assigned. The Goal score was then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values were then added together to develop an overall score for each Goal. This score was then compared to Table A to determine the overall grade for each Goal. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. The raw score (rounded to the nearest



hundredth) from each calculation was carried through to the next stage of the calculation process. The raw score for Science and Technology and Management and Operations was rounded to the nearest tenth of a point for utilization in determining fee as discussed below. A standard rounding convention of x.44 and less rounds down to the nearest tenth (here, x.4), while x.45 and greater rounds up to the nearest tenth (here, x.50).

Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F
Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0

Table A – FY 2009 Contractor Letter Grade Scale

Based on the evaluation of the UChicago Argonne, LLC’s performance against the Goals and Objectives contained within the FY 2009 Performance Evaluation and Measurement Plan (PEMP), the scores and corresponding grades awarded for each are provided within Table B below. Specific information regarding the Contractor’s performance in meeting each of the Goals and their corresponding Objectives is provided within Section II of this report.

S&T Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
1.0 Mission Accomplishment	3.7	A-	37.8%	1.39	
2.0 Design, Fabrication, Construction and Operations of Facilities	3.7	A-	35.6%	1.30	
3.0 Science and Technology Research Project/Program Management	3.5	A-	26.6%	0.94	
Total Score					3.6/A-
M&O Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
4.0 Leadership and Stewardship of the Laboratory	3.5	A-	25%	0.88	
5.0 Integrated Safety, Health, and Environmental Protection	2.8	B	25%	0.71	
6.0 Business Systems	3.5	A-	20%	0.70	
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio	3.1	B+	20%	0.62	
8.0 Integrated Safeguards and Security Management and Emergency Management Systems	3.2	B+	10%	0.32	
Total Score					3.2/B+

Table B – FY 2009 Contractor Evaluation Score Calculation



Performance-Based Fee Earned

Utilizing Table B, above, the scores for each of the Science and Technology (S&T) Goals and Management and Operations (M&O) Goals were multiplied by the weight assigned and these were summed to provide an overall score for each. The percentage of the available performance-based fee that was earned by the Contractor was determined based on the overall weighted score for the S&T Goals (see Table B) and then compared to Table C, below. The overall numerical score of the M&O Goals from Table B was then utilized to determine the final fee multiplier (see Table C), which was utilized to determine the overall amount of performance-based fee earned for FY 2009 as calculated within Table D. Based on the overall performance within the S&T and M&O Goals, the Contractor is awarded \$4,982,000 in performance-based fee for FY 2009.

Overall Weighted Score from Table B	Percent S&T Fee Earned	M&O Fee Multiplier
4.3	100%	100%
4.2		
4.1		
4.0	97%	100%
3.9		
3.8		
3.7	94%	100%
3.6		
3.5		
3.4	91%	100%
3.3		
3.2		
3.1		
3.0	88%	95%
2.9		
2.8		
2.7	85%	90%
2.6		
2.5		
2.4	75%	85%
2.3		
2.2		
2.1		
2.0	50%	75%
1.9		
1.8		
1.7	0%	60%
1.6		
1.5		
1.4		
1.3		
1.2		
1.1		
1.0 to 0.8	0%	0%
0.7 to 0.0	0%	0%

Table C – Performance-Based Fee Earned Scale



Overall Fee Determination	
Percent S&T Fee Earned from Table C	94 %
M&O Fee Multiplier from Table C	X 100 %
Overall Earned Performance-Based Fee	94.0 %

**Table D – Final Percentage of Performance-Based
Fee Earned Determination**

II. PERFORMANCE GOALS, OBJECTIVES, AND MEASURES/TARGETS

1.0 Provide for Efficient and Effective Mission Accomplishment (Quality, Productivity, Leadership, and Timeliness of Research and Development)

The Contractor produces high-quality, original, and creative results that advance science and technology; demonstrates sustained scientific progress and impact; receives appropriate external recognition of accomplishments; and contributes to overall research and development goals of the Department and its customers.

The weight of this Goal is 37.8%.

Goal 1.0 measured the overall effectiveness and performance of the Contractor in delivering science and technology results which contributed to and enhanced the DOE's mission of protecting our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge by supporting world-class, peer-reviewed scientific results, which are recognized by others.

Office of Advanced Scientific Computing Research

Argonne continues to play a key role in ASCR research efforts with many significant contributions to applied math, computational science, computer science, distributed computing, and high performance computing (HPC). Argonne is hugely influential in complex mathematics and programming models for leadership computing (e.g. MPI, p4 parallel programming library, MPICH2, PVFS2). These efforts also form the core of the DARPA HPCS software effort. Argonne is also a recognized leader in optimization - a research area that was identified as underpinning success for many of the Department's activities. Argonne also plays a leadership role in several SciDAC efforts and planning for the exascale, notably the International Exascale Software Project. Argonne added some new projects to their large ASCR portfolio and also won an R&D 100 award (for PETCs), an APS Bonner prize in FY09 and shared in IBM's National Medal of Technology and Innovation.

Office of Basic Energy Sciences

Ongoing supported programs of Atomic, Molecular, and Optical (AMO) Physics; Separations Science; Heavy Element Chemistry; Chemical Dynamics; Photochemistry; and Geosciences were generally quite strong, continued to be productive, and are highly regarded within their fields. Materials sciences research programs continue to have high impact in x-ray and neutron scattering science and instrumentation, materials chemistry, magnetic and superconducting materials research.

Argonne's substantial success in the highly competitive Energy Frontier Research Center (EFRC) funding opportunity and the Single-Investigator and Small-Group (SISGR) solicitation demonstrates scientific



leadership and presents an outstanding opportunity to significantly enhance grand-challenge and use-inspired basic energy research in the laboratory.

The Institute for Catalysis in Energy Processes (ICEP), a large, multidisciplinary program involving collaboration between scientists at Argonne and Northwestern University received a strong endorsement from reviewers for its ongoing research, scientific productivity, impact, and proposed new research directions.

Especially noted is the continued leadership of the Associate Division Director of the Materials Science Division in defining future research directions through BES and BES advisory committee workshops and reports.

The Argonne Materials Sciences and Engineering program converted a significant percentage of their capital equipment funding to operating to cover funding shortfalls. This is not a tenable long-term approach.

Office of Biological and Environmental Research

The Structural Biology Center (SBC) at the Advanced Photon Source (APS) continues to provide world leadership in the field of protein structure determination.

Argonne's synchrotron-based methods continue to provide cutting edge analyses for environmental studies within the Environmental Remediation Sciences Program (ERSP).

Argonne has tremendous unrealized potential with its limited research program that is excellent and in some cases, e.g., structural biology, world class. Overall, the very limited amount of research in environmental remediation sciences, climate change, and life sciences other than structural biology is a challenge for the lab although they have made progress to develop their expertise and capabilities in these areas.

Office of High Energy Physics

The HEP program at Argonne carries out proton-accelerator based, non-accelerator, theory, and accelerator science research. In general their impact on the field is about what is expected. Recent reviews place them overall as comparable in quality to their peers.

Office of Nuclear Physics

The Argonne LE group performs at a very high level in all areas in mission accomplishment:

- High quality results in nuclear structure of light nuclei, the evolution of shell structure and shell model states, and the structure of heavy elements that address program performance goals.
- Recognized as leaders in nuclear structure, nuclear theory, medium energy physics, and accelerator physics.
- Excellent record of quality publications and invited talks.
- Strong support of users, and involvement of users in strategic planning.

Office of Workforce Development for Teachers and Scientists

The science education at Argonne has developed a well-established mentor culture within the laboratory. The success of the undergraduate internship and the DOE ACTS professional development program funded by WDTS is based on the careful attention given to matching dedicated mentors and talented students/educators. Both students and educators are placed in challenging research environments and are



carefully guided to productive outcomes including abstracts from all interns and three full papers published in the Journal of Undergraduate Research. Argonne ensures that all participants benefit from the extensive enrichment (science seminars, workshops, exposure to opportunities with the University of Chicago to pursue advanced degrees, etc.) available across the laboratory.

Argonne's education office is a corner stone program within the laboratory. They collaborate effectively with the program office in recruiting very capable interns and educators that are able to serve a research resource for the majority of projects to which they are assigned. PIs across the laboratory fully appreciate the additional resources the education office regularly provides each summer semester and expect high quality students year after year.

Office of Energy Efficiency and Renewable Energy

The continuing improvements in GREET (Greenhouse gases, Regulated Emissions, and Energy use in Transportation), the participation in peer review processes, and the extension of life cycle analysis work to the consumptive water requirements of biofuels have all been valuable aspects of Argonne's work in support of the Department of Energy's Biomass Program Office.

The Department is pleased with the developing relationship between ADM and Argonne and the impending licensing of the separative technology.

Argonne National Laboratory demonstrated sustained progress in supporting the Fuel Cell Technologies Program in multiple areas, most notably Fuel Cell Testing, Process Design Hydrogen Production from Cu-Cl Thermochemical Cycle, Hydrogen Delivery Infrastructure Analysis, and Fuel-Cycle Analysis.

Argonne continued to provide scientific and technical leadership as evidenced by their many publications, presentations and patents. In addition, Argonne has continued to display leadership in support of EERE FreedomCAR and Fuel Partnership working groups and international partnerships.

Argonne has offered significant support for the Industrial Technologies Program in advanced engine research and development. Due to its close location to certain manufacturers, Argonne has been able to maintain close relationships with the relevant research teams.

Argonne has also become involved in the Energy Intensive Processes, Materials, and Nano-manufacturing Portfolios of the Industrial Technologies Program. Two new Energy Intensive Processing projects (fast boring and novel design aluminum cell) offer great potential.

Argonne has assembled a team well qualified to complete the Solar PEIS.

Argonne is a major contributor to the Vehicle Technology Program's efforts to develop more energy efficient and environmentally friendly highway transportation technologies. The laboratory participates in a wide variety of program activities, including vehicle modeling and simulation, component and vehicle benchmarking, development and validation of heavy hybrid propulsion technologies, and development of advanced internal combustion engines using a variety of advanced, clean, hydrocarbon and non-petroleum-based fuels, and hydrogen.

Office of Nuclear Energy

Argonne efforts have significantly impacted the fuel cycle R&D in the subject areas of advanced modeling and simulation, fast spectrum reactors, electrochemical processing, waste form development and systems analysis. Their efforts have especially advanced the application of state of the art computing capabilities in the field of nuclear reactors.



The advanced fuel cycle R&D sponsors activities at 10 national laboratories. Argonne provides technical leadership for the entire program in the areas of fast spectrum systems and spent nuclear fuel disposition. They provide significant contribution in the areas of waste form development and proliferation resistance and physical protection. Technical experts from the laboratory participate in domestic and international conferences and support Headquarters' staff in negotiating and implementing collaborative activities with other nations.

Argonne participates in planning work activities to advance program objectives and goals and provides sustained outputs specified in the work packages.

Argonne meets the due dates for deliverables specified in work packages and provides high quality products. Argonne also is routinely called upon for ad-hoc technical support and provides such support in an excellent manner.

National Nuclear Security Administration, Office of Global Threat Reduction

Argonne has continued to provide technology leadership in the areas of HEU minimization, ranging from radioisotope production and extraction technologies to research reactor conversion analysis and regulatory licensing. Argonne is playing a leadership role in complex conversion projects that require fuel qualification, such as those in Poland and Kazakhstan. Argonne has continued to provide leadership in program development and support, leading the technical support for the GTRI Convert program expansion and establishing additional initiatives, such as assessment of HEU minimization for fast critical reactors. Argonne supported GTRI on critical nonproliferation projects in Ukraine and Belarus. In Ukraine, Argonne experts, along with the specialists from the Kharkiv institute for Physics and Technology (KIPT), conducted the feasibility study for the conceptual design of a LEU sub-critical assembly. This study should enable GTRI to eliminate the HEU stored at KIPT. A similar project on conversion of the existing YALINA subcritical assembly was also conducted by Argonne for the Sosny Institute in Belarus. The Argonne experts' competence, professionalism and ability to cultivate professional relationships with Ukrainian and Belarussian specialists was integral to ensuring smooth operations and effective communications that led to the success of the projects in Ukraine and Belarus.

***See Attachment I for details provided by the Program Offices for the following objectives:**

Objective 1.1-Science and Technology Results Provide Meaningful Impact on the Field

Objective 1.2-Provide Quality Leadership in Science and Technology

Objective 1.3-Provide and Sustain Outputs that Advance Program Objectives and Goals

Objective 1.4-Provide for Effective Delivery of Products



Science Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Computing Research					
1.1 Impact	A-	3.5	40%	1.40	
1.2 Leadership	A-	3.5	30%	1.05	
1.3 Output	B+	3.4	15%	0.51	
1.4 Delivery	B+	3.2	15%	0.48	
Overall ASCR Total					3.44
Office of Basic Energy Sciences					
1.1 Impact	A-	3.5	50%	1.75	
1.2 Leadership	A-	3.7	20%	0.74	
1.3 Output	A-	3.7	15%	0.56	
1.4 Delivery	B+	3.4	15%	0.51	
Overall BES Total					3.56
Office of Biological and Environmental Research					
1.1 Impact	B+	3.2	30%	0.96	
1.2 Leadership	B+	3.2	20%	0.64	
1.3 Output	B+	3.2	20%	0.64	
1.4 Delivery	B+	3.2	30%	0.96	
Overall BER Total					3.20
Office of High Energy Physics					
1.1 Impact	B+	3.3	30%	0.99	
1.2 Leadership	B+	3.3	30%	0.99	
1.3 Output	A-	3.5	20%	0.70	
1.4 Delivery	A-	3.5	20%	0.70	
Overall HEP Total					3.38
Office of Nuclear Physics					
1.1 Impact	A-	3.7	35%	1.30	
1.2 Leadership	A-	3.6	25%	0.90	
1.3 Output	A-	3.7	25%	0.93	
1.4 Delivery	A-	3.5	15%	0.53	
Overall NP Total					3.65
Office of Workforce Development for Teachers and Scientists					
1.1 Impact	A-	3.5	25%	0.88	
1.2 Leadership	A-	3.7	30%	1.11	
1.3 Output	A-	3.5	30%	1.05	
1.4 Delivery	B+	3.3	15%	0.50	
Overall WDTS Total					3.53

Table 1.1 – Goal 1 SC Program Office Performance Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Advanced Scientific Computing Research	B+	3.44	20.3%	0.70	
Office of Basic Energy Sciences	A-	3.56	48.9%	1.74	
Office of Biological and Environmental Research	B+	3.20	5.5%	0.18	
Office of High Energy Physics	B+	3.38	11.3%	0.38	
Office of Nuclear Physics	A-	3.65	13.0%	0.47	
Office of Workforce Development for Teachers and Scientists	A-	3.53	1.0%	0.03	
Performance Goal 1.0 Total					3.50

Table 1.2 – SC Program Office Overall Performance Score Development



Other HQ Program Offices	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Energy Efficiency and Renewable Energy					
1.1 Impact	A	3.9	35%	1.37	
1.2 Leadership	A	4.0	20%	0.80	
1.3 Output	A	4.0	25%	1.00	
1.4 Delivery	A	3.8	20%	0.76	
Overall EERE Total					3.93
Office of Nuclear Energy					
1.1 Impact	A+	4.2	30%	1.26	
1.2 Leadership	A+	4.2	30%	1.26	
1.3 Output	A	4.0	20%	0.80	
1.4 Delivery	A	4.0	20%	0.80	
Overall NE Total					4.12
National Nuclear Security Administration, Office of Global Threat Reduction					
1.1 Impact	A+	4.2	40%	1.68	
1.2 Leadership	A+	4.2	20%	.84	
1.3 Output	A+	4.2	20%	.84	
1.4 Delivery	A+	4.1	20%	.82	
Overall NNSA Total					4.18

Table 1.3 – Goal 1 Other Program Offices and Customer Performance Score Development

HQ Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Science	A-	3.50	69.2%	2.42	
Office of Energy Efficiency and Renewable Energy	A	3.93	11.5%	0.45	
Office of Nuclear Energy	A+	4.12	6.9%	0.29	
National Nuclear Security Administration, Office of Global Threat Reduction	A+	4.18	12.4%	0.52	
Performance Goal 1.0 Total					3.68

Table 1.4 – Goal 1 Overall Performance Score Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 1.5 – Goal 1 Final Letter Grade



2.0 Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Facilities

The Contractor provides effective and efficient strategic planning; fabrication, construction and/or operations of Laboratory facilities; and is responsive to the user community.

The weight of this Goal is 35.6%.

Goal 2.0 measures the overall effectiveness and performance of the Contractor in planning for and delivering leading-edge specialty research and/or user facilities to ensure the required capabilities are present to meet today's and tomorrow's complex challenges. It also measured the Contractor's innovative operational and programmatic means for implementation of systems that ensures the availability, reliability, and efficiency of these facilities; and the appropriate balance between R&D and user support.

Office of Advanced Scientific Computing Research

Overall, Argonne exceeded expectations for facilities in FY09 with a successful Lehman review, an excellent implementation for INCITE, strong user support that resulted in important science results and outreach that grew the user community.

The Lehman Panel felt that the ALCF management team is appropriately structured and empowered to ensure successful deployment of the proposed upgrade while continuing to deliver leadership resources to its users and recommended approval of CD1/CD2A.

On the 2008 User Survey, the ALCF received an overall user satisfaction rating of 4.6 out of a 5.0 scale with 5.0 being excellent or the top score.

Office of Basic Energy Sciences

The Advanced Photon Source is a key facility for Argonne research divisions and for the hard x-ray research community. The Center for Nanoscale Materials (CNM) increased its user base substantially, incorporated new instruments, and made additional capabilities available to users. The Electron Microscopy Center (EMC) continued to provide capabilities that are used widely within the laboratory for its research programs and continued to expand its user base and visibility among external customers.

Participation by staff of the Electron Microscopy Center at Argonne in the TEAM project was critical to its on-time and within-budget completion during FY 2009 and to its ahead-of-schedule and definitive confirmation of technical performance.

The APS operated at a reliability of 97.7 percent, with 3465 unique on-site users, an 8 percent increase from FY 2008.

Both the Center for Nanoscale Materials (CNM) and the Electron Microscopy Center (EMC) scientific user facilities operated efficiently and effectively with minimal downtime.

Office of Biological and Environmental Research

Argonne's Structural Biology Center (SBC) at the APS leads the world in its efficient use of its beamline.



The Atmospheric Radiation Measurement (ARM) Climate Research Facility (ACRF) exceeded expectations for operations of the facility throughout 2009 while also addressing its responsibilities for the Recovery Act. Argonne exceeded expectations for the metric on availability of measurements and the number of users. Argonne has an outstanding record on ES&H for the facility.

Argonne's SBC and ACRF are leading facilities for the conduct of biological and climate change research, attracting leading scientists and resulting in high profile, impactful publication. Argonne is encouraged to continue to use the SBC or the ACRF to grow its internal climate and biology research programs.

Office of High Energy Physics

Argonne does not lead any projects supported by the Office of High Energy Physics but has carried out its efforts on projects led by others competently.

Office of Nuclear Physics

The Argonne LE group performs at a high level in all areas in all areas related to facility operations:

- Facility operations provided substantial beam hours for research, with high reliability.
- The CARIBU project is near completion, with the fabrication and commissioning of an efficient ECR charge breeder.
- Stewardship of competencies including SRF for heavy ions and technologies for FRIB.
- Serves a substantial user community with about one-third international users.

Office of Energy Efficiency and Renewable Energy

Argonne carried out cutting-edge testing of fuel cell stacks and systems from industrial developers at their Fuel Cell Test Facility, which is unique among national laboratories. Argonne's tests and evaluations using this facility have proved valuable in benchmarking progress in the technology and in identifying areas of further research and development needs.

Argonne effectively operates a number of facilities in support of the Vehicle Technologies Program. These include one of the most technologically advanced facilities in the United States for conducting vehicle and component simulation and evaluation activities; a world-class battery testing facility where advanced batteries are tested under a variety of charge-discharge regimes; pilot plants for the bulk separation of shredder residue and froth-flotation plastics separation; powerful X-ray beams used to peer inside liquid sprays from fuel injectors for diesel engines; and other facilities to support work on Heavy Vehicle Systems, including friction and wear, nanofluids, and parasitic loss reduction.

***See Attachment I for details provided by the Program Offices for the following objectives:**

Objective 2.1-Provide Effective Facility Design(s) as Required to Support Laboratory Programs (i.e., Activities Leading to CD-2)

Objective 2.2-Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components (Execution Phase, Post CD-2 to CD-4)

Objective 2.3-Provide Efficient and Effective Operation of Facilities

Objective 2.4-Utilization of Facility to Grow and Support Laboratory's Research Base and External User Community



Science Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Computing Research					
2.1 Provide Effective Facility Design(s)	B+	3.4	10%	0.34	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components	B+	3.1	10%	0.31	
2.3 Provide Efficient and Effective Operation of Facilities	A-	3.5	70%	2.45	
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	A	3.8	10%	0.38	
Overall ASCR Total					3.48
Office of Basic Energy Sciences					
2.1 Provide Effective Facility Design(s)	N/A	0	0%	0.00	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components	A	3.9	11%	0.43	
2.3 Provide Efficient and Effective Operation of Facilities	A-	3.6	67%	2.41	
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	A	3.9	22%	0.86	
Overall BES Total					3.70
Office of Biological and Environmental Research					
2.1 Provide Effective Facility Design(s)	N/A	0	0%	0.00	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components	N/A	0	0%	0.00	
2.3 Provide Efficient and Effective Operation of Facilities	A-	3.7	90%	3.33	
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	A-	3.7	10%	0.37	
Overall BER Total					3.70
Office of High Energy Physics					
2.1 Provide Effective Facility Design(s)	B+	3.3	20%	0.66	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components	B+	3.4	80%	2.72	
2.3 Provide Efficient and Effective Operation of Facilities	N/A	0	0%	0.00	
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	N/A	0	0%	0.00	
Overall HEP Total					3.38
Office of Nuclear Physics					
2.1 Provide Effective Facility Design(s)	N/A	0	0%	0.00	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components	N/A	0	0%	0.00	
2.3 Provide Efficient and Effective Operation of Facilities	A-	3.6	85%	3.06	
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	A-	3.5	15%	0.53	
Overall NP Total					3.59

Table 2.1 – Goal 2 Program Office Performance Score Development



Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Advanced Scientific Computing Research	A-	3.48	17.0%	0.59	
Office of Basic Energy Sciences	A-	3.70	61.4%	2.27	
Office of Biological and Environmental Research	A-	3.70	9.2%	0.34	
Office of High Energy Physics	B+	3.38	1.6%	0.05	
Office of Nuclear Physics	A-	3.59	10.8%	0.39	
Performance Goal 2.0 Total					3.64

Table 2.2 - SC Program Office Overall Performance Score Development

Other HQ Program Offices	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Energy Efficiency and Renewable Energy					
2.1 Provide Effective Facility Design(s)	N/A	0	0%	0.00	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components	N/A	0	0%	0.00	
2.3 Provide Efficient and Effective Operation of Facilities	A	3.8	70%	2.66	
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	A	3.8	30%	1.14	
Overall EERE Total					3.80

Table 2.3 – Goal 2 Other Program Offices and Customer Performance Score Development

HQ Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Science	A-	3.64	87.8%	3.20	
Office of Energy Efficiency and Renewable Energy	A	3.80	12.2%	0.46	
Overall Program Office Total					3.66

Table 2.4 – Goal 2 Overall Performance Score Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 2.5 – Goal 2 Final Letter Grade



3.0 Provide Effective and Efficient Science and Technology Research Project/Program Management

The Contractor provides effective program vision and leadership; strategic planning and development of initiatives; recruits and retains a quality scientific workforce; and provides outstanding research processes, which improve research productivity.

The weight of this Goal is 26.6%.

Goal 3.0 measured the Contractor's overall leadership in executing S&T programs. Dimensions of program management covered included: 1) providing key competencies to support research programs to include key staffing requirements; 2) providing quality research plans that take into account technical risks and identify actions to mitigate risks; and 3) maintaining effective communications with customers to include providing quality responses to customer needs.

Office of Advanced Scientific Computing Research

Argonne is a leader in HPC, applied math, and computational science, making significant contributions to the vision, planning and coordination of these efforts and changing the thinking or direction of the international community in all aspects of planning for exascale. The Leadership Computing Facility (LCF) is well managed and very high impact. Argonne has taken bold new steps in FY09 to strengthen its role in computational science with great promise for the future.

Office of Basic Energy Sciences

The strong review of the Argonne catalysis program, the successful competition in both EFRC and SISGR solicitations, the recruitment of new staff in key research areas, and the continued strengthening of the collaboration between Argonne and Northwestern University (often through joint appointments) indicate commitment to continued excellence in research programs.

Argonne named a new Director for the Materials Science Division, filling an important leadership role for the Argonne-MSD and the laboratory.

The APS management made progress in fulfilling the recommendations of the Scientific User Facilities Division's Operational Review in FY 2008. Some recommendations will still require management involvement to answer.

Office of Biological and Environmental Research

Argonne exhibits outstanding management of programs related to or associated with the SBC and ACRF, including doing an excellent job of proactively communicating with BER program managers.

Argonne has made progress in efforts to expand its environmental, climate, and non-SBC focused biology programs.

Office of High Energy Physics

Lab management has dealt effectively with programmatic issues and tries to solve problems internally rather than bring them to OHEP. Argonne has led development of competitive proposals in some key areas of technology R&D that could provide valuable breakthroughs for high-energy physics and other fields of science.



Office of Nuclear Physics

The Argonne LE group performs at a high level in all areas in management. They have developed a strategic plan that involves the users and serves as the basis for management decisions. They conducted a rapid re-evaluation of the facility strengths and scientific opportunities to devise a first plan for the future of the facility. Management and staff have expressed a commitment to involvement in and success of FRIB.

Effective short term management of accelerator physics program to preserve expertise and be a resource for the nation.

Timely communication to NP with accurate information.

Office of Workforce Development for Teachers and Scientists

WDTS sponsored laboratory research participants' evaluation data report a high quality research experience at Argonne. The WDTS programs are managed to ensure mentor/mentee relationships are productive and deliver a quality challenging research experience.

Argonne does an excellent job at ensuring that interns/educators gain a solid appreciation for the depth and breadth of much of the research conducted throughout the laboratory. Students learn where the future research thrusts are and encouraged to be agile and forward thinking as they pursue careers in science.

Office of Energy Efficiency and Renewable Energy

The Biomass Program is generally pleased with the effectiveness and efficiency of the activities within the Argonne laboratory.

Argonne provided valuable technical support to the EERE FCT program through participation on FreedomCAR and Fuel Partnership technical teams, documentation of progress towards program performance and cost goals, and development of experimental safety reviews.

Argonne routinely submitted high quality Field Work Proposals and Annual Operating Plans as well as quarterly and annual progress reports.

Argonne has provided effective and efficient science and technology support to the Industrial Technologies Program. By maintaining excellent research facilities and personnel, Argonne continues to offer high value research and development capabilities to the Program.

Argonne has done a good job in managing the myriad of solar and environmental sensitivities associated with a PEIS. It has also done a good job in developing and maintaining a Solar PEIS website, which is an effective way of keeping informed the large number of stakeholders. Improved communication, however, would be beneficial in keeping DOE staff informed of the status of Argonne tasks.

Operating plans are developed and submitted annually to the Vehicle Technologies Program. Projects are selected as a result of gap analysis, roadmaps and expert workshops. Stakeholders, technical experts, industry representatives, academicians, and DOE experts and program managers normally participate in these activities through organized workshops and technical meetings.



Office of Nuclear Energy

Argonne has effectively integrated the computer simulation experts with reactor experts to utilize the high computing resources available for realizing the program vision of integrated analyses for reactor systems. However, we are disappointed at the management decision to shut down the hot cells used to support program aqueous separation process research.

Argonne has technical lead for many of our program activities and their performance in program planning and management has been excellent.

Argonne communications with HQ are effective and they are highly responsive to our needs by providing assistance in program planning, providing timely deliverables specified in work packages and responding to ad-hoc requests.

National Nuclear Security Administration, Office of Global Threat Reduction

Argonne provides program management support to the Global Threat Reduction Initiative (GTRI) Research Reactor Convert Program with respect to science and technology details. They assist with coordination with various labs as well as foreign nations to minimize the use of HEU. Argonne technical expert demonstrate competence and professionalism and have the ability to cultivate professional relationships with foreign counterparts. These attributes have been integral to ensuring smooth operations and have led to the success of the GTRI projects they support.

***See Attachment I for details provided by the Program Offices for the following objectives:**

Objective 3.1-Provide Effective and Efficient Stewardship of Scientific Capabilities and Program Vision

Objective 3.2-Provide Effective and Efficient Science and Technology Project/Program Planning and Management

Objective 3.3-Provide Efficient and Effective Communications and Responsiveness to Customer Needs



Science Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Computing Research					
3.1 Effective and Efficient Stewardship	A-	3.5	30%	1.05	
3.2 Project/Program Planning and Management	B+	3.4	40%	1.36	
3.3 Communications and Responsiveness	B+	3.4	30%	1.02	
Overall ASCR Total					3.43
Office of Basic Energy Sciences					
3.1 Effective and Efficient Stewardship	B+	3.4	40%	1.36	
3.2 Project/Program Planning and Management	B+	3.4	30%	1.02	
3.3 Communications and Responsiveness	B+	3.4	30%	1.02	
Overall BES Total					3.40
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship	A-	3.5	20%	0.70	
3.2 Project/Program Planning and Management	A-	3.5	30%	1.05	
3.3 Communications and Responsiveness	A-	3.5	50%	1.75	
Overall BER Total					3.50
Office of High Energy Physics					
3.1 Effective and Efficient Stewardship	B+	3.4	40%	1.36	
3.2 Project/Program Planning and Management	A-	3.6	40%	1.44	
3.3 Communications and Responsiveness	B+	3.4	20%	0.68	
Overall HEP Total					3.48
Office of Nuclear Physics					
3.1 Effective and Efficient Stewardship	A-	3.5	40%	1.40	
3.2 Project/Program Planning and Management	A-	3.5	40%	1.40	
3.3 Communications and Responsiveness	A-	3.5	20%	0.70	
Overall NP Total					3.50
Office of Workforce Development for Teachers and Scientists					
3.1 Effective and Efficient Stewardship	A-	3.7	20%	0.74	
3.2 Project/Program Planning and Management	A-	3.5	40%	1.40	
3.3 Communications and Responsiveness	B+	3.3	40%	1.32	
Overall WDTS Total					3.46

Table 3.1 – Goal 3 SC Program Office Performance Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Advanced Scientific Computing Research	B+	3.43	14.7%	0.50	
Office of Basic Energy Sciences	B+	3.40	59.0%	2.01	
Office of Biological and Environmental Research	A-	3.50	8.0%	0.28	
Office of High Energy Physics	A-	3.48	8.2%	0.28	
Office of Nuclear Physics	A-	3.50	9.4%	0.33	
Office of Workforce Development for Teachers and Scientists	A-	3.46	0.7%	0.03	
Performance Goal 3.0 Total					3.43

Table 3.2 – SC Program Office Overall Performance Score Development



Other HQ Program Offices	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Energy Efficiency and Renewable Energy					
3.1 Effective and Efficient Stewardship	A	3.8	20%	0.76	
3.2 Project/Program Planning and Management	A	3.9	40%	1.56	
3.3 Communications and Responsiveness	A	3.8	40%	1.52	
Overall EERE Total					3.84
Office of Nuclear Energy					
3.1 Effective and Efficient Stewardship	A-	3.7	20%	0.74	
3.2 Project/Program Planning and Management	A	4.0	30%	1.20	
3.3 Communications and Responsiveness	A+	4.2	50%	2.10	
Overall NE Total					4.04
National Nuclear Security Administration, Office of Global Threat Reduction					
3.1 Effective and Efficient Stewardship	A+	4.1	20%	0.82	
3.2 Project/Program Planning and Management	C	2.0	30%	0.60	
3.3 Communications and Responsiveness	A+	4.2	50%	2.10	
Overall NNSA Total					3.52

Table 3.3 – Goal 3 Other Program Offices and Customer Performance Score Development

HQ Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Science	B+	3.43	67.8%	2.32	
Office of Energy Efficiency and Renewable Energy	A	3.84	13.9%	0.54	
Office of Nuclear Energy	A	4.04	6.6%	0.26	
Office of Defense Nuclear Nonproliferation	A-	3.52	11.7%	0.41	
Performance Goal 3.0 Total					3.54

Table 3.4 – Goal 3 Overall Performance Score Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 3.5 – Goal 3 Final Letter Grade



4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

The Contractor's Leadership provides effective and efficient direction in strategic planning to meet the mission and vision of the overall Laboratory; is accountable and responsive to specific issues and needs when required; and corporate office leadership provides appropriate levels of resources and support for the overall success of the Laboratory.

The weight of this Goal is 25%.

Goal 4.0 measured the Contractor's leadership capabilities in leading the direction of the overall Laboratory. It also measured the responsiveness of the Contractor to issues and opportunities for continuous improvement and corporate office involvement/commitment to the overall success of the Laboratory.

SUMMARY:

This has been a year of leadership change and overall leadership improvement. A new Laboratory Director was appointed and started on May 1, 2009. The Chief Operating Officer was selected and other senior positions were filled. At the close of the Fiscal Year, there are a few more key and senior positions to be filled; namely the General Counsel (selection was made at the end of the fiscal year and the individual reported to the Laboratory at the beginning of FY 2010) and the Deputy Director for Programs (selection was also made at the beginning of FY 2010). The development and presentation of the Laboratory's Strategic Plan was well received by the Office of Science (SC) which has supported the approval of some project Critical Decisions (CDs). UChicago Argonne, LLC leadership contributed to the development of the Strategic Plan and reviews of Argonne's research program and operational review of the Argonne technology transfer program.

4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans

- Completion of the well-received strategic plan was effectively communicated to DOE/HQ-SC by Laboratory leadership, providing a vision of the laboratory. No negative comments were received.
- The approval of CD-0 and CD-1 for the Energy Sciences Building, approval of the Argonne Leadership Computing Facility (ALCF)-2 CD-1/2A, two Energy Frontier Research Centers (EFRCs) and moving forward with the Advanced Photon Source Renewal/Upgrade are all positive signs of an effective strategic plan.
- Successful partnership with DOE has occurred in many areas, most notably in the area of cyber security and the development of the "Federated Model."
- Argonne leadership has continued its beneficial partnerships with government, industry and universities through their work with the Fermi National Accelerator Laboratory, development of the "Great Lakes Alliance for Sustainable Energy Research", National Battery Manufacturing R&D Center with the Commonwealth of Kentucky, University of Kentucky and the University of Louisville. In FY 2009 Argonne won four "R&D 100" awards that involved industrial partners.
- In the area of communications and Argonne's relationship with the public, the laboratory provided three Community Leaders Round Table meetings and held an Open House that drew 22,000 people, a record attendance at this event.



- The cost of doing business study has resulted in the overhead budget reduction of \$3.04M and the fringe benefit rate was lowered by 1% resulting in a savings of an additional \$2.2M.
- The development of a National Security element of the Strategic Plan will be needed in FY 2010.

4.2 Provide for Responsive and Accountable Leadership throughout the Organization

- Two key positions were filled with the appointment of the new Laboratory Director and the appointment of the new Chief Financial Officer, along with the filling of five other Senior Leadership positions. It is also noted that one of the two vacant Key Positions remaining has been filled and the last Key Position will be filled shortly.
- Implementation of the Laboratory Management System (LMS) is well on its way and the laboratory has received certification under ISO 9000 and 14000.
- Much has been accomplished in the reduction of the nuclear footprint, e.g., B-205 Basis of Interim Operations (BIO) approval and Work Packages, safety basis documents submitted for B-212 along with the deactivation plan and continued removal of the Remote-Handled Transuranic (RH-TRU) waste. Establishment of a project team for Nuclear Footprint Reduction (NFR) has been helpful.
- There has been continued emphasis by laboratory management on improving the safety culture through the use of DuPont Safety Resources, the Employee Safety and Health Committee, and summer safety seminars by management addressing seasonal related injuries.
- The completion of the update to the Contractor Assurance System (CAS) to address four findings and the nine improvement opportunities are noted.
- Bringing forward the list of excess facilities at Argonne for inclusion into DOE's Environmental Management program scope required a team effort by the Laboratory and the Site Office.
- The partnership between the Argonne Site Office, the Laboratory and the University of Chicago has resulted in the approval of project Critical Decisions and improvements in Work for Others proposal processing.
- The Days Away, Restricted or Transferred (DART) and Total Recordable Case (TRC) rates of the laboratory did not meet expectations (TRC 0.97 SC expectation 0.61, DART 0.59 SC expectation 0.23). However, the laboratory is currently working on a better understanding of the fundamental causal factors underlying the DART and TRC rates which should provide leading indicators for risk reduction.
- The Laboratory continues the need for stabilization of the organization with the selection of the Deputy Director for Programs (Key Personnel).
- Argonne continues partnering with the DOE to obtain certification of its Compensation Program.
- Continued development of the Experimental Work Planning and Control and the development of the staffing for Emergency Management are underway.
- One of the first major accomplishments under the Nuclear Footprint reduction will be the accomplishment of the B-205 K-Wing down to a radiological facility which requires Argonne Management's close monitoring of progress to reach milestones.



- Notable practices were established in the management and execution of American Recovery and Reinvestment Act (ARRA) projects. Continued risks of ARRA transparency and meeting expectations for projects so funded, will also require continued management attention along with the corrective actions required by the DOE Office of Health, Safety and Security (HSS) Special Review of ES&H and Emergency Management programs.

4.3 Provide Efficient and Effective Corporate Office Support as Appropriate

- Completion of the Theory and Computing Sciences (TCS) facility on schedule resulted in the start of the consolidation of Argonne off-site staff located in a leased facility onto the Argonne site and providing space for the Blue Gene Q computer system.
- Corporate leadership was significantly involved in supporting the laboratory in the development of the FY 2009 Strategic Plan that was well received by DOE.
- A high-level Operation review of Technology Transfer resulted in areas for improvement by the Laboratory.
- The Laboratory continued its progress on the delivery of its contractual commitments notably in the future leadership program – 3rd year of graduates.
- A good working relationship between the Argonne Site Office and the University of Chicago and its major subcontractor, Jacobs Engineering, is noted.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
4.0 Effectiveness and Efficiency of Contractor Leadership and Stewardship					
4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans	A-	3.6	35%	1.26	
4.2 Provide for Responsive and Accountable Leadership throughout the Organization	B	2.9	35%	1.02	
4.3 Provide Efficient and Effective Corporate Office Support as Appropriate	A	3.9	30%	1.17	
Performance Goal 4.0 Total					3.5/A-

Table 4.1 – Goal 4 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 4.2 – Goal 4 Final Letter Grade



5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection

The Contractor sustains and enhances the effectiveness of integrated safety, health and environmental protection through a strong and well deployed system.

The weight of this Goal is 30%.

Goal 5.0 measured the Contractor's overall success in preventing worker injury and illness; implementing Integrated Safety Management (ISM) throughout the organization; and providing effective and efficient waste management, minimization, and pollution prevention.

SUMMARY:

FY 2009 performance contained a mixture of elements some of which exceeded DOE expectations and some of which did not meet DOE expectations. It must be emphasized that the strictly limited number of Goal 5.0 targets illuminates only a tiny slice of ES&H performance. While excellent progress was made in nuclear safety and individual worker safety, the standardization of some institution-level programs, e.g., Work Planning and Control, is still challenging Argonne National Laboratory.

5.1 Provide a Work Environment that Protects Workers and the Environment

- Argonne National Laboratory successfully completed a major milestone in becoming third-party registered under two International Organization for Standardization (ISO) standards: ISO 9000 (Quality Assurance) and ISO 1400 (Environmental Management Systems) during FY 2009.
- An ES&H Safety Topic developed in response to observed injuries effected a 31% reduction in hand-related injuries during FY 2009.
- The Laboratory is in the process of executing an aggressive Radioactive Protection Program Triennial Assessment schedule.
- Argonne lagging indicators for worker injury and illness again did not meet the Total Recordable Case rate and Days Away, Restricted or Transferred targets for FY 2009.
- The Laboratory underwent an intensive, broad study of its safety culture in FY 2009. Several follow-up actions have been completed; however, certain others have not visibly begun.
- A continued focus on Data Reporting Quality Issues, such as accurate updating of the Computerized Accident/Incident Reporting System (CAIRS) database and timeliness of Non-Compliance Tracking System (NTS) reporting, is recommended.
- Work planning and control (WP&C) remains a prolonged work-in-progress. It is noted that the training on the WP&C system and ineffective integration of Industrial Hygiene (IH) workplace exposure assessment process appeared to be less effective than was anticipated.

5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management



- Nuclear Safety Program improvements were noted in operations, training and radioactive waste management.
- Nuclear Safety bases are progressing ahead of schedule: 200 MA/MB Wing-Interim Safety Basis (ISB) approved; Cell Entry Work Clearance Permit (WCP) nearing completion and 75% BIO submitted; 205 K-Wing BIO approved; Alpha Gamma Hot Cell Facility (AGHCF) BIO submitted, and site-wide radioactive inventory tracking nearing completion.
- Nuclear Safety and Safety Management Programs in the areas of System Engineer & Maintenance are not yet mature as evaluated by HSS.
- Positive results from using eBUD to identify and provide ES&H-related infrastructure improvements at the proposal stage remain needed. Argonne’s management assessment report was not provided to the Argonne Site Office.
- Laboratory Management System process delays have been used as justification to the Argonne Site Office for corrective action delays since the process time had not been factored into the Corrective Action at the planning stage.
- The HSS Special Review indicated broad improvements are needed to bridge gaps in meeting Objectives 5.1 and 5.2.

5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention

- Argonne was awarded three different national awards for environmental performance.
- The Laboratory continues to have difficulty in the timely disposition of Radioactive Waste and Material, although progress has been noted.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection					
5.1 Provide a Work Environment that Protects Workers and the Environment	B	3.0	25%	0.75	
5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management	B-	2.7	50%	1.35	
5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention	B	2.9	25%	0.73	
Performance Goal 5.0 Total					2.8/B

Table 5.1 – Goal 5 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 5.2 – Goal 5 Final Letter Grade



6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)

The Contractor sustains and enhances core business systems that provide efficient and effective support to Laboratory programs and its mission(s).

The weight of this Goal is 25%.

Goal 6.0 measured the Contractor's overall success in deploying, implementing, and improving integrated business system that efficiently and effectively support the mission(s) of the Laboratory.

SUMMARY:

Goal 6.0 encompasses several significant Laboratory Business Systems. These Systems include: Financial Management, Acquisition, Property Management, Human Resources and Diversity, Communications and Trust, Legal Management, Counterintelligence, Internal Audit and Oversight, Information Management, and Technology Transfer and Commercialization of Intellectual Assets.

The Laboratory's performance during FY 2009 exceeded expectations. To date, since award of the new Contract, two of the three business systems requiring DOE re-certification have been approved. The third (Human Resources and Compensation) is underway. One area of notable mention is with regard to Argonne's proactive and effective implementation and development of systems for the Laboratory to successfully meet the numerous requirements of ARRA. The Laboratory has met and/or exceeded expectations within Goal 6.0.

6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)

- The Laboratory proactively reviewed and effectively responded to the guidance on ARRA funding including the development of a means to segregate costs for financial reporting; issuance of internal guidance on the appropriate use of ARRA funds and on reporting requirements of jobs created and jobs retained; completion of a formal risk assessment to identify the risks associated with the ARRA funding, and to identify methods to mitigate the identified risks and formed an ARRA Reporting and Oversight Committee with representation from all areas of the Laboratory to assure timely and accurate reporting of all ARRA information as required.
- The Laboratory mandated the use of the GetThere on-line travel booking tool for all domestic travel which resulted in approximately \$70K of savings in travel agency fees and \$85K in airfare savings during FY 2009.
- Argonne developed and issued a Divisional Internal Controls Checklist to all divisions requiring a review and certification of internal controls at the division level.
- A benchmarking study of the Financial Management area in association with other DOE Laboratories to measure Argonne's performance and identify areas for improvement was successfully completed.
- Argonne's commitment to a strong internal controls environment provides further evidence that financial management policies and procedures are followed diligently and assures the integrity of Argonne's financial systems.



6.2 Provide an Efficient, Effective, and Responsive Acquisition System

- Argonne expanded the use of its Argonne Materials-Ordering System (AMOS) during the year where, on-average, 135 orders per day is handled by AMOS increasing the efficiency and responsiveness of the acquisition system.
- Argonne estimated negotiated cost savings of \$4.5M for FY 2009 represents a return to programmatic/functional areas in an amount equal to the entire Procurement staff budget for FY 2009.
- The Laboratory prepared its procurement system to comply with ARRA subcontracting requirements and to capture information required as it pertains to Argonne subcontracts related to ARRA initiatives.
- An Argonne Procurement staff member noted an error in the Federal Acquisition Regulation (FAR) where two separate sections delineating like requirements diverged. The recommendation made to the FAR Counsel to correct the regulation resulted in a FAR amendment being issued.
- The Laboratory met or exceeded the Balanced Scorecard assessment targets in FY 2009.

6.3 Provide an Efficient, Effective, and Responsive Property Management System

- Argonne's General Services Administration lease fleet transition was completed ahead of schedule and expected savings in labor, maintenance and acquisition costs of \$900K is anticipated as a result of the transition. Due to the actions of the Fleet Manager, the transition is several years ahead of schedule.
- The Laboratory achieved an additional fuel consumption reduction of more than 30% from prior year's usage.
- The Laboratory continues its proactive asset utilization effort, resulting in the redeployment of \$7.9 million of assets along with \$57K in additional savings through use of the DOE precious metals pool.
- Argonne obtained approval of Personal Property Management System through September 30, 2011.
- Fleet Manager introduced the use of alternative fuel compact and sub-compact sedans to decrease the carbon fuel use onsite which resulted in a further fuel consumption reduction of more than 30%.
- All prior Property Management System audit findings have been resolved, resulting in a notable improvement in performance.

6.4 Provide an Efficient, Effective, and Responsive Human Resources Management System

- Argonne continues to be vigilant in ensuring that employee benefit programs attract and retain employees while at the same time maintaining a solid approach to market competitiveness. Argonne continues to make changes that meet the needs of work-family initiatives, pandemic concerns, etc. including the appropriate changes to employer/employee cost sharing, as necessary.



- HR continues to enhance their delivery of HR services through the development of electronic forms, just-in-time/desk-top HR related information, and consistent training of representatives throughout the Laboratory.
- Affirmative action placement goals for females and minorities were met during FY 2009.
- Argonne, with 44% participation, met the target of greater than 40% for building diversity competency through training, education and inclusive programs. Argonne's continued support of the affinity groups and other efforts contributed to this success.
- It is especially noted that the web-based diversity action plans were developed and posted by all of the organizational units. Argonne also received a Letter of Compliance from the Office of Federal Contract Compliance Programs as a result of their desk audit of Argonne's Affirmative Action Plan.
- Argonne's Human Resource Compensation System is not yet able to be certified during FY 2009.
- Key Personnel positions remain filled by Acting in lieu of permanent personnel during FY 2009.

6.5 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate

- Testing required in Office of Management and Budget (OMB) Circular A-123 (Management's Responsibility for Internal Control) to support the Chief Financial Officer's assurance statement has been completed.
- Argonne Internal Audit staff responded in a timely manner to DOE's request to test controls over ARRA specific risks identified at the Laboratory.
- A recent External Quality Assessment of the Internal Audit Function yielded a favorable result.
- The Laboratory's Information Management staff created an employee notification and action item management system that (a) allows employees to select communication channels, such as email, Real Simple Syndication (RSS), task list or calendar feeds, for various notification types, and (b) constructs an employee-specific "to do" web page with all action items generated by Laboratory systems (purchasing, training, iCatch, travel, performance appraisals, etc.).
- Argonne's Information Management staff implemented significant financial, human resource and project management reporting and management changes as mandated by ARRA, including new weekly, monthly, and quarterly reporting and integration with Laboratory project management and reporting systems.
- Argonne established social networking presences on Twitter, Yammer, Facebook, Flickr, LinkedIn and YouTube to share Argonne topics of interest with both the internal Laboratory and world-wide community.
- Argonne developed various systems for H1N1 pandemic operations planning, including online H1N1 absence reporting (via voice, web, or mobile) and a DVD-based telecommuting resource that enables employees to boot home personal computers for Laboratory access with all necessary software and permissions.



- By consolidating certain electronic services used throughout the Laboratory, which began several years ago and is nearing full completion, the aggregate programmatic cost savings achieved by Argonne (or opportunity to reinvest in unique versus commodity local IT needs) is estimated to be \$1.8M per year.
- A Laboratory Internet Service Provider (ISP) pilot has been established to design, deploy, and support the data network and a Voice-over-Internet-Protocol (VOIP) service in the new Theory and Computing Sciences (TCS) building. VOIP service has been provided in TCS to over 500 phones.
- The Communications and Public Affairs Office has demonstrated agency-wide leadership in adopting social media as a means to distribute information, aided others in the DOE family in adopting these technologies and achieved a high degree of success.
- The Argonne National Laboratory legal staff has been very supportive and responsive regarding Laboratory Operational Conflict of Interest reviews and cost control on pending litigation.

6.6 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets

- \$3.3M in royalty payments were received by the Laboratory during FY 2009 including a significant license with BASF for lithium-ion battery cathode material.
- The Office of Technology Transfer (OTT) was instrumental in screening and ensuring that quality award applications were submitted to R&D Magazine for the 2009 R&D 100 Awards, resulting in 5 awards being made to Argonne National Laboratory.
- The Laboratory Management System Business Development Panel improved the quality and timeliness of Work for Others (WFO) proposals during the year.
- OTT was successful in obtaining funding from the Office of Energy Efficiency and Renewable Energy for Technology Commercialization Funds to be used to help move technologies from the laboratory to adoption by a commercial company.
- The Laboratory's WFO database would benefit from improvements to its functionality and reliability.



ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)					
6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)	A-	3.7	15%	0.56	
6.2 Provide an Efficient, Effective, and Responsive Acquisition System	A-	3.5	10%	0.35	
6.3 Provide an Efficient, Effective, and Responsive Property Management System	A-	3.6	15%	0.54	
6.4 Provide an Efficient, Effective, and Responsive Human Resources Management System	B	3.0	20%	0.60	
6.5 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate	A-	3.6	25%	0.90	
6.6 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets	A-	3.6	15%	0.54	
Performance Goal 6.0 Total					3.5/A-

Table 6.1 – Goal 6 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 6.2 – Goal 6 Final Letter Grade



7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs

The Contractor provides appropriate planning for, construction and management of Laboratory facilities and infrastructures required to efficiently and effectively carry out current and future S&T programs.

The weight of this Goal is 20%.

Goal 7.0 measured the overall effectiveness and performance of the Contractor in planning for, delivering, and operations of Laboratory facilities and equipment needed to ensure required capabilities are present to meet today's and tomorrow's complex challenges.

SUMMARY:

In FY 2009 the Laboratory made significant accomplishments in improvement to operating, maintaining, and renewing the facility and infrastructure portfolio to meet Laboratory needs. The initiatives successfully undertaken during the course of the year were focused on a) development of innovative strategic plans to address the aging infrastructure, b) improvement of management systems for effective execution of projects, and c) reduction of energy and water resources consumption.

Increased senior management engagement in Strategic Infrastructure Initiatives and Critical Project Outcomes supporting overhead budget and long-term liability reductions was noted.

Timeliness of project closeouts remains an on-going concern. Process improvements and the adequacy and completeness of information in the project reporting tool would benefit from increased management oversight.

7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs

- Despite delays early in the project, Building 301 demolition is nearly done with an outstanding safety record and at considerably below cost. This project completes the initial Office of Environmental Management (EM) baseline scope for the site. CD-4 documentation for site completion was developed and transmitted to EM for approval.
- The Laboratory has developed detailed baselines and begun execution of \$98.5M ARRA new EM scope. The scope's size is equal to the Laboratory's routine infrastructure budget.
- The Laboratory supports the goals of the DOE's Transformational Energy Action Management (TEAM) initiative by participation in the Argonne Site Office's award of the third ESPC project and the development of a comprehensive TEAM executable plan incorporating a self sustaining in house energy management program.
- A third Energy Savings Performance Contract Delivery Order project is underway. Argonne developed a comprehensive TEAM executable plan incorporating a self-sustaining in-house energy management program.
- Argonne Laboratory significantly exceeded its \$8M Ten Year Site Plan Institutional General Plant Projects (IGPP) funding goal. Including Institutional General Plant Equipment (IGPE), the Laboratory funded almost \$13M in improvements, predominately to Site roadways.



- Argonne successfully completed the RH TRU Pilot project. The proof of principle sampling work scope of this project contributed to validation of the models used to help characterize RH TRU waste for the national Central Characterization Program. Additionally, Argonne out-loaded the first two drums of RH TRU from the Alpha Gamma Hot Cell Facility (AGHCF), as part of the ARRA funded NPTRU Campaign (6 months ahead of schedule.)
- The Laboratory successfully resolved significant issues associated with the acceptance of the processed liquids and fuel examination waste at the Waste Isolation Pilot Plant (WIPP).
- Argonne staff designed, fabricated, and tested a modified drum ring which allowed for the direct loading of 55-gallon drums to full weight capacity.
- An agreement on Nuclear Footprint Reduction (NFR) Deactivation Plan and incorporation of Nuclear Operations Division (NOD) into FMS was reached, leading to projectizing of Nuclear Footprint Reduction Program and execution of all FY 2009 milestones.
- A site-wide facility disposition plan was developed and CD-0 for EM facility transfer was achieved.
- The Laboratory used a mission-readiness process to develop the infrastructure section of the Annual Laboratory Plan to incorporate program vision and process output.
- Argonne received a 2009 Department of Energy Management Award for outstanding achievements in energy and water management in the design and construction of the Sub-Angstrom Microscopy and Microanalysis Facility project.
- The Laboratory used the Mission Readiness Process approach for the development of the infrastructure section of the Annual Laboratory Plan to incorporate program vision and output from the process. The output from this process as well as progress made on Energy Science Building (ESB) and NFRDP projects are being incorporated into the latest revision of the 20 year modernization plan.

7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support Future Laboratory Programs

- Outstanding performance was accomplished in the development of the ESB Conceptual Design Report (CDR) Package and Preliminary Project Documentation; as a result CD-1 approval was obtained.
- Argonne submitted and gained concurrence on NFR Deactivation Plan (NFRDP) and Incorporation of the NOD in to Facilities Management and Services (FMS) which led to projectizing of Nuclear Footprint Reduction Program and subsequent execution of all FY 2009 milestones being met.
- The Laboratory revised the overall NFRDP execution strategy to include the permanent disposition of material and waste as a result of EM ARRA and FY 2009 omnibus funding. Overhead funding for NFRDP is in line with commitments. Additionally the Laboratory has developed the master consolidated liability funding spread sheet to focus integration of multiple funding sources and facilitate tracking of expenditures.



- Argonne completed a timely implementation of the Building 200 Interim Safety Basis and Building 205 Basis of Interim Operations (BIO). The Building 205 K Wing BIO required a lot of conditions of approval in order to move into implementation.
- Building 212 BIO and Deactivation Plan was submitted on schedule by the Laboratory.
- The Alpha Gamma Hot Cell Facility Safety Basis has yet to be approved by DOE.
- Argonne developed and supported HQ concurrence on sitewide facility disposition plan and CD-0 package reviews to support the transfer of facilities to EM. This accomplishment addresses SC concerns related to the validity of Argonne’s 20 year Modernization Plan assumption regarding EM’s acceptance of new scope. This approval and subsequent facility schedule agreement removes the barriers associated with no decommissioning and decontamination scope included in SLI new construction projects and the removal antiquated space.
- Argonne staff developed detailed baselines and began execution for a \$98.5M ARRA project to support early execution of new EM scope. This additional work scope is equal to the Laboratory’s routine infrastructure budget and expedites the permanent removal of nuclear waste and material from the site.
- Argonne met all of FY 2009 Intense Pulsed Neutron Source (IPNS) Transition target goals and began engineering analysis to support early transition to EM (FY 2011 vs. FY 2012).
- Increased Senior Management Engagement is needed in Strategic Infrastructure Initiatives and Critical Project Outcomes supporting overhead budget and long-term liability reductions.
- In response to FY 2008 opportunities for improvement, Argonne expanded the use of the project reporting tool to include all projects managed within OPM.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs					
7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs	B+	3.4	30%	1.02	
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs	B	3.0	70%	2.10	
Performance Goal 7.0 Total					3.1/B+

Table 7.1 – Goal 7 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 7.2 – Goal 7 Final Letter Grade



8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems

The Contractor sustains and enhances the effectiveness of integrated safeguards and security and emergency management through a strong and well deployed system.

The weight of this Goal is 10%.

Goal 8.0 measured the Contractor's overall success in safeguarding and securing Laboratory assets that supports the mission(s) of the Laboratory in an efficient and effective manner and provides an effective emergency management program.

SUMMARY:

Argonne's Emergency Planning Hazards Assessment (EPHA) process, which is required by DOE O 151.1C "Comprehensive Emergency Management System", is only 50% implemented – a major component lacking in the Laboratory's emergency planning. Although late, Argonne has recently added two full-time positions to assist in the correction of long-standing emergency management issues.

Argonne pioneered the Federated Intrusion Detection Model, an automated means to interlink the Intrusion Detection System (IDS) at the labs, allowing the detection of an attack at one Lab to instantly spread notification responses to other Laboratories. Argonne is looked to by the Office of Science and other laboratories for expertise on cyber security issues, including consultations with National Nuclear Security Administration Laboratories on ways to limit the impact of the "pass the hash" exploit. Argonne is in the forefront in supporting Office of Science cyber security initiatives.

8.1 Provide an Efficient and Effective Emergency Management System

- Implementation of the EPHA process has not been fully implemented as required by DOE Order 151.1C. However, the Laboratory is on target with their schedule for completion of the EPHAs, which are now 50% complete.
- The annual site-wide emergency exercise was conducted in April 2009 as part of the Compliance Oversight and Assessment (COA) management evaluation. Corrective actions from the 2008 site-wide exercise have been completed. Corrective actions are being developed to address FY 2009 issues.
- Laboratory emergency management staffing will be doubling in the near future. The Deputy Emergency Management Officer and Testing, Training, Exercise Officer are being filled.
- COA assessment and HSS assist visit provided valuable input for program improvements; corrective actions were developed and are being tracked via iCatch.

8.2 Provide an Efficient and Effective System for Cyber-Security

- The Laboratory was awarded the 2009 DOE Cyber Security Innovative Technical Achievement Award for the Federated Model Intrusion Detection System.
- Argonne is leading the DOE complex in implementation of a key tenet of the Homeland Security Presidential Directive – enabling access by Personal Identification Verification (PIV) badge.



- No major cyber-security incidents occurred in FY 2009.
- Argonne has performed outreach activities that have included leadership in the DOE Office of Science Cyber Security R&D Working Group, and chairing two, and participating in all, of the committees of the SC Cyber Security Enhancement Project.

8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property

- The Laboratory achieved reductions in inventory of nuclear materials inventory which provides long term cost savings to DOE and to Argonne.
- Despite significant increase in nuclear material activity, Argonne had zero transaction error rates and no inaccuracies in accounting records for nuclear materials.

8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information

- All computer systems accessing classified data have been transitioned to a “diskless environment”. Testing and re-accreditation is ongoing.
- An external review of Classification and Information Control was conducted during FY 2009. No findings were identified.
- All site visitors from sensitive countries received full review and approval per DOE directive and Laboratory Foreign Visits/Assignments policy prior to site access.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM)					
8.1 Provide an Efficient and Effective Emergency Management System	C	2.0	25%	0.50	
8.2 Provide an Efficient and Effective System for Cyber-Security	A	3.8	25%	0.95	
8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property	A-	3.6	25%	0.90	
8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information	B+	3.3	25%	0.83	
Performance Goal 8.0 Total					3.2/B+

Table 8.1 – Goal 8 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 8.2 – Goal 8 Final Letter Grade



Attachment I

Performance Evaluations of Goals 1.0, 2.0 and 3.0

Department of Energy Program Office Evaluations (in full text)*

Total Pages

Office of Science:

Office of Advanced Scientific Computing Research	6
Office of Basic Energy Sciences	6
Office of Biological and Environmental Research	5
Office of High Energy Physics	4
Office of Nuclear Physics	7
Office of Workforce Development for Teachers and Scientists	4

Office of Energy Efficiency and Renewable Energy:

Office of Energy Efficiency and Renewable Energy (overview)	6
Biomass Program	5
Hydrogen Fuel Cells and Infrastructure Technologies Program	4
Industrial Technologies Program	4
Solar Energy Technologies Program	4
Vehicle Technologies Program	7

Office of Nuclear Energy:

Office of Fuel Cycle Research and Development	2
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Nuclear Security Administration:

Office of Global Threat Reduction	5
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* Individual Argonne employee names which were expressly mentioned within the evaluations have been redacted prior to publication of this report to protect the individual's right to privacy relative to their place and manner of employment. Additionally, certain business names for those firm's currently under contract to, or awarded business with, the Laboratory have also been redacted.