

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT 1. CONTRACT ID CODE PAGE OF PAGES
 12SC001633 1 4

2. AMENDMENT/MODIFICATION NO. 3. EFFECTIVE DATE 4. REQUISITION/PURCHASE REQ. NO. 5. PROJECT NO. (If applicable)
 485 See Block 16C 12SC001633

6. ISSUED BY CODE 7. ADMINISTERED BY (If other than Item 6) CODE
 06004 06004

Argonne Site Office U.S. Department of Energy Argonne Site Office 9800 South Cass Avenue Argonne IL 60439
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8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code) 9A. AMENDMENT OF SOLICITATION NO.
 UCHICAGO ARGONNE, LLC Attn: Dr. Donald Levy 5801 SOUTH ELLIS AVENUE, ADM. 503 CHICAGO IL 606375418
 9B. DATED (SEE ITEM 11)
 10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC02-06CH11357
 10B. DATED (SEE ITEM 13) 07/31/2006

9. CODE 624449968 FACILITY CODE

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS
 The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of offers is extended, is not extended.
 Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing Items 8 and 15, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGEMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)
 Not Applicable.

13. THIS ITEM ONLY APPLIES TO MODIFICATION OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

CHECK ONE
 A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
 B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation data, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 48.103(b).
 X C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF Mutual Agreement of the Parties.
 D. OTHER (Specify type of modification and authority)

E. IMPORTANT: Contractor is not, is required to sign this document and return 1 copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible)
 See Page 2.
 FOB: Destination
 Period of Performance: 10/01/2006 to 09/30/2015

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remain unchanged and in full force and effect.
 15A. NAME AND TITLE OF SIGNER (Type or print) 16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)
 Donald H. Levy Vice President for Research CEO, UChicago Argonne, LLC Kristian E. Palmer
 15B. CONTRACTOR/OFFICER 15C. DATE SIGNED 16B. UNITED STATES OF AMERICA 16C. DATE SIGNED
 [Signature] 1/20/2012 [Signature] 1/24/12
 (Signature of person authorized to sign) (Signature of Contracting Officer)

14. DESCRIPTION OF AMENDMENT/MODIFICATION, continued.

This modification is issued to update the following contract Sections: 1) Part I, Section H – Special Contract Requirements; 2) Part II, Section I – Contract Clauses Table of Contents and Part II, Section I – Contract Clauses; and 3) Part III, Section J – List of Attachments, Appendices B, C, E, G, H and I, as follows:

A. PART I, SECTION H, SPECIAL CONTRACT REQUIREMENTS, is revised as follows:

1. Section H, Special Contract Requirements, Table of Contents, attached hereto and made a part hereof, is substituted for Section H, Special Contract Requirements, Table of Contents, previously incorporated into the contract in Modification No. 387.
2. In Section H, Special Contract Requirements, the following clause changes are made:
 - (a) In Section H, Special Contract Requirements, Clause H.15, Standards of Contractor Performance Evaluation, Paragraph (4) is hereby revised as follows:

“4. The Contractor shall provide periodic updates, as requested by the DOE, on the performance against the Performance Evaluation Management Plan in Appendix B. The Contractor shall provide a formal status briefing at mid-year and year-end. Specific due dates and formats for the above-mentioned briefings shall be agreed to by the Laboratory Director and the DOE Argonne Site Office Manager.”
 - (b) “Clause No. H.37, Reserved” is substituted for “Clause No. H.37 Compliance with Internet Protocol Version 6 (IPv6) in Acquiring Information Technology” previously incorporated into the contract as awarded.

B. PART II, SECTION I, CONTRACT CLAUSES, is revised as follows:

1. Section I, Contract Clauses, Table of Contents, attached hereto and made a part hereof, is substituted for Section I, Contract Clauses, Table of Contents, previously incorporated into the contract in Modification No. 387.
2. In Section I, Contract Clauses, the following clause substitutions are made:
 - (a) “Clause No. I.1, FAR 52.202-1 Definitions (JAN 2012) (DEVIATION) (FEB 2011)” is hereby substituted for “Clause No. I.1, FAR 52.202-1 Definitions (JUL 2004) (DEVIATION)” previously incorporated into the contract by Modification No. 387.

14. DESCRIPTION OF AMENDMENT/MODIFICATION, continued.

- (b) "Clause No. I.9, FAR 52.204-4 Printed Or Copied Double-Sided On Postconsumer Fiber Content Paper (MAY 2011)" is substituted for "Clause No. I.9, FAR 52.204-4 Printed Or Copied Double-Sided On Recycled Paper (AUG 2000)" previously incorporated into the contract by Modification No. M037.
- (c) "Clause No. I.12A, FAR 52.209-9 Updates of Publically Available Information Regarding Responsibility Matters (JAN 2012) (Alternate I) (JAN 2011)" is hereby substituted for "Clause No. I.12A, FAR 52.209-9 Updates of Publically Available Information Regarding Responsibility Matters (JAN 2011) (Alternate I) (JAN 2011)" previously incorporated into the contract by Modification No. 387.
- (d) "Clause No. I.36, FAR 52.223-5 Pollution Prevention and Right-To-Know Information (MAY 2011) (Alternates I and II) (MAY 2011)" is substituted for "Clause No. I.36, FAR 52.223-5 Pollution Prevention and Right-To-Know Information (AUG 2003) (Alternate I) (AUG 2003)(includes modifications in AL 2008-05)(DEVIATION)", previously incorporated into the contract by Modification No. M078.
- (e) "Clause No. I.39, FAR 52.223-10 Waste Reduction Program (MAY 2011)" is substituted for "Clause No. I.39, FAR 52.223-10 Waste Reduction Program (AUG 2000) (includes modification in AL 2008-05) (DEVIATION)", previously incorporated into the contract by Modification No. M078.
- (f) "Clause No. I.42C, FAR 52.223-18 Encouraging Contractor Policies to Ban Text Messaging While Driving (AUG 2011)" is substituted for "Clause No. I.42C, FAR 52.223-18 Contractor Policy to Ban Text Messaging While Driving (SEP 2010)", previously incorporated into the contract by Modification No. 296.
- (g) "Clause No. I.42D, FAR 52.223-19, Compliance with Environmental Management Systems (MAY 2011)" is hereby incorporated into the contract.
- (h) "Clause No. I.100, DEAR 970.5215-1, Total Available Fee: Base Fee Amount and Performance Fee Amount (DEC 2000) (Alternates II and IV)(DEC 2000)" is substituted for "Clause No. I, 100, DEAR 970.5215-1, Total Available Fee: Base Fee and Amount and Performance Fee Amount (DEC 2000) (Alternates II and III)(DEC 2000)," previously incorporated into the contract by Modification No. M037.
- (i) "Clause No. I.135 DEAR 970.5244-1, Contractor Purchasing System (AUG 2009)(DEVIATION)(AUG 2011)" is substituted for "Clause No. I.135 DEAR 970.5244-1, Contractor Purchasing System (AUG 2009)," previously incorporated into the contract by Modification No. M078.

14. DESCRIPTION OF AMENDMENT/MODIFICATION, continued.

C. PART III, SECTION J, LIST OF ATTACHMENTS, is revised as follows:

1. Attachment No. J. 2, Appendix B – Performance Evaluation and Measurement Plan for FY2012, attached hereto and made a part hereof, is substituted for Attachment No. J. 2, Appendix B – Performance Evaluation and Management Plan for FY2011, previously incorporated into the contract by Modification No. 462.
2. Attachment No. J. 3, Appendix C – Special Financial Institution Account Agreement, attached hereto and made a part hereof, is substituted for Attachment No. J. 3, Appendix C – Special Financial Institution Account Agreement, previously incorporated into the contract by Modification No. M002.
3. Attachment No. J.5, Appendix E – Key Personnel, attached hereto and made a part hereof, is substituted for Attachment No. J. 5, Appendix E – Key Personnel, previously incorporated into the contract by Modification No. 387.
3. Attachment No. J. 7, Appendix G – Purchasing System Requirements, attached hereto and made a part hereof, is substituted for Attachment No. J. 7, Appendix G – Purchasing System Requirements, previously incorporated into the contract as awarded.
4. Attachment No. J. 8, Appendix H – Small Business Subcontracting Plan, attached hereto and made a part hereof, is substituted for Attachment No. J. 8, Appendix I – Small Business Subcontracting Plan, previously incorporated into the contract by Modification No. 296.
5. Attachment No. J. 9, Appendix I – DOE Directives/List B, attached hereto and made a part hereof, is substituted for Attachment No. J. 9, Appendix I – DOE Directives/List B, previously incorporated into the contract by Modification No. 387.

D. ALL OTHER TERMS AND CONDITIONS REMAIN UNCHANGED.

END OF MODIFICATION

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FY 2012

Performance Evaluation and Measurement Plan

Applicable to the
Management and Operation of

Argonne National Laboratory

Department of Energy
Office of Science
Argonne Site Office

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INTRODUCTION

This document, the Performance Evaluation and Measurement Plan (PEMP), primarily serves as DOE's Quality Assurance/Surveillance Plan (QASP) for the evaluation of UChicago Argonne, LLC (hereafter referred to as "the Contractor") performance regarding the management and operations of the Argonne National Laboratory (hereafter referred to as "the Laboratory") for the evaluation period from October 1, 2011, through September 30, 2012. The performance evaluation provides a standard by which to determine whether the Contractor is managerially and operationally in control of the Laboratory and is meeting the mission requirement and performance expectations/objectives of the Department as stipulated within this contract.

This document also describes the distribution of the total available performance-based fee and the methodology for determining the amount of fee earned by the Contractor as stipulated within the clauses entitled, "Determining Total Available Performance Fee and Fee Earned," "Conditional Payment of Fee, Profit, or Incentives," and "Total Available Fee: Base Fee Amount and Performance Fee Amount." In partnership with the Contractor and other key customers, the Department of Energy (DOE) Headquarters (HQ) and the Site Office have defined the measurement basis that serves as the Contractor's performance-based evaluation and fee determination.

The Performance Goals (hereafter referred to as Goals), Performance Objectives (hereafter referred to as Objectives) and set of notable outcomes discussed herein were developed in accordance with contract expectations set forth within the contract. The notable outcomes for meeting the Objectives set forth within this plan have been developed in coordination with HQ program offices as appropriate. Except as otherwise provided for within the contract, the evaluation and fee determination will rest solely on the Contractor's performance within the Performance Goals and Objectives set forth within this plan.

The overall performance against each Objective of this performance plan, to include the evaluation of notable outcomes, shall be evaluated jointly by the appropriate HQ office, major customer and/or the Site Office as appropriate. This cooperative review methodology will ensure that the overall evaluation of the Contractor results in a consolidated DOE position taking into account specific notable outcomes as well as all additional information available to the evaluating office. The Site Office shall work closely with each HQ program office or major customer throughout the year in evaluating the Contractor's performance and will provide observations regarding programs and projects as well as other management and operation activities conducted by the Contractor throughout the year.

Section I provides information on how the performance rating (grade) for the Contractor, as well as how the performance-based incentives fee earned (if any) will be determined. As applicable, also provides information on the award term eligibility requirements.

Section II provides the detailed information concerning each Goal, their corresponding Objectives, and notable outcomes identified, along with the weightings assigned to each Goal and Objective and a table for calculating the final grade for each Goal.

I. DETERMINING THE CONTRACTOR'S PERFORMANCE RATING, PERFORMANCE-BASED FEE AND AWARD TERM ELIGIBILITY (as applicable)

The FY 2012 Contractor performance grades for each Goal will be determined based on the weighted sum of the individual scores earned for each of the Objectives described within this document for Science and Technology (S&T) and for Management and Operations (M&O). Each Goal is composed of two or more weighted Objectives. Additionally, a set of notable outcomes has been identified to highlight key aspects/areas of performance deserving special attention by the Contractor for the upcoming fiscal year. Each notable outcome is linked to one or more Objectives, and failure to meet expectations against any notable outcome will result in a grade less than B+ for that Objective(s) (i.e., if the contractor fails to meet expectations against a notable outcome tied to an Objective under Goal 1.0, 2.0, or 3.0, the SC program office that assigned the notable outcome shall award a grade less than “B+” for the Objective(s) to which the notable outcome is linked; and if the contractor fails to meet expectations against a notable outcome tied to an Objective under Goal 4.0, 5.0, 6.0, 7.0 or 8.0, SC shall award a grade less than “B+” for the Objective(s) to which the notable outcome is linked). Performance above expectations against a notable outcome will be considered in the context of the Contractor’s entire performance with respect to the relevant Objective. The following section describes SC’s methodology for determining the Contractor’s grades at the Objective level.

Performance Evaluation Methodology:

The purpose of this section is to establish a methodology to develop grades at the Objective level. Each evaluating office shall provide a proposed grade and corresponding numerical score for each Objective (see Figure 1 for SC’s scale). Each evaluation will measure the degree of effectiveness and performance of the Contractor in meeting the corresponding Objectives.

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

Figure 1. FY 2012 Contractor Letter Grade Scale

For the three S&T Goals (1.0 – 3.0) the Contractor shall be evaluated against the defined levels of performance provided for each Objective under the S&T Goals. The Contractor performance under Goal 4.0 will also be evaluated using the defined levels of performance described for the three Objectives under Goal 4.0. The descriptions for these defined levels of performance are included in Section II.

It is the DOE’s expectation that the Contractor provides for and maintains management and operational (M&O) systems that efficiently and effectively support the current mission(s) of the Laboratory and assure the Laboratory’s ability to deliver against DOE’s future needs. In evaluating the Contractor’s performance DOE shall assess the degree of effectiveness and performance in meeting each of the Objectives provided under each of the Goals. For the four M&O Goals (5.0 – 8.0) DOE will rely on a combination of the information through the Contractor’s own assurance systems, the ability of the Contractor to demonstrate the validity of this information, and DOE’s own independent assessment of the Contractor’s performance across the spectrum of its responsibilities. The latter might include, but is not limited to operational awareness (daily oversight) activities; formal assessments conducted; “For Cause” reviews (if any); and other outside agency reviews (OIG, GAO, DCAA, etc.).

The mission of the Laboratory is to deliver the science and technology needed to support Departmental missions and other sponsor's needs. Operational performance at the Laboratory meets DOE's expectations (defined as the grade of B+) for each Objective if the Contractor is performing at a level that fully supports the Laboratory's current and future science and technology mission(s). Performance that has, or has the potential to, 1) adversely impact the delivery of the current and/or future DOE/Laboratory mission(s), 2) adversely impact the DOE and or the Laboratory's reputation, or 3) does not provide the competent people, necessary facilities and robust systems necessary to ensure sustainable performance, shall be graded below expectations as defined in Figure 3, below.

The Department sets our expectations high, and expects performance at that level to optimize the efficient and effective operation of the Laboratory. Thus, the Department does not expect routine Contractor performance above expectations against the M&O Goals (5.0 – 8.0). Performance that might merit grades above B+ would need to reflect a Contractor's strong improvement in a particular area, significant contributions to the management and operations at the system of Laboratories, or recognition by external, independent entities as exemplary performance.

Definitions for the grading scale for the Goal 5.0 – 8.0 Objectives are provided in Figure I-1, below:

Letter Grade	Numerical Grade	Definition
A+	4.3-4.1	Significantly exceeds expectations of performance against all aspects of the Objective in question. The Contractor's systems function at a level that fully supports the Laboratory's current and future science and technology mission(s). Performance is notable for its significant contributions to the management and operations across the SC system of laboratories, and/or has been recognized by external, independent entities as exemplary.
A	4.0-3.8	Notably exceeds expectations of performance against all aspects of the Objective in question. The Contractor's systems function at a level that fully supports the Laboratory's current and future science and technology mission(s). Performance is notable for its contributions to the management and operations across the SC system of laboratories, and/or as been recognized by external, independent entities as exemplary.
A-	3.7-3.5	Exceeds expectations of performance against all aspects of the Objective in question. The Contractor's systems function at a level that fully supports the Laboratory's current and future science and technology mission(s).
B+	3.4-3.1	Meets expectations of performance against all aspects of the Objective in question. The Contractor's systems function at a level that fully supports the Laboratory's current and future science and technology mission(s). No performance has, or has the potential to, adversely impact 1) the delivery of the current and/or future DOE/Laboratory mission(s), 2) the DOE and/or the Laboratory's reputation, or does not 3) provide a sustainable performance platform.
B	3.0 -2.8	Just misses meeting expectations of performance against a few aspects of the Objective in question. In a few minor instances, the Contractor's systems function at a level that does not fully support the Laboratory's current and future science and technology mission, or provide a sustainable performance platform.

Letter Grade	Numerical Grade	Definition
B-	2.7-2.5	Misses meeting expectations of performance against several aspects of the Objective in question. In several areas, the Contractor's systems function at a level that does not fully support the Laboratory's current and future science and technology mission, or provide a sustainable performance platform.
C+	2.4-2.1	Misses meeting expectations of performance against many aspects of the Objective in question. In several notable areas, the Contractor's systems function at a level that does not fully support the Laboratory's current and future science and technology mission or provide a sustainable performance platform, and/or have affected the reputation of the Laboratory or DOE.
C	2.0-1.8	Significantly misses meeting expectations of performance against many aspects of the Objective in question. In many notable areas, the Contractor's systems do not support the Laboratory's current and future science and technology mission, nor provide a sustainable performance platform and may affect the reputation of the Laboratory or DOE.
C-	1.7- 1.1	Significantly misses meeting expectations of performance against most aspects of the Objective in question. In many notable areas, the Contractor's systems demonstrably hinder the Laboratory's ability to deliver on current and future science and technology mission, and have harmed the reputation of the Laboratory or DOE.
D	1.0-0.8	Most or all expectations of performance against the Objective in question are missed. Performance failures in this area have affected all parts of the Laboratory; DOE leadership engagement is required to deal with the situation and help the Contractor.
F	0.7-0	All expectations of performance against the Objective in question are missed. Performance failures in this area are not recoverable by the Contractor or DOE.

Figure I-1. Letter Grade and Numerical Grade Definitions

Calculating Individual Goal Scores and Letter Grades:

Each Objective is assigned the earned numerical score by the evaluating office as stated above. The Goal rating is then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values are then added together to develop an overall numerical score for each Goal. For the purpose of determining the final Goal grade, the raw numerical score for each Goal will be rounded to the nearest tenth of a point using the standard rounding convention discussed below and then compared to Figure 2. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective numerical scores to the Goal grade. No overall rollup grade shall be provided.

As stated above the raw numerical score from each calculation shall be carried through to the next stage of the calculation process. The raw numerical score for S&T and M&O will be rounded to the nearest tenth of a point for purposes of determining fee. 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.5).

The eight Performance Goal grades shall be used to create a report card for the laboratory (see Figure 2, below).

Performance Goal	Grade
1.0 Mission Accomplishment	
2.0 Design, Fabrication, Construction and Operations of Research Facilities	
3.0 Science and Technology Program Management	
4.0 Sound and Competent Leadership and Stewardship of the Laboratory	
5.0 Integrated Safety, Health, and Environmental Protection	
6.0 Business Systems	
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio	
8.0 Integrated Safeguards and Security Management and Emergency Management Systems	

Figure 2. Laboratory Report Card

Determining the Amount of Performance-Based Fee Earned:

SC uses the following process to determine the amount of performance-based fee earned by the contractor. The S&T score from each evaluator shall be used to determine an initial numerical score for S&T (see Table A, below), and the rollup of the scores for each M&O Performance Goal shall be used to determine an initial numerical M&O score (see Table B, below).

Program	Numerical Score	Weight ¹	Weighted Score	Total Score
Office of Advanced Scientific Computing Research		TBD		
Office of Basic Energy Sciences		TBD		
Office of Biological and Environmental Research		TBD		
Office of High Energy Physics		TBD		
Office of Nuclear Physics		TBD		
Office of Workforce Development for Teachers and Scientists		TBD		
Office of Defense Nuclear Nonproliferation		TBD		
Office of Energy Efficiency and Renewable Energy		TBD		
Office of Nuclear Energy		TBD		
Department of Homeland Security		TBD		
Initial S&T Score				

Table A. Fiscal Year Contractor Evaluation Initial S&T Score Calculation

¹ Weight = FY12 Program budget divided by FY12 total budget

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M&O Performance Goal	Numerical Score	Weight	Weighted Score
5.0 Integrated Safety, Health, and Environmental Protection		25%	
6.0 Business Systems		30%	
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio		20%	
8.0 Integrated Safeguards and Security Management and Emergency Management Systems		25%	
Initial M&O Score			

Table B. Fiscal Year Contractor Evaluation Initial S&T Score Calculation

These initial scores will then be adjusted based on the numerical score for Goal 4.0 (see Table C, below).

	Numerical Score	Weight
Initial S&T Score		0.75
Goal 4.0		0.25
Final S&T Score		
Initial M&O Score		0.75
Goal 4.0		0.25
Final M&O Score		

Table C. FY Fiscal Year Final S&T and M&O Score Calculation

The percentage of the available performance-based fee that may be earned by the Contractor shall be determined based on the final score for S&T (see Table C) and then compared to Figure 3, below. The final score for M&O from Table C shall then be utilized to determine the final fee multiplier (see Figure 3), which shall be utilized to determine the overall amount of performance-based fee earned for FY 2012 as calculated within Table D.

Overall Final Score for either S&T or M&O 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%

Figure 3. Performance-Based Fee Earned Scale

Overall Fee Determination	
Percent S&T Fee Earned	
M&O Fee Multiplier	x
Overall Earned Performance-Based Fee	

Table D. Final Percentage of Performance-Based Fee Earned Determination

Adjustment to the Letter Grade and/or Performance-Based Fee Determination:

The lack of performance objectives and notable outcomes in this plan do not diminish the need to comply with minimum contractual requirements. Although the performance-based Goals and their corresponding Objectives shall be the primary means utilized in determining the Contractor's performance grade and/or amount of performance-based fee earned, the Contracting Officer may unilaterally adjust the rating and/or reduce the otherwise earned fee based on the Contractor's performance against all contract requirements as set forth in the Prime Contract. While reductions may be based on performance against any contract requirement, specific note should be made to contract clauses which address reduction of fee including, Standards of Contractor Performance Evaluation, DEAR 970.5215-1 – Total Available Fee: Base Fee Amount and Performance Fee Amount, and Conditional Payment of Fee, Profit, and Other Incentives – Facility Management Contracts. Data to support rating and/or fee adjustments may be derived from other sources to include, but not limited to, operational awareness (daily oversight) activities; "For Cause" reviews (if any); and other outside agency reviews (OIG, GAO, DCAA, etc.), as needed.

The adjustment of a grade and/or reduction of otherwise earned fee will be determined by the severity of the performance failure and consideration of mitigating factors. DEAR 970.5215-3 Conditional Payment of Fee, Profit, and Other Incentives – Facility Management Contracts is the mechanism used for reduction of fee as it relates to performance failures related to safeguarding of classified information and to adequate protection of environment, health and safety. Its guidance can also serve as an example for reduction of fee in other areas.

The final Contractor performance-based grades for each Goal and fee earned determination will be contained within a year-end report, documenting the results from the DOE review. The report will identify areas where performance improvement is necessary and, if required, provide the basis for any performance-based rating and/or fee adjustments made from the otherwise earned rating/fee based on Performance Goal achievements.

Determining Award Term Eligibility:

The base term of the Prime Contract is five years. The Prime Contract contains a non-monetary performance incentive, in Section F "Deliveries or Performance" at Clause F.2. "Award Term Incentive (Special)", which allows the contractor to earn up to an additional fifteen years of Prime Contract term for exemplary performance. The contractor has earned four of the fifteen available years of award term by virtue of its contract performance throughout the base term. Therefore, eleven additional years of award term remain obtainable to be earned as a result of exemplary performance in accordance with contract terms.

II. PERFORMANCE GOALS, OBJECTIVES & NOTABLE OUTCOMES

Background

The current performance-based management approach to oversight within DOE has established a new culture within the Department with emphasis on the customer-supplier partnership between DOE and the laboratory contractors. It has also placed a greater focus on mission performance, best business practices, cost management, and improved contractor accountability. Under the performance-based management system the DOE provides clear direction to the laboratories and develops annual performance plans (such as this one) to assess the contractors performance in meeting that direction in accordance with contract requirements. The DOE policy for implementing performance-based management includes the following guiding principles:

- Performance objectives are established in partnership with affected organizations and are directly aligned to the DOE strategic goals;
- Resource decisions and budget requests are tied to results; and
- Results are used for management information, establishing accountability, and driving long-term improvements.

The performance-based approach focuses the evaluation of the Contractor's performance against these Performance Goals. Progress against these Goals is measured through the use of a set of Objectives. The success of each Objective will be measured based on demonstrated performance by the laboratory, and on a set of notable outcomes that focus laboratory leadership on the specific items that are the most important initiatives and highest risk issues the laboratory must address during the year. These notable outcomes should be objective, measurable, and results-oriented to allow for a definitive determination of whether or not the specific outcome was achieved at the end of the year.

Performance Goals, Objectives, and Notable Outcomes

The following sections describe the Performance Goals, their supporting Objectives, and associated notable outcomes for FY 2012.

GOAL 1.0 Provide for Efficient and Effective Mission Accomplishment

The science and technology programs at the Laboratory produce high-quality, original, and creative results that advance science and technology; demonstrate sustained scientific progress and impact; receive appropriate external recognition of accomplishments; and contribute to overall research and development goals of the Department and its customers.

The weight of this Goal is 39%.

The Provide for Efficient and Effective Mission Accomplishment Goal measures the overall effectiveness and performance of the Contractor in delivering science and technology results which contribute to and enhance 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.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science, other cognizant HQ Program Offices, and other customers as identified below. The overall Goal score from each HQ Program Office and/or customer is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 1.1). Weightings for each Customer listed below are preliminary, based upon FY 2011 cost figures, and are provided here for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual cost for FY 2012.

- Office of Advanced Scientific Computing Research (ASCR) (15.10%)
- Office of Basic Energy Sciences (BES) (41.36%)
- Office of Biological and Environmental Research (BER) (6.13%)
- Office of High Energy Physics (HEP) (3.02%)
- Office of Nuclear Physics (NP) (5.70%)
- Office of Defense Nuclear Nonproliferation (DNN) (12.06%)
- Office of Energy Efficiency and Renewable Energy (EERE) (11.30%)
- Office of Nuclear Energy (NE) (4.81%)
- Department of Homeland Security (DHS) (0.53%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 1.2, below). The overall score earned is then compared to Table 1.3 to determine the overall letter grade for this Goal. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science, other cognizant HQ Program Offices, and other customers for which the Laboratory conducts work. Should one or more of the HQ Program Offices choose not to provide an evaluation for this Goal and its corresponding Objectives the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of cost for FY 2012 as compared to the total cost for those remaining HQ Program Offices.

Objectives

1.1 Provide Science and Technology Results with Meaningful Impact on the Field

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

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- Performance of the Laboratory with respect to proposed research plans;
- Performance of the Laboratory with respect to community impact and peer review; and
- Performance of the Laboratory with respect to impact to DOE mission needs.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Impact of publications on the field, as measured primarily by peer review;
- Impact of S&T results on the field, as measured primarily by peer review;
- Impact of S&T results outside the field indicating broader interest;
- Impact of S&T results on DOE or other customer mission(s);
- Successful stewardship of mission-relevant research areas;
- Delivery on proposed S&T plans;
- Significant awards (Nobel Prizes, R&D 100, FLC, etc.);
- Invited talks, citations, making high-quality data available to the scientific community; and
- Development of tools and techniques that become standards or widely-used in the scientific community.

Letter Grade	Definition
A+	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> • There are <i>significant research areas</i> for which the Laboratory has exceeded the expectations of the proposed research plans <i>in significant ways through creative, new, or unconventional methods that allow greater scientific reach than expected.</i> • S&T conducted at the Laboratory <i>has resolved one of the most critical questions in the field, or has changed the way the research community thinks about a particular field through paradigm shifting discoveries that would be considered the most influential discovery of the decade for that field.</i> • S&T conducted at the Laboratory <i>provided major advances that significantly accelerate DOE or other customer mission(s).</i>
A	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> • There are <i>important examples</i> where the Laboratory <i>exceeded the expectations</i> of the proposed research plans <i>in significant ways through creative, new, or unconventional methods that allow greater scientific reach than expected.</i> • <i>All areas</i> of S&T conducted at the Laboratory are of <i>exceptional or outstanding</i> merit and quality. • S&T conducted at the Laboratory has <i>significant positive impact</i> to DOE or other customer missions.
A-	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> • There are <i>important examples</i> where the Laboratory <i>exceeded the expectations</i> of the proposed research plans. • <i>Significant areas</i> of S&T conducted at the Laboratory are of <i>exceptional or outstanding</i> merit and quality. • S&T conducted at the Laboratory <i>significantly impact</i> DOE or other customer missions.
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • The Laboratory has successfully executed proposed research plans. • S&T conducted at the Laboratory are of <i>high</i> scientific merit and quality • S&T conducted at the Laboratory <i>advance</i> DOE or other customer missions.

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Letter Grade	Definition
B	<ul style="list-style-type: none"> • The Laboratory has successfully executed proposed research plans. • S&T conducted at the Laboratory <i>advance</i> DOE or other customer missions. <p>BUT the Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • S&T conducted at the Laboratory are <i>not uniformly of high</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> OR <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.</i>
B-	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • The Laboratory has <i>failed to successfully execute</i> proposed research plans <i>but contingencies were in place such that no funding was or will be terminated.</i> OR S&T conducted at the Laboratory <i>does little to advance</i> DOE or other customer missions. • <i>Significant areas of S&T</i> conducted at the Laboratory are <i>not of high</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> OR <i>the Laboratory do not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.</i>
C	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>In several significant aspects,</i> the Laboratory <i>failed to deliver</i> on proposed research plans <i>using available resources such that some funding was or will be terminated</i> OR S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions • <i>Significant areas of S&T</i> conducted at the Laboratory are <i>of poor</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.</i>
D	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>Multiple program elements at the Laboratory failed to deliver</i> on proposed research plans <i>using available resources such that significant funding was or will be terminated.</i> • <i>Multiple significant areas of S&T</i> conducted at the Laboratory are <i>of poor</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.</i> • S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions.
F	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>Multiple program elements at the Laboratory failed to deliver</i> on proposed research plans <i>using available resources resulting in total termination of funding.</i> • <i>Multiple significant areas of S&T</i> conducted at the Laboratory are <i>of poor</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities</i> OR <i>the Laboratory has been found to have engaged in gross scientific incompetence and/or scientific fraud.</i> • S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions.

1.2 Provide Quality Leadership in Science and Technology that Advances Community Goals and DOE Mission Goals.

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- Innovativeness / Novelty of research ideas put forward by the Laboratory;
- Extent to which Laboratory staff members take on substantive or formal leadership roles in their community;

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- Extent to which Laboratory staff members take on formal leadership roles in DOE and SC activities; and
- Extent to which Laboratory staff members contribute thoughtful and thorough peer reviews and other research assessments as requested by DOE and SC.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.:

- Willingness to pursue novel approaches and/or demonstration of innovative solutions to problems;
- Willingness to take on high-risk/high payoff/long-term research problems; evidence that previous risky decisions by the PI/research staff have proved to be correct and are paying off;
- The uniqueness and challenge of science pursued, recognition for doing the best work in the field;
- Extent and quality of collaborative efforts;
- Staff members visible in leadership positions in the scientific community;
- Involvement in professional organizations, National Academies panels and workshops,
- Effectiveness in driving the direction and setting the priorities of the community in a research field; and
- Success in competition for resources.

Letter Grade	Definition
A+	<p>In addition to satisfying the conditions for B+, the following conditions hold for ALL Laboratory staff:</p> <ul style="list-style-type: none"> • Laboratory staff members have <i>leadership positions</i> in professional organizations AND <i>in National Academy or equivalent panels to discuss and determine further research directions</i>; • Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities, for example, Laboratory staff members chair or co-chair DOE-sponsored workshops and strategic planning activities. • The Laboratory program consistently produces and submits competitive proposals that challenge convention and open <i>significant new fields</i> for research that are well aligned with DOE mission needs and <i>the Laboratory has a strong recognized role in setting priorities and driving the direction in key research areas and are internationally recognized leaders in the field.</i> • Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.
A	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> • Laboratory staff members have <i>leadership positions</i> in professional organizations AND <i>staff has contributing role in National Academy or equivalent panels to discuss further research directions</i>; • Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities. • The Laboratory program consistently produces and submits competitive proposals that challenge convention and open <i>significant new fields</i> for research that are well aligned with DOE mission needs and <i>the Laboratory has a strong recognized role in setting priorities and driving the direction in key research areas.</i> • Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.

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Letter Grade	Definition
A-	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> • Laboratory staff members have <i>leadership positions</i> in professional organizations OR <i>staff has contributing role in National Academy or equivalent panels to discuss further research directions</i>; • Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities. • The Laboratory program consistently submits competitive proposals that challenge convention and open <i>significant</i> new avenues for research that are well aligned with DOE mission needs. • Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • Laboratory staff members are <i>active participants</i> in professional organizations, committees, and activities, and take on leadership responsibilities commensurate with experience and expertise. • Laboratory staff members are <i>active participants</i> in DOE sponsored workshops and strategic planning activities. • Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. • The Laboratory program consistently provides competitive proposals that challenge convention and open new avenues for research that are well aligned with DOE mission needs. • Laboratory staff are <i>active participants</i> in multi-institutional research collaborations.
B	<ul style="list-style-type: none"> • Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. • The Laboratory program consistently provides competitive proposals that challenge convention and open new avenues for research that are well aligned with DOE mission needs. <p>BUT the Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • Although <i>regular participants</i> in professional organizations, committees, and activities, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Although <i>regular participants</i> in DOE sponsored workshops and strategic planning activities, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Although <i>active members</i> of multi-institutional research collaborations, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>
B-	<ul style="list-style-type: none"> • Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. <p>BUT the Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • The Laboratory program submits competitive proposals <i>but these either lack innovation or are not well aligned with DOE mission needs.</i> • Laboratory staff are <i>infrequent participants</i> in professional organizations, committees, and activities, and <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Laboratory staff are <i>infrequent participants</i> in DOE sponsored workshops and strategic planning activities, and <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Although <i>active members</i> of multi-institutional research collaborations, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>

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Letter Grade	Definition
C	The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons: <ul style="list-style-type: none"> • Laboratory staff members <i>do not reliably</i> contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. • <i>Some areas of research, previously supported, are no longer competitive.</i> • Laboratory staff members are <i>infrequent participants</i> in professional organizations, committees, and activities, <i>AND the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Laboratory staff members are <i>infrequent participants</i> in DOE sponsored workshops and strategic planning activities, <i>and the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Although Laboratory staff members are <i>active members</i> of multi-institutional research collaborations, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>
D	The Laboratory fails to meet the conditions for B+ because <i>the Laboratory staff are working on problems that are no longer at the forefront of science and are considered mundane.</i>
F	Review has found the Laboratory staff to be <i>guilty of gross scientific incompetence and/or scientific fraud.</i>

Notable Outcomes

- **ASCR:** Complete FY 2012 ARRA milestones on time. (Objective 1.1)
- **BES:** Deliver impactful science for the Energy Frontier Research Centers: “Institute of Atom-Efficient Chemical Transformations” and “Center for Electrical Energy Storage: Tailored Interfaces,” as measured by the FY 2012 Science Reviews. (Objective 1.1)

Program Office ¹	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
1.1 Impact			50%	
1.2 Leadership			50%	
Overall ASCR Total				
Office of Basic Energy Sciences				
1.1 Impact			50%	
1.2 Leadership			50%	
Overall BES Total				
Office of Biological and Environmental Research				
1.1 Impact			60%	
1.2 Leadership			40%	
Overall BER Total				
Office of High Energy Physics				
1.1 Impact			50%	
1.2 Leadership			50%	
Overall HEP Total				

¹ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

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Office of Nuclear Physics				
1.1 Impact			50%	
1.2 Leadership			50%	
Overall NP Total				
Office of Defense Nuclear Nonproliferation				
1.1 Impact			60%	
1.2 Leadership			40%	
Overall DNN Total				
Office of Energy Efficiency and Renewable Energy				
1.1 Impact			60%	
1.2 Leadership			40%	
Overall EERE Total				
Office of Nuclear Energy				
1.1 Impact			75%	
1.2 Leadership			25%	
Overall NE Total				
Department of Homeland Security				
1.1 Impact			50%	
1.2 Leadership			50%	
Overall DHS Total				

Table 1.1 – Program Performance Goal 1.0 Score Development

Program Office	Letter Grade	Numerical Score	Funding Weight (cost) ²	Overall Weighted Score
Office of Advanced Scientific Research			15.10%	
Office of Basic Energy Sciences			41.36%	
Office of Biological and Environmental Research			6.14%	
Office of High Energy Physics			3.03%	
Office of Nuclear Physics			5.70%	
Office of Defense Nuclear Nonproliferation			12.06%	
Office of Energy Efficiency and Renewable Energy			11.30%	
Office of Nuclear Energy			4.81%	
Department of Homeland Security			0.53%	
Performance Goal 1.0 Total				

Table 1.2 – Overall Performance Goal 1.0 Score Development²

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 1.3 – Goal 1.0 Final Letter Grade

² Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY 2011 cost figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual cost for FY 2012.

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

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

The weight of this Goal is 37%.

The Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities Goal shall measure 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 measures 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.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 2.1). Weightings for each office listed below are preliminary, based upon FY 2011 cost figures, and are provided here for informational purposes only. Final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual cost for FY 2012.

- Office of Advanced Scientific Computing Research (ASCR) (18.28%)
- Office of Basic Energy Sciences (BES) (50.07%)
- Office of Biological and Environmental Research (BER) (7.42%)
- Office of High Energy Physics (HEP) (3.65%)
- Office of Nuclear Physics (NP) (6.90%)
- Office of Energy Efficiency and Renewable Energy (EERE) (13.68%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 2.2 below). The overall score earned is then compared to Table 2.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 2.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by DOE HQ Office of Science's (SC) Program Offices for which the Laboratory conducts work. Should one or more of the HQ Program Offices choose not to provide an evaluation for this Goal and its corresponding Objectives the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of cost for FY 2012 as compared to the total cost for those remaining HQ Program Offices.

Objectives

2.1 Provide Effective Facility Design(s) as Required to Support Laboratory Programs (i.e., activities leading up to CD-2)

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

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- The Laboratory’s delivery of accurate and timely information required to carry out the critical decision and budget formulation process;
- The Laboratory’s ability to meet the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets;
- The extent to which the Laboratory appropriately assesses risks and contingency needs; and
- The extent to which the Laboratory is effective in its unique management role and partnership with HQ.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- The quality of the scientific justification for proposed facilities resulting from preconceptual R&D;
- The technical quality of conceptual and preliminary designs and the credibility of the associated cost estimates
- The credibility of plans for the full life cycle of proposed facilities including financing options;
- The leveraging of existing facilities and capabilities of the DOE Laboratory complex in plans for proposed facilities; and
- The novelty and potential impact of new technologies embodied in proposed facilities.

Letter Grade	Definition
A+	<p>In addition to satisfying all conditions for B+; the Laboratory <i>exceeds expectations</i> in <i>all</i> of these categories:</p> <ul style="list-style-type: none"> • The Laboratory is recognized by the research community as the leader for making the science case for the acquisition; • The Laboratory takes the initiative to demonstrate and thoroughly document the potential for transformational scientific advancement. • Approaches proposed by the Laboratory are widely regarded as innovative, novel, comprehensive, and potentially cost-effective. • Reviews repeatedly confirm strong potential for scientific discovery in areas that support the Department’s mission, and potential to change a discipline or research area’s direction. • The Laboratory identifies, analyzes and champions novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing and these efforts result in significant cost estimate and/or risk reductions without loss or, or while enhancing capability.
A	<p>In addition to satisfying all conditions for B+, <i>all</i> of the following conditions are also met:</p> <ul style="list-style-type: none"> • The Laboratory is recognized by the research community as a leader for making the science case for the acquisition; • The Laboratory takes the initiative to demonstrate the potential for revolutionary scientific advancement working in partnership with HQ • The Laboratory identifies, analyzes, and champions, to HQ and Site office, novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing.
A-	<p>In addition to satisfying all conditions for B+, <i>all</i> of the following conditions are also met:</p> <ul style="list-style-type: none"> • The approaches proposed by the Laboratory are widely regarded as innovative, novel, comprehensive, and potentially cost-effective • Reviews repeatedly confirm potential for scientific discovery in areas that support the Department’s mission, and potential to change a discipline or research area’s direction.

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Letter Grade	Definition
B+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • The Laboratory displays leadership and commitment in the development of quality analyses, preliminary designs, and related documentation to support the approval of the mission need (CD-0), the alternative selection and cost range (CD-1) and the performance baseline (CD-2). • Documentation requested by the programs is provided in a timely and thorough manner. • The Laboratory keeps DOE apprised of the status, near-term plans and the resolution of problems on a regular basis; anticipates emerging issues that could impact plans and takes the initiative to inform DOE of possible consequences. • The Laboratory solves problems and addresses issues to avoid adverse impacts to the project.
B	The Laboratory fails to meet expectations in one of the areas listed under B+.
B-	The Laboratory fails to meet expectations in several of the areas listed under B+
C	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the required analyses and documentation developed by the Laboratory are EITHER not innovative, OR reflect a lack of commitment and leadership.
D	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the Laboratory fails to provide a compelling justification for the acquisition.
F	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the approaches proposed by the Laboratory are based on fraudulent assumptions; the science case is weak to non-existent, and the business case is seriously flawed.

2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components (execution phase, post CD-2 to CD-4)

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The Laboratory’s adherence to DOE Order 413.3 Project Management for the Acquisition of Capital Assets;
- Successful fabrication of facility components by the Laboratory;
- The Laboratory’s effectiveness in meeting construction schedule and budget;
- The quality of key Laboratory staff overseeing the project(s); and
- The extent to which the Laboratory maintains open, effective, and timely communication with HQ regarding issues and risks.

Letter Grade	Definition
A+	In addition to satisfying all conditions for A, <ul style="list-style-type: none"> • There is high confidence throughout the execution phase that the project will be completed <i>significantly</i> under budget and/or ahead of schedule while meeting or exceeding all performance baselines;

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Letter Grade	Definition
A	In addition to satisfying all conditions for B+, <ul style="list-style-type: none"> • The Laboratory has identified and implemented practices that would allow the project scope to be <i>significantly expanded</i> if such were desirable; without impact on baseline cost or schedule; • The Laboratory <i>always</i> provides <i>exemplary</i> project status reports on time to DOE and takes the initiative to communicate emerging problems or issues. • Reviews identify environment, safety and health practices to be <i>exemplary</i>. • There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline;
A-	In addition to satisfying all conditions for B+, <ul style="list-style-type: none"> • The Laboratory has identified practices that would allow for the project scope to be expanded if such were desirable, without impact on baseline cost or schedule; • Problems are identified and corrected by the Laboratory promptly, with no impact on scope, cost or schedule • The Laboratory provides <i>particularly useful</i> project status reports on time to DOE and regularly takes the initiative to communicate emerging problems or issues. • Reviews identify environment, safety and health practices to <i>exceed expectations</i>. • There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline;
B+	The Laboratory has achieved each of the following objectives <ul style="list-style-type: none"> • The project meets CD-2 performance measures; • The Laboratory provides sustained leadership and commitment to environment, safety and health; • Reviews regularly recognize the Laboratory for being proactive in the management of the execution phase of the project; • To a large extent, problems are identified and corrected by the Laboratory with little, or no impact on scope, cost or schedule; • DOE is kept informed of project status on a regular basis; reviews regularly indicate project is expected to meet its cost/schedule performance baseline.
B	The Laboratory provides sustained leadership and commitment to environment, safety and health BUT <ul style="list-style-type: none"> • The project fails to meet expectations in <i>one</i> of the remaining areas listed under B+.
B-	The Laboratory provides sustained leadership and commitment to environment, safety and health BUT <ul style="list-style-type: none"> • The project fails to meet expectations in <i>several</i> of the areas listed under B+.
C	The Laboratory provides sustained leadership and commitment to environment, safety and health BUT The project fails to meet expectations in <i>several</i> of the areas listed under B+ AND <ul style="list-style-type: none"> • Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; • Reports to DOE can vary in degree of completeness.
D	The project fails to meet conditions for B+ in at least one of the following areas: <ul style="list-style-type: none"> • Reviews indicate project is likely to breach its cost/schedule performance baseline; • Laboratory commitment to environment, safety and health issues is inadequate; • Reports to DOE are largely incomplete; Laboratory commitment to the project has subsided.
F	The project fails to meet conditions for B+ in at least one of the following areas: <ul style="list-style-type: none"> • Laboratory falsifies data during project execution phase; • Shows disdain for executing the project within minimal standards for environment, safety or health, • Fails to keep DOE informed of project status; • Recent reviews indicate that the project is expected to breach its cost/schedule performance baseline.

2.3 Provide Efficient and Effective Operation of Facilities

In assessing the performance of the Laboratory against this Objective, the following assessment elements

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should be considered:

- The availability, reliability, performance, and efficiency of Laboratory facility(ies);
- The degree to which the facility is optimally arranged to support the user community;
- The extent to which Laboratory R&D is conducted to develop/expand the capabilities of the facility(ies);
- The Laboratory’s effectiveness in balancing resources between facility R&D and user support; and
- The quality of the process used to allocate facility time to users.

Letter Grade	Definition
A+	In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are also met <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>significantly less</i> than planned and are acknowledged to be ‘leadership caliber’ by reviews; • Data on environment, safety, and health continues to be exemplary and widely regarded as among the ‘best in class’ • The Laboratory took extraordinary means to deliver an extraordinary result for the users and the program in the performance/ review period.
A	In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are also met <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in most of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>less</i> than planned and are acknowledged to be ‘leadership caliber’ by reviews; • Data on environment, safety, and health continues to be <i>exemplary</i> and widely regarded as among the ‘best in class.’
A-	In addition to satisfying all conditions for B+, <i>one</i> of the following conditions is met: <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in any of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>less</i> than planned and are acknowledged to be among the best by reviews;
B+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • Performance of the facility <i>meets</i> expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, capability (for example, beam delivery, luminosity, peak performance, etc), • The schedule and the costs associated with the ramp-up to steady state operations occur as planned; • Data on environment, safety, and health continues to be very good as compared with other projects in the DOE. • User surveys meet program expectations and reflect that the Laboratory is responsive to user needs.
B	The project fails to meet expectations in <i>one</i> of the areas listed under B+.
B-	The project fails to meet expectations in <i>more than one</i> of the areas listed under B+.
C	Performance of the facility fails to meet expectations in <i>many</i> of the areas listed under B+; for example, <ul style="list-style-type: none"> • The cost of operations is unexpectedly high and availability of the facility is unexpectedly low, the number of users is unexpectedly low, capability is well below expectations. • The facility operates at steady state, on cost and on schedule, but the reliability of performance is somewhat below planned values, <u>or</u> the facility operates at steady state, but the associated schedule and costs exceed planned values. • Commitment to environment, safety, and health is satisfactory.

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Letter Grade	Definition
D	<p>Performance of the facility fails to meet expectations in <i>many</i> of the areas listed under B+; for example,</p> <ul style="list-style-type: none"> • The cost of operations is unexpectedly high and availability of the facility is unexpectedly low; capability is well below expectations. • The facility operates somewhat below steady state, on cost and on schedule, and the reliability of performance is somewhat below planned values, <u>or</u> the facility operates at steady state, but the associated schedule and costs exceed planned values. • Commitment to environment, safety, and health is inadequate.
F	<ul style="list-style-type: none"> • The facility fails to operate; the facility operates well below steady state <u>and/or</u> the reliability of the performance is well below planned values. • Laboratory commitment to environment, safety, and health issues is inadequate.

2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The extent to which the facility is being used to perform influential science;
- The Laboratory’s efforts to take full advantage of the facility to generate impactful S&T results;
- The extent to which the facility is strengthened by a resident Laboratory research community that pushes the envelope of what the facility can do and/or are among the scientific leaders of the community;
- The Laboratory’s ability to appropriately balance access by internal and external user communities; and
- The extent to which there is a healthy program of outreach to the scientific community.

Letter Grade	Definition
A+	<p>In addition to meeting all measures under <i>A</i>,</p> <ul style="list-style-type: none"> • The Laboratory took extraordinary means to deliver an extraordinary result for a new user community.
A	<p>In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are met</p> <ul style="list-style-type: none"> • An <i>aggressive</i> outreach programs is in place and has been documented as attracting new communities to the facility; • Reviews consistently find that the facility capability or scope of research potential <i>significantly</i> exceeds expectations for example, due to newly discovered capabilities or exposure to new research communities; OR Reviews find that multiple disciplines are using the facility in new and novel ways that the facility is being used to pursue influential science.
A-	<p>In addition to satisfying all conditions for B+, all of the following conditions are met</p> <ul style="list-style-type: none"> • A <i>strong</i> outreach program is in place; • Reviews find that the facility capability or scope of research potential exceeds expectations for example, due to newly discovered capabilities or exposure to new research communities; OR Reviews document how multiple disciplines are using the facility in new and novel ways and/or that the facility is being used to pursue important science.

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Letter Grade	Definition
B+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • Reviews find / validate that the facility is being used for influential science; • The scope of facility capabilities is challenged and broadened by resident users; • The Laboratory effectively manages user allocations; • The Laboratory effectively maintains the facility to required performance standards (for example, runtime, luminosity, etc) • A healthy outreach program is in place.
B	The Laboratory fails to meet expectations in <i>one</i> of the areas listed under B+
B-	The Laboratory fails to meet expectations in <i>several</i> of the areas listed under B+
C	The Laboratory fails to meet expectations in <i>many</i> of the areas listed under B+
D	Reviews find that there are few facility users, few of whom are using the facility in novel ways to produce impactful science; research base is very thin.
F	Laboratory staff does not possess capabilities to operate and/or use the facility adequately.

Notable Outcomes

- **BES:** Develop a project baseline for the Advanced Photon Source Upgrade project and achieve CD-2 in FY 2012. (Objective 2.1)
- **ASCR:** Successfully manage the INCITE program. (Objective 2.4)
- **NP:** Initiate a scientific program with reaccelerated CARIBU beams. (Objective 2.4)

Program Office ³	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
2.1 Provide Effective Facility Design(s)			10%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			10%	
2.3 Provide Efficient and Effective Operation of Facilities			70%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			10%	
Overall ASCR Total				
Office of Basic Energy Sciences				
2.1 Provide Effective Facility Design(s)			35%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%	
2.3 Provide Efficient and Effective Operation of Facilities			50%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			15%	
Overall BES Total				
Office of Biological and Environmental Research				
2.1 Provide Effective Facility Design(s)			0%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%	
2.3 Provide Efficient and Effective Operation of Facilities			90%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			10%	

³ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

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Program Office ³	Letter Grade	Numerical Score	Weight	Overall Score
Overall BER Total				
Office of High Energy Physics				
2.1 Provide Effective Facility Design(s)			50%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			50%	
2.3 Provide Efficient and Effective Operation of Facilities			0%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			0%	
Overall HEP Total				
Office of Nuclear Physics				
2.1 Provide Effective Facility Design(s)			0%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%	
2.3 Provide Efficient and Effective Operation of Facilities			85%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			15%	
Overall NP Total				
Office of Energy Efficiency and Renewable Energy				
2.1 Provide Effective Facility Design(s)			0%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			100%	
2.3 Provide Efficient and Effective Operation of Facilities			0%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			0%	
Overall EERE Total				

Table 2.1 – Program Performance Goal 2.0 Score Development

Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Advanced Scientific Research			18.28%	
Office of Basic Energy Sciences			50.07%	
Office of Biological and Environmental Research			7.42%	
Office of High Energy Physics			3.65%	
Office of Nuclear Physics			6.90%	
Office of Energy Efficiency and Renewable Energy			13.68%	
Performance Goal 2.0 Total				

Table 2.2 – Overall Performance Goal 2.0 Score Development⁴

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 2.3 – Goal 2.0 Final Letter Grade

⁴ Weightings for each Customer listed within Table 2.2 are preliminary, based upon FY 2011 cost figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual cost for FY 2012.

GOAL 3.0 Provide Effective and Efficient Science and Technology Program Management

The Laboratory 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 24%.

The Provide Effective and Efficient Science and Technology Program Management Goal shall measure the Contractor's overall management in executing S&T programs. Dimensions of program management covered include: 1) providing key competencies to support research programs to include key staffing requirements; 2) providing quality research plans that take into account technical risks, identify actions to mitigate risks; and 3) maintaining effective communications with customers to include providing quality responses to customer needs.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science, other cognizant HQ Program Offices, and other customers as identified below. The overall Goal score from each HQ Program Office and/or customer is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 3.1). Weightings for each Customer listed below are preliminary, based upon FY 2011 cost figures, and are provided here for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual cost for FY 2012 provided by the Program Offices listed below.

- Office of Advanced Scientific Computing Research (ASCR) (15.04%)
- Office of Basic Energy Sciences (BES) (41.21%)
- Office of Biological and Environmental Research (BER) (6.11%)
- Office of High Energy Physics (HEP) (3.00%)
- Office of Nuclear Physics (NP) (5.68%)
- Office of Workforce Development for Teachers and Scientists (WDTS) (0.40%)
- Office of Defense Nuclear Nonproliferation (DNN) (12.02%)
- Office of Energy Efficiency and Renewable Energy (EERE) (11.26%)
- Office of Nuclear Energy (NE) (4.79%)
- Department of Homeland Security (DHS) (0.50%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 3.2 below). The overall score earned is then compared to Table 3.3 to determine the overall letter grade for this Goal. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science, other cognizant HQ Program Offices, and other customers for which the Laboratory conducts work. Should one or more of the HQ Program Offices choose not to provide an evaluation for this Goal and its corresponding Objectives the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of cost for FY 2012 as compared to the total cost for those remaining HQ Program Offices.

Objectives

3.1 Provide Effective and Efficient Strategic Planning and Stewardship of Scientific Capabilities and Program Vision

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In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The quality of the Laboratory’s strategic plan;
- The extent to which the Laboratory shows strategic vision for research
- The extent to which programs of research take advantage of Laboratory capabilities—research programs are more than the sum of their individual project parts;
- The extent to which the Laboratory undertakes research for which it is uniquely qualified;
- The extent to which lab plans are aligned with DOE mission goals;
- The extent to which the Laboratory programs are balanced between high-/low- risk research for a sustainable program; and
- The extent to which the Laboratory is able to retain and recruit staff for a sustainable program

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Articulation of scientific vision;
- Development and maintenance of core competencies,
- Ability to attract and retain highly qualified staff;
- Efficiency and effectiveness of joint planning (e.g., workshops) with outside community;
- Creativity and robustness of ideas for new facilities and research programs; and
- Willingness to take on high-risk/high payoff/long-term research problems, evidence that the Laboratory “guessed right” in that previous risky decisions proved to be correct and are paying off.
- The depth and breadth of Laboratory research portfolio and its potential for growth.

Letter Grade	Definition
A+	In addition to satisfying the conditions for B+, the execution of the Laboratory’s strategic plan has enabled the Laboratory to achieve each of the following: <ul style="list-style-type: none"> • <i>Most</i> of the Laboratory’s core competencies are recognized as world leading; • The Laboratory has attracted and retained world-leading scientists in <i>most</i> programs; • There is evidence that previous decisions to pursue high-risk/high-payoff research proved to be correct and are paying off; • The Laboratory has succeeded in developing new core competencies of <i>outstanding</i> quality in areas both exploratory, high-risk research and research that is vital to the DOE/SC missions;
A	In addition to satisfying the conditions for B+, the execution of the Laboratory’s strategic plan has enabled the Laboratory to achieve the following: <ul style="list-style-type: none"> • <i>Several</i> of the Laboratory’s core competencies are recognized as world leading; • The Laboratory has attracted and retained world-leading scientists in <i>several</i> programs; • There is evidence that previous decisions to pursue high-risk/high-payoff research proved to be correct and are paying off • The Laboratory has succeeded in developing <i>new</i> core competencies of <i>high</i> quality in areas both exploratory, high-risk research and research that is vital to the DOE/SC missions
A-	In addition to satisfying the conditions for B+, the execution of the Laboratory’s strategic plan has enabled the Laboratory to achieve at least one of the following: <ul style="list-style-type: none"> • At least one of the Laboratory’s core competencies is recognized as <i>world-leading</i>; • The Laboratory has attracted and retained <i>world-leading</i> scientists in one or more programs; • The Laboratory has a coherent plan for addressing future workforce challenges.

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Letter Grade	Definition
B+	<p>The execution of the Laboratory's strategic plan has enabled the Laboratory to achieve each of the following objectives:</p> <ul style="list-style-type: none"> • The Laboratory has articulated a coherent and compelling strategic plan that has been developed with input from external research communities and headquarters guidance, which, where appropriate, includes a coherent plan for building smaller research programs into new core competencies; and reallocates resources away from less effective programs. • The Laboratory has demonstrated the ability to attract and retain professional scientific staff in support of its strategic vision. • The portfolio of Laboratory research balances the needs for both high-risk/ high-payoff research and stewardship of mission-critical research. • The Laboratory's research portfolio takes advantage of unique capabilities at the Laboratory. • The Laboratory's research portfolio includes activities for which the Laboratory is uniquely capable.
B	<p>The Laboratory fails to satisfy one of the conditions for B+; for example</p> <ul style="list-style-type: none"> • The Laboratory's strategic plan is only <i>partially</i> coherent and is not entirely well-connected with external communities; • The portfolio of Laboratory research does <i>not</i> appropriately balance high-risk/ high-payoff research and stewardship of mission-critical research; • The Laboratory has developed and maintained <i>some, but not all</i>, of its core competencies. • The plan to attract and retain professional scientific staff is <i>lacking</i> strategic vision.
B-	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, including at least one of the following:</p> <ul style="list-style-type: none"> • Weak programmatic vision insufficiently connected with external communities; • Development and maintenance of only a few core competencies • little attention to maintaining the correct balance between high-risk and mission-critical research; • inability to attract and retain talented scientists in some programs.
C	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, including at least one of the following reasons:</p> <ul style="list-style-type: none"> • The Laboratory's strategic plan lacks strategic vision and lacks appropriate coordination with appropriate stakeholders including external research groups. • The Laboratory's strategic plan does not provide for sufficient maintenance of core competencies • Plan to attract and retain professional scientific staff is unlikely to be successful or does not focus on strategic capabilities.
D	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, and specifically</p> <ul style="list-style-type: none"> • The Laboratory has demonstrated little effort in developing a strategic plan. • The Laboratory has done little to develop and maintain core competencies • The Laboratory has had minimal success in attracting and retaining professional scientific staff.
F	<p>The Laboratory has:</p> <ul style="list-style-type: none"> • Made limited or ineffective attempts to develop a strategic plan; • Not demonstrated the ability to develop and maintain core competencies, has failed to propose high-risk/high-reward research and has failed to steward mission-critical areas; • Failed to attract even reasonably competent scientists and technical staff.

3.2 Provide Effective and Efficient Science and Technology Project/Program/Facilities Management

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The Laboratory's management of R&D programs and facilities according to proposed plans;

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- The extent to which the Laboratory’s management of projects/programs/facilities supports the Laboratory strategic plan
- Adequacy of the Laboratory’s consideration of technical risks;
- The extent to which the Laboratory is successful in identifying/avoiding technical problems;
- Effectiveness in leveraging across multiple areas of research and between research and facility capabilities;
- The extent to which the Laboratory demonstrates a willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.); and
- The use of LDRD and other Laboratory investments and overhead funds to improve the competitiveness of the Laboratory.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Laboratory plans that are reviewed by experts outside of lab management and/or include broadly-based input from within the Laboratory.

Letter Grade	Definition
A+	In addition to meeting the all expectations under A, <ul style="list-style-type: none"> • The Laboratory has taken extraordinary measures to deliver an extraordinary result of critical importance to DOE missions, which could include the delivery of a critical technology or insight in response to a National emergency
A	In addition to satisfying the conditions for B+, <ul style="list-style-type: none"> • The Laboratory’s implementation of project/program/facility plans has led directly to effective R&D programs/facility operations that exceed program expectations in <i>several</i> programmatic areas. Examples are listed under A-.
A-	In addition to satisfying the conditions for B+, <ul style="list-style-type: none"> • The Laboratory’s implementation of project/program/facility plans has led directly to effective R&D programs/facility operations that exceed program expectations in <i>more than one</i> programmatic area. Examples of performance that exceeds expectations include: • The Laboratory’s implementation of project/program/facility plans has led directly to significant cost savings and/or significantly higher productivity than expected; • Project/program/facility plans prove to be robust against changing scientific and fiscal conditions through contingency planning; • The Laboratory has demonstrated creativity and forceful leadership in development and/or proactive management of its project/program/facility plans to reduce or eliminate risk; • The Laboratory’s proposals for new initiatives are funded through reallocation of resources from less effective programs. • Research plans and management actions are proactive, not reactive, as evidenced by making hard decisions and taking strong actions; and • Management is prepared for budget fluctuations and changes in DOE program priorities – multiple contingencies are planned for; and • LDRD investments, overhead funds, and other Laboratory funds are used to strengthen lab plans and fill critical gaps in the Laboratory portfolio enabling it to respond to future DOE initiatives and/or national emergencies;

Letter Grade	Definition
B ⁺	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • Project/program/facility plans are consistent with known budgets, are based on reasonable assessments of technical risk, are well-aligned with DOE interests, provide sufficient flexibility to respond to unforeseen directives and opportunities, and effectively leverage other Laboratory resources and expertise. • The Laboratory has implemented the project/program/facility plans and has effective methods of tracking progress. • The Laboratory demonstrates willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.). • The Laboratory's implementation of project/program/facility plans has led directly to effective R&D programs/facility operations. • LDRD investments and other overhead funds are managed appropriately.
B	<ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • The Laboratory has implemented the project/program/facility plans. BUT the Laboratory fails to meet <i>at least one of the conditions</i> for B+.
B-	<ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • The Laboratory has implemented the project/program/facility plans. BUT the Laboratory fails to meet <i>several of the conditions</i> for B+.
C	<ul style="list-style-type: none"> • Project/program/facility plans exist for most major projects/programs/facilities. BUT the Laboratory has failed to implement the project/program/facility plans AND the Laboratory fails to meet <i>several of the conditions</i> for B+.
D	<ul style="list-style-type: none"> • Project/program/facility plans do not exist for a significant fraction of the Laboratory's major projects/programs/facilities; OR • Significant work at the Laboratory is not in alignment with the project/program/facility plans
F	The Laboratory has failed to conduct project/program/facility planning activities.

3.3 Provide Efficient and Effective Communications and Responsiveness to Headquarters Needs

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The quality, accuracy and timeliness of the Laboratory's response to customer requests for information;
- The extent to which the Laboratory provides point-of-contact resources and maintains effective internal communications hierarchies to facilitate efficient determination of the appropriate point-of-contact for a given issue or program element;
- The effectiveness of the Laboratory's communications and depth of responsiveness under extraordinary or critical circumstances; and
- The effectiveness of Laboratory management in accentuating the importance of communication and responsiveness.

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Letter Grade	Definition
A+	<p>In addition to meeting the all expectations under A,</p> <ul style="list-style-type: none"> • The Laboratory's effective communication and extraordinary responsiveness in the face of extreme situations or a national emergency had a materially positive impact on the outcome of the event and/or DOE mission objectives
A	<p>In addition to satisfying the conditions for B+, the Laboratory also meets all of the following:</p> <ul style="list-style-type: none"> • Laboratory management has instilled a culture throughout the lab that emphasizes good communication practices; • Communication channels are well-defined and information is effectively conveyed; • Responses to HQ requests for information from all Laboratory representatives are prompt, thorough, correct and succinct; important or critical information is delivered in real-time; • Laboratory representatives <i>always</i> initiate a communication with HQ on emerging Laboratory issues; headquarters is never surprised to learn of emerging Laboratory issues through outside channels.
A-	<p>In addition to satisfying the conditions for B+,</p> <ul style="list-style-type: none"> • Laboratory management has instilled a culture throughout the lab that emphasizes good communication practices; and • Responses to requests for information are prompt, thorough, and economical/succinct at all levels of interaction; • Laboratory representatives <i>often</i> initiate communication with HQ on emerging Laboratory issues; • under critical circumstances, essential information is delivered in real-time
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • Staff throughout the Laboratory organization engage in good communication practices; • Responses to requests for information are prompt and thorough; • The accuracy and integrity of the information provided is never in doubt; • Up-to-date point-of-contact information is widely available for all programmatic areas; • Headquarters is always and promptly informed of both positive and negative events at the Laboratory
B	<p>The Laboratory failed to meet the conditions for B+ <i>in a few instances</i></p>
B-	<p>The Laboratory fails to meet the conditions for B+ for <i>one</i> of the following reasons:</p> <ul style="list-style-type: none"> • Responses to requests for information do not provide the minimum requirements to meet HQ needs; • While the integrity of the information provided is never in doubt, its accuracy sometimes is; • Laboratory representatives do not take the initiative to alert HQ to emerging Laboratory issues.
C	<p>The Laboratory fails to meet the conditions for B+ for <i>one or more</i> of the following reasons:</p> <ul style="list-style-type: none"> • Responses to requests for information frequently fail to provide the minimum requirements to meet HQ needs • The Laboratory used outside channels or circumvented HQ in conveying critical information; • The integrity and/or accuracy of information provided is sometimes in doubt; • Laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; • Laboratory representatives failed to alert HQ to emerging Laboratory issues.
D	<p>The Laboratory fails to meet the conditions for B+ for one of the following reasons:</p> <ul style="list-style-type: none"> • Laboratory staff are generally well-intentioned in communication but consistently ineffective and/or incompetent; • The Laboratory management fails to emphasize the importance of effective communication and responsiveness
F	<p>The Laboratory fails to meet the conditions for B+ for one of the following reasons</p> <ul style="list-style-type: none"> • Laboratory staff are openly hostile and/or non-responsive to requests for information – emails and phone calls are consistently ignored; • Responses to requests for information are consistently incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Notable Outcomes

- **BES:** Refine the strategic vision for, and continue execution of, a signature effort on molecular discovery and design. (Objective 3.2)

Program Office ⁵	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
3.1 Effective and Efficient Strategic Planning and Stewardship			30%	
3.2 Project/Program /Facilities Management			40%	
3.3 Communications and Responsiveness			30%	
Overall ASCR Total				
Office of Basic Energy Sciences				
3.1 Effective and Efficient Strategic Planning and Stewardship			40%	
3.2 Project/Program /Facilities Management			30%	
3.3 Communications and Responsiveness			30%	
Overall BES Total				
Office of Biological and Environmental Research				
3.1 Effective and Efficient Strategic Planning and Stewardship			20%	
3.2 Project/Program /Facilities Management			30%	
3.3 Communications and Responsiveness			50%	
Overall BER Total				
Office of High Energy Physics				
3.1 Effective and Efficient Strategic Planning and Stewardship			40%	
3.2 Project/Program /Facilities Management			40%	
3.3 Communications and Responsiveness			20%	
Overall HEP Total				
Office of Nuclear Physics				
3.1 Effective and Efficient Strategic Planning and Stewardship			40%	
3.2 Project/Program /Facilities Management			35%	
3.3 Communications and Responsiveness			25%	
Overall NP Total				
Office of Workforce Development for Teachers and Scientists				
3.1 Effective and Efficient Strategic Planning and Stewardship			25%	
3.2 Project/Program /Facilities Management			50%	
3.3 Communications and Responsiveness			25%	
Overall WDTS Total				
Office of Defense Nuclear Nonproliferation				
3.1 Effective and Efficient Strategic Planning and Stewardship			20%	
3.2 Project/Program /Facilities Management			30%	
3.3 Communications and Responsiveness			50%	
Overall DNN Total				

⁵ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

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Program Office ⁵	Letter Grade	Numerical Score	Weight	Overall Score
Office of Energy Efficiency and Renewable Energy				
3.1 Effective and Efficient Strategic Planning and Stewardship			35%	
3.2 Project/Program /Facilities Management			25%	
3.3 Communications and Responsiveness			40%	
Overall EERE Total				
Office of Nuclear Energy				
3.1 Effective and Efficient Strategic Planning and Stewardship			20%	
3.2 Project/Program /Facilities Management			30%	
3.3 Communications and Responsiveness			50%	
Overall NE Total				
Department of Homeland Security				
3.1 Effective and Efficient Strategic Planning and Stewardship			40%	
3.2 Project/Program /Facilities Management			35%	
3.3 Communications and Responsiveness			25%	
Overall DHS Total				

Table 3.1 – Program Performance Goal 3.0 Score Development

HQ Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Advanced Scientific Research			15.04%	
Office of Basic Energy Sciences			41.21%	
Office of Biological and Environmental Research			6.11%	
Office of High Energy Physics			3.00%	
Office of Nuclear Physics			5.68%	
Office of Workforce Development for Teachers and Scientists			0.40%	
Office of Defense Nuclear Nonproliferation			12.02%	
Office of Energy Efficiency and Renewable Energy			11.26%	
Office of Nuclear Energy			4.79%	
Department of Homeland Security			0.50%	
Performance Goal 3.0 Total				

Table 3.2 – Overall Performance Goal 3.0 Score Development⁶

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 3.3 – Goal 3.0 Final Letter Grade

⁶ Weightings for each Customer listed within Table 3.2 are preliminary, based upon FY 2011 cost figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual cost for FY 2012.

GOAL 4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

This Goal evaluates the Contractor’s Leadership capabilities in leading the direction of the overall Laboratory, the responsiveness of the Contractor to issues and opportunities for continuous improvement, and corporate office involvement/commitment to the overall success of the Laboratory.

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends, outcomes and continuous improvement in overall Contractor Leadership’s planning for, integration of, responsiveness to and support for the overall success of the Laboratory. This may include, but is not limited to, the quality of Laboratory Vision/Mission strategic planning documentation and progress in realizing the Laboratory vision/mission; the ability to establish and maintain long-term partnerships/relationships with the scientific and local communities as well as private industry that advance, expand, and benefit the ongoing Laboratory mission(s) and/or provide new opportunities/capabilities; implementation of a robust assurance system; Laboratory and Corporate Office Leadership’s ability to instill responsibility and accountability down and through the entire organization; overall effectiveness of communications with DOE; understanding, management and allocation of the costs of doing business at the Laboratory commensurate with associated risks and benefits; utilization of corporate resources to establish joint appointments or other programs/projects/activities to strengthen the Laboratory; and advancing excellence in stakeholder relations to include good corporate citizenship within the local community.

Objectives:

4.1 Leadership and Stewardship of the Laboratory

By which we mean: The performance of the laboratory’s senior management team as demonstrated by their ability to do such things as:

- Define an exciting yet realistic scientific vision for the future of the laboratory,
- Make progress in realizing the vision for the laboratory,
- Establish and maintain long-term partnerships/relationships that maintain appropriate relations with the scientific and local communities, and
- Develop and leverage appropriate relations with private industry to the benefit of the laboratory and the U.S. taxpayer.

Letter Grade	Definition
A+	The Senior Leadership of the laboratory has made outstanding progress (on an order of magnitude scale) over the previous year in realizing their vision for the laboratory, and has had a demonstrable impact on the Department and the Nation. Strategic plans are of outstanding quality, have been externally recognized and referenced for their excellence, and have an impact on the vision/plans of other national laboratories. The Senior leadership of the laboratory may have been faced very difficult challenges and plotted, successfully, its own course through the difficulty, with minimal hand-holding by the Department. Partners in the scientific and local communities applaud the laboratory in national fora, and the Department is strengthened by this.
A	The Senior Leadership of the laboratory has made significant progress over the previous year in realizing their vision for the laboratory, and has through this has had a demonstrable positive impact on the Office of Science and the Department. Strategic plans are of outstanding quality, and recognize and reflect the vision/plans of other national laboratories. Faced with difficult challenges, actions were taken by the Senior leadership of the laboratory to redirect laboratory activities to enhance the long-term future of the laboratory. Partners in the scientific and local communities applaud the laboratory in national fora, and the Department is strengthened by this.

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Letter Grade	Definition
A-	The laboratory senior management performs better than expected (B+ grade) in these areas.
B+	The Senior Leadership of the laboratory has made significant progress over the previous year in realizing their vision for the laboratory. Strategic plans present long range goals that are both exciting and realistic. Decisions and actions taken by the lab leadership align work, facilities, equipment and technical capabilities with the laboratory vision and plan. The Senior leadership of the laboratory faced difficult challenges and successfully plotted its own course through the difficulty, with help from the Department. Partners in the scientific and local communities are supportive of the laboratory.
B	The Senior Leadership of the laboratory has made little progress over the previous year in realizing their vision for the laboratory. Strategic plans present long range goals that are exciting and realistic; however DOE is not fully confident that the laboratory is taking the actions necessary for the goals to be achieved. The Laboratory is not fully engaged with its partners/relationships in the scientific and local communities to maximize the potential benefits these relations have for the laboratory.
C	The Senior Leadership of the laboratory has made no progress over the previous year in realizing their vision for the laboratory or aligning work, facilities, equipment and technical capabilities with the laboratory vision and plan. Strategic plans present long range goals that are either unexciting or unrealistic. Business plans exist, but they are not linked to the strategic plan and do not inspire DOE's confidence that the strategic goals will be achieved. Partnerships with the scientific and local communities with potential to advance the laboratory exist, but they may not always be consistent with the mission of or vision for the laboratory. Affected communities and stakeholders are mostly supportive of the laboratory and aligned with the management's vision for the laboratory.
D	The Senior Leadership of the laboratory has made no progress or has back-slid over the previous year in realizing their vision for the laboratory or in aligning work, facilities, equipment and technical capabilities with the laboratory vision and plan. Strategic plans present long range goals that are neither exciting nor realistic. Partnerships that may advance the Laboratory towards strategic goals are inappropriate, unidentified, or unlikely. Affected communities and stakeholders are not adequately engaged with the laboratory and indicate non-alignment with DOE priorities.
F	The Senior Leadership of the laboratory has made no progress or has back-slid over the previous year in realizing their vision for the laboratory or in or aligning work, facilities, equipment and technical capabilities with the laboratory vision and plan. Strategic plans present long range goals that are not aligned with DOE priorities or the mission of the laboratory. Partnerships that may advance the Laboratory towards strategic goals are inappropriate, unidentified, and unlikely, and/or the senior management team does not demonstrate a concerted effort to develop, leverage, and maintain relations with the scientific and local communities to assist the laboratory in achieving a successful future. Affected communities and stakeholders are openly non-supportive of the laboratory and DOE priorities.

4.2 Management and Operation of the Laboratory

By which we mean: The performance of the laboratory's senior management team as demonstrated by their ability to do such things as:

- Implement a robust contractor assurance system,
- Understand the costs of doing business at the laboratory and prioritize the management and allocation of these costs commensurate with their associated risks and benefits,
- Instill a culture of accountability and responsibility down and through the entire organization;
- Ensure good and timely communication between the laboratory and SC headquarters and the Site Office so that DOE can deal effectively with both internal and external constituencies.

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Letter Grade	Definition
A+	<p>The laboratory has a nationally or internationally recognized contractor assurance system in place that integrates internal and external (corporate) evaluation processes to evaluate risk, and is working to help others internal and external to the Department establish similarly outstanding practices. The laboratory understands the drivers of cost at their lab, and are prioritizing and managing these costs commensurate with the associated risks and benefits to the laboratory and the SC laboratory system.</p> <p>Laboratory management and processes reflect a sense of accountability and responsibility with is evident down and through the entire organization. Communication between the laboratory and SC headquarters and the Site Office is such that all the national laboratories and the Department as a whole benefits.</p>
A	<p>The laboratory has improved dramatically in the last year in all of the following: building a robust and transparent contractor assurance system that integrates internal and external (corporate) evaluation processes to evaluate risk; demonstrating the use of this system in making decisions that are aligned with the laboratory's vision and strategic plan; understanding the drivers of cost at their lab, and prioritizing and managing these costs consistent with their associated risks and benefits to the laboratory and the SC laboratory system; demonstrating laboratory management and processes reflect a sense of accountability and responsibility with is evident down and through the entire organization; assuring communication between the laboratory and SC headquarters that is beneficial to both the lab and SC.</p>
A-	<p>The laboratory senior management performs better than expected (B+ grade) in these areas.</p>
B+	<p>The laboratory has a robust and transparent contractor assurance system in place that integrates internal and external (corporate) evaluation processes to evaluate risk. The laboratory can demonstrate use of this system in making decisions that are aligned with the laboratory's vision and strategic plan. The laboratory understands the drivers of cost at their lab, and are prioritizing and managing these costs commensurate with the associated risks and benefits to the laboratory and the SC laboratory system.</p> <p>Laboratory management and processes reflect a sense of accountability and responsibility with is evident down and through the entire organization. Communication between the laboratory and SC headquarters and the Site Office is such that there are no surprises or embarrassments.</p>
B	<p>The laboratory has a contractor assurance system in place but further improvements are necessary, or the link between the CAS and the laboratory's decision-making processes are not evident. The laboratory understands the drivers of cost at their lab, but they are not prioritizing and managing these costs as well as they should to be commensurate with the associated risks and benefits to the laboratory and the SC laboratory system. Laboratory management and processes reflect a sense of accountability and responsibility with is mostly evident down and through the entire organization. Communication between the laboratory and SC headquarters and the Site Office is such that there are no significant surprises or embarrassments.</p>
C	<p>The laboratory lacks a robust and transparent contractor assurance system in place that integrates internal and external (corporate) evaluation processes to evaluate risk. The laboratory cannot demonstrate use of this system in making decisions that are aligned with the laboratory's vision and strategic plan. The laboratory does not fully understand the drivers of cost at their lab, and thus are not prioritizing and managing these costs as well as they should to be commensurate with the associated risks and benefits to the laboratory and the SC laboratory system. Communication between the laboratory and SC headquarters and the Site Office is such that there has been at least one significant surprise or embarrassment.</p>
D	<p>The laboratory lacks a contractor assurance system, doesn't understand the drivers of cost at their lab, and is not prioritizing and managing costs. SC HQ must intercede in management decisions. Poor communication between the laboratory and SC headquarters and the Site Office has resulted in more than one significant surprise or embarrassment.</p>
F	<p>Lack of management by the laboratory's senior management has put the future of the laboratory at risk, or has significantly hurt the reputation of the Office of Science.</p>

4.3 Contractor Value-added

By which we mean: the additional benefits that accrue to the laboratory and the Department of Energy by virtue of having this particular M&O contractor in place. Included here, typically, are things over which the laboratory leadership does not have immediate authority, such as:

- Corporate involvement/contributions to deal with challenges at the laboratory;
- Using corporate resources to establish joint appointments or other programs/projects/activities that strengthen the lab, and
- Providing other contributions to the laboratory that enable the lab to do things that are good for the laboratory and its community and that DOE cannot supply.

Letter Grade	Definition
A+	The laboratory has been transformed as a result of the many, substantial, additional benefits that accrue to the lab as a result of this contractor's operation of the laboratory.
A	Over the past year, the laboratory has become demonstrably stronger, better and more attractive as a place of employment as a result of the many, substantial, additional benefits that accrue to the lab as a result of this contractor's operation of the laboratory.
A-	The laboratory senior management performs better than expected (B+ grade) in these areas.
B+	The laboratory enjoys additional benefits above and beyond those associated with managing the laboratory's activities that accrue as a result of this contractor's operation of the laboratory.
B	The laboratory enjoys few additional benefits that accrue as a result of this contractor's operation of the laboratory; help by the contractor is needed to strengthen the laboratory.
C	The laboratory enjoys few additional benefits that accrue as a result of this contractor's operation of the laboratory; the contractor seems unable to help the laboratory.
D	The laboratory enjoys few additional benefits that accrue as a result of this contractor's operation of the laboratory; the contractor's efforts are inconsistent with the interests of the laboratory and the Department.
F	The laboratory enjoys no additional benefits that accrue as a result of this contractor's operation of the laboratory; the contractor's efforts are counter-productive to the interests of the Department.

Notable Outcome

- SC-2 and SC-3: With the new leadership, execute the Laboratory's scientific strategic plan by demonstrating new research hires and competitively awarded programs. (Objective 4.1)

ELEMENT	Letter Grade	Numeric Score	Objective Weight	Overall Score
Goal 4.0 – Provide Sound and Competent Leadership and Stewardship of the Laboratory				
4.1 Leadership and Stewardship of the Laboratory			33%	
4.2 Management and Operation of the Laboratory			33%	
4.3 Contractor Value-Added			34%	
Performance Goal 4.0 Total				

Table 4.1 – Performance Goal 4.0 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 4.2 – Goal 4.0 Final Letter Grade

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

The weight of this Goal is 25%.

This Goal evaluates the Contractor’s overall success in deploying, implementing, and improving integrated ES&H systems that efficiently and effectively support the mission(s) of the Laboratory.

- 5.1 Provide an Efficient and Effective Worker Health and Safety Program
- 5.2 Provide Efficient and Effective Environmental Management System

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends, outcomes and continuous improvement in protecting workers, the public, and the environment. This may include, but is not limited to, minimizing the occurrence of environment, safety and health (ESH) incidents; effectiveness of the Integrated Safety Management (ISM) system; effectiveness of contractor assurance, work planning, feedback, and improvement processes; the strength of the safety culture throughout the Laboratory; the effective development, implementation and maintenance of an efficient Environmental Management system; and the effectiveness of responses to identified hazards and/or incidents.

Notable Outcome

- **ASO:** Demonstrate senior-level leadership and significant improvement in the safety culture and effectiveness of safety programs across the laboratory, including specific improvements in Work Planning and Control, interactions with the workforce, and the radiological protection program. (Objective 5.1)

ELEMENT	Letter Grade	Numeric Score	Objective Weight	Overall Score
Goal 5.0 - Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection.				
5.1 Provide an Efficient and Effective Worker Health and Safety Program			80%	
5.2 Provide an Efficient and Effective Environmental Management System			20%	
Performance Goal 5.0 Total				

Table 5.1 – Performance Goal 5.0 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 5.2 – Goal 5.0 Final Letter Grade

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

The weight of this Goal is 30%.

This Goal evaluates the Contractor’s overall success in deploying, implementing, and improving integrated business systems that efficiently and effectively support the mission(s) of the Laboratory.

- 6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)
- 6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System
- 6.3 Provide an Efficient, Effective, and Responsive Property Management System
- 6.4 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program
- 6.5 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; Assurance System and Other Administrative Support Services as Appropriate
- 6.6 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends, outcomes and continuous improvement in the development, deployment and integration of foundational program (e.g., Quality, Financial Management, Acquisition Management, Requirements Management, and Human Resource Management) systems across the Laboratory. This may include, but is not limited to, minimizing the occurrence of management systems support issues; quality of work products;

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continual improvement and improvement driven by the results of audits, reviews, and other performance information; the integration of system performance metrics and trends; the degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff; benchmarking and performance trending analysis. The DOE evaluator(s) shall also consider the stewardship of the pipeline of innovations and resulting intellectual assets at the Laboratory along with impacts and returns created/generated as a result of technology transfer, work for others and intellectual asset deployment activities.

Notable Outcomes

- **ASO:** Ensure the successful implementation of the Laboratory Compensation System action plan milestones by the mutually agreed upon dates. (Objective 6.4)
- **ASO:** Continue to enhance the Contractor Assurance System (CAS) by addressing the recommendations of the Argonne’s Board of Governors CAS Review Committee. (Objective 6.5)

ELEMENT	Letter Grade	Numeric al Score	Objectiv e Weight	Overall Score
Goal 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)			15%	
6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System			10%	
6.3 Provide an Efficient, Effective, and Responsive Property Management System			10%	
6.4 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program			30%	
6.5 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; Assurance System; and Other Administrative Support Services as Appropriate			20%	
6.6 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets			15%	
Performance Goal 6.0 Total				

Table 6.1 – Performance Goal 6.0 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 6.2 – Goal 6.0 Final Letter Grade

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

The weight of this Goal is 20%.

This Goal evaluates 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 mission(s) and complex challenges.

- 7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs
- 7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support the Continuation and Growth of Laboratory Missions and Programs

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends, outcomes and continuous improvement in facility and infrastructure programs. This may include, but is not limited to, the management of real property assets to maintain effective operational safety, worker health, environmental protection and compliance, property preservation, and cost effectiveness; effective facility utilization, maintenance and budget execution; day-to-day management and utilization of space in the active portfolio; maintenance and renewal of building systems, structures and components associated with the Laboratory's facility and land assets; management of energy use and conservation practices; the integration and alignment of the Laboratory's comprehensive strategic plan with capabilities; facility planning, forecasting, and acquisition; the delivery of accurate and timely information required to carry out the critical decision and budget formulation process; quality of site and facility planning documents; and Cost and Schedule Performance Index performance for facility and infrastructure projects.

Notable Outcomes

- **ASO:** To improve the reliability of Laboratory infrastructure, especially that which serves major user facilities, perform a risk-based needs assessment and develop and initiate implementation of a plan for addressing such risks within an acceptable time frame. (Objective 7.1)
- **ASO:** During FY 2012, Argonne will take action to produce a plan to ensure the Alpha Gamma Hot Cell Facility is de-inventoried to less than Hazard Category 3 status as early as 2013. The plan needs to be produced and funding identified during FY12, to continue the EM ARRA funded scope from FY 2012 into FY 2013, to meet the goal of achieving <HC3 status for AGHCF. (Objective 7.1)

ELEMENT	Letter Grade	Numeric Score	Objective Weight	Overall Score
Goal 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, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs			70%	
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support the Continuation and Growth of Laboratory Missions and Programs			30%	
Performance Goal 7.0 Total				

Table 7.1 – Performance Goal 7.0 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 7.2 – Goal 7.0 Final Letter Grade

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

The weight of this Goal is 25%.

This Goal evaluates 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.

- 8.1 Provide an Efficient and Effective Emergency Management System
- 8.2 Provide an Efficient and Effective System for Cyber-Security and National Security Systems (NSS)
- 8.3 Provide an Efficient and Effective System for the Physical Security and Protection of Special Nuclear Materials, Classified Matter, and Property
- 8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends, outcomes and continuous improvement in the safeguards and security, cyber security and emergency management program systems. This may include, but is not limited to, the commitment of leadership to strong safeguards and security, cyber security and emergency management systems; the integration of these

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systems into the culture of the Laboratory; the degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff; maintenance and the appropriate utilization of Safeguards, Security, and Cyber risk identification, prevention, and control processes/activities; and the prevention and management controls and prompt reporting and mitigation of events as necessary.

Notable Outcomes

- **ASO:** Enhance Emergency Management operational readiness by demonstrating that Emergency Management System planning documentation and processes are effectively utilized and applied by Emergency Management Team Personnel. (Objective 8.1)
- **ASO:** Based on lessons learned from other sister Laboratories experience, deploy a plan to both strengthen cyber defenses and to provide effective mitigation of untoward events, as necessary. Demonstrate the robustness of the improved system through the use of peer review process. (Objective 8.2)

ELEMENT	Letter Grade	Numeric Score	Objective Weight	Overall Score
Goal 8.0 - Sustain and Enhance the Effectiveness of Integrated Safeguards and Security management (ISSM) and Emergency Management Systems.				
8.1 Provide an Efficient and Effective Emergency Management System			40%	
8.2 Provide an Efficient and Effective System for Cyber-Security and National Security Systems (NSS)			25%	
8.3 Provide an Efficient and Effective System for the Physical Security and Protection of Special Nuclear Materials, Classified Matter, and Property			25%	
8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information			10%	
Performance Goal 8.0 Total				

Table 8.1 – Performance Goal 8.0 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 8.2 – Goal 8.0 Final Letter Grade

Attachment I

Program Office Goal & Objective Weightings
Office of Science

		ASCR	BER	BES	HEP	NP	WDTS
		Weight	Weight	Weight	Weight	Weight	Weight
Goal 1.0 Mission Accomplishment							
	<i>Goal Weight</i>	40%	25%	30%	60%	40%	0%
1.1 Impact		50%	60%	50%	50%	50%	
1.2 Leadership		50%	40%	50%	50%	50%	
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities							
	<i>Goal Weight</i>	40%	50%	45%	10%	40%	0%
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)		10%	0%	35%	50%	0%	
2.2 Construction of Facility / Fabrication of Components (execution phase, Post CD-2 to CD-4)		10%	0%	0%	50%	0%	
2.3 Operation of Facility		70%	90%	50%	0%	85%	
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community		10%	10%	15%	0%	15%	
Goal 3.0 Program Management							
	<i>Goal Weight</i>	20%	25%	25%	30%	20%	100%
3.1 Effective and Efficient Strategic Planning and Stewardship		30%	20%	40%	40%	40%	25%
3.2 Project/Program/Facilities Management		40%	30%	30%	40%	35%	50%
3.3 Communications and Responsiveness		30%	50%	30%	20%	25%	25%

Attachment I (continued)

Program Office Goal & Objective Weightings
All Other Customers

		DNN	EERE	NE	DHS
		Weight	Weight	Weight	Weight
Goal 1.0 Mission Accomplishment					
	<i>Goal Weight</i>	70%	50%	70%	60%
1.1 Impact		60%	60%	75%	50%
1.2 Leadership		40%	40%	25%	50%
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities					
	<i>Goal Weight</i>	0%	20%	0%	0%
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)			0		
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)			100%		
2.3 Operation of Facility			0		
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community			0		
Goal 3.0 Program Management					
	<i>Goal Weight</i>	30%	30%	30%	40%
3.1 Effective and Efficient Strategic Planning and Stewardship		20%	35%	20%	40%
3.2 Project/Program/Facilities Management		30%	25%	30%	35%
3.3 Communications and Responsiveness		50%	40%	50%	25%

**SPECIAL FINANCIAL INSTITUTION ACCOUNT
AGREEMENT FOR USE WITH THE PAYMENTS CLEARED FINANCING
ARRANGEMENT**

Agreement entered into this, 1st day of August, 2011 between the UNITED STATES OF AMERICA, represented by the Department of Energy (hereinafter referred to as "DOE"), and UChicago Argonne LLC, a corporation/legal entity existing under the laws of the State of Illinois (hereinafter referred to as the Contractor) and MB Financial Bank, N.A., a National Banking Association existing under the laws of the United States of America, located at 2607 Lincoln Hwy, St. Charles, IL 60175, (hereinafter referred to as the Financial Institution).

RECITALS

- (a) On the effective date of August 1, 2006 – DOE and the Contractor entered into Agreement(s) No. DE-AC02-06CH11357 or a Supplemental Agreement(s) thereto, providing for the transfer of funds on a payments-cleared basis.
- (b) DOE requires that amounts transferred to the Contractor thereunder be deposited in a special demand deposit account at a financial institution covered by Department of the Treasury approved Government deposit insurance organizations that are identified in I TFM 6-9000.

These special demand deposits must be kept separate from the Contractor's general or other funds, and the parties are agreeable to so depositing said amounts with the Financial Institution.

- (c) The Special Demand Deposit Account shall be designated "UChicago Argonne LLC, operator of Argonne National Laboratory."

COVENANTS

In consideration of the foregoing, and for other good and valuable considerations, it is agreed that:

- (1) The Government shall have a title to the credit balance in said account to secure the repayment of all funds transferred to the Contractor, and said title shall be superior to any lien, title, or claim of the Financial Institution or others with respect to such accounts.
- (2) The Financial Institution shall be bound by the provisions of said Agreement(s) between DOE and the Contractor relating to the transfer of funds into and withdrawal of funds from the above Special Demand Deposit Account, which are hereby incorporated into this Agreement by reference, but the Financial Institution shall not be responsible for the application of funds withdrawn from said account. After

receipt by the Financial Institution of directions from DOE, the Financial Institution shall act thereon and shall be under no liability to any party hereto for any action taken in accordance with the said written directions. Any written directions received by the Financial Institution from the Government upon DOE stationery and purporting to be signed by, or signed at the written direction of, the Government may, insofar as the rights, duties, and the liabilities of the Financial Institution are concerned, be considered as having been properly issued and filed with the Financial Institution by DOE.

- (3) DOE, or its authorized representatives, shall have access to financial records maintained by the Financial Institution with respect to such Special Demand Deposit Account at all reasonable times and for all reasonable purposes, including, but without limitation to, the inspection or copying of such financial records and any or all memoranda, checks, payment requests, correspondence, or documents pertaining thereto. Such financial records shall be preserved by the Financial Institution for a period of 6 years after the final payment under the Agreement.
- (4) In the event of the service of any writ of attachment, levy or execution, or commencement of garnishment proceedings with respect to the Special Demand Deposit Account, the Financial Institution shall promptly notify DOE at:

Kristin E. Palmer
Contracting Officer
Argonne Site office
9800 South Cass Avenue
Argonne, IL 60439

- (5) DOE shall authorize funds that shall remain available to the extent obligations have been incurred in good faith thereunder by the Contractor to the Financial Institution for benefit of the Special Demand Deposit Account. The Financial Institution agrees to honor upon presentation for payment all payments issued by the Contractor and to restrict all withdrawals against the funds authorized to an amount to maintain the average daily balance in the Special Demand Deposit Account in a net positive and as close to zero as administratively possible.

The Financial Institution agrees that per-item costs detailed in the form "Schedule of Financial Institution Processing Charges," contained in the Financial Institution's aforesaid bid will remain constant during the term of this agreement. The Financial Institution shall calculate the monthly fees based on services rendered and invoice the contractor. The contractor shall issue a check or automated clearing authorization transfer to the Financial Institution in payment thereof.

- (6) The Financial Institution shall post collateral in accordance with 31 CFR 202 with the Federal Reserve Bank in an amount equal to the net balances in all of the accounts included in this Agreement (including the non-interest-bearing time deposit account), less the Department of the Treasury-approved deposit insurance.

- (7) This Agreement, with all its provisions and covenants, shall be in effect for a term of 4 years, beginning on the 1st day of August, 2011 and ending on the 31st day of July, 2015, with the option to extend the contract for one one-year period at the same unit service charge rates.
- (8) DOE, the Contractor, or the Financial Institution may terminate this Agreement at any time within the agreement period upon submitting written notification to the other parties 90 days prior to the desired termination date. The specific provisions for operating the account during this 90-day period are contained in Covenant (11).
- (9) DOE or the Contractor may terminate this Agreement at any time upon 30 days written notice to the Financial Institution if DOE or the Contractor, or both parties, find that the Financial Institution has failed to substantially perform its obligations under this Agreement or that the Financial Institution is performing its obligations in a manner that precludes administering the program in an effective and efficient manner or that precludes the effective utilization of the Government's cash resources.
- (10) Notwithstanding the provisions of Covenants (8) and (9), in the event that the Agreement, referenced in Recital (a), between DOE and the Contractor is not renewed or is terminated, this Agreement between DOE, the Contractor, and the Financial Institution shall be terminated automatically upon the delivery of written notice to the Financial Institution.
- (11) In the event of termination, the Financial Institution agrees to retain the contractor's Special Demand Deposit Account for an additional 90-day period to clear outstanding payment items.

This Agreement shall continue in effect for the 90-day additional period, with the exception of the following:

1. Term of Agreement (Covenant (7))
2. Termination of Agreement (Covenant (8) and (9))

All other terms and conditions that are not inconsistent with this 90-day additional term shall remain in effect for this period.

After all checks have been paid, the Financial Institution will forward the balance by check made payable to the U.S. Department of Energy and mailed to:

Department of Energy
Office of Science
Chicago Office, Accounting & Finance
9800 South Cass Avenue
Argonne, IL 60439

- (12) Financial Institution has submitted the attachments entitled "Representations and Certifications", "Technical Representations and Certifications", "Schedule of Financial Institution Processing Charges", and "Additional Certifications". These forms have been accepted by the Contractor and the Government and are incorporated herein with the document entitled "Financial Institution's Information on Payments Cleared Financing Arrangement" as an integral part of this Agreement.

IN WITNESS WHEREOF the parties hereto have caused this Agreement, which consists of 7 pages, including the signature pages, to be executed as of the day and year first above written.

Kristin E. Palmer
Contracting Officer

July 28, 2011
Date Signed

By _____
(Typed Name of Contracting Officer)

Kristin E. Palmer
(Signature of Contracting Officer)

WITNESS

(Typed Name of Witness)

UChicago Argonne, LLC
(Typed Name of Contractor)

(Signature of Witness)

By Eric D. Isaacs
(Typed Name of Contractor's Representative)

Note: In the case of a corporation,
a witness is not required. Type or print
names under all signatures.

Eric D. Isaacs
(Signature of Contractor's Representative)

President

(Title)

9700 South Cass Avenue
Argonne, IL 60439

(Address)

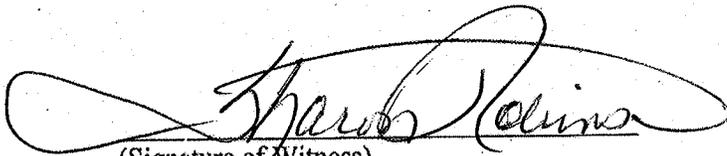
7-28-11
(Date Signed)

(Typed Name of Witness)

MB Financial Bank, N.A.
(Typed Name of Financial Institution)

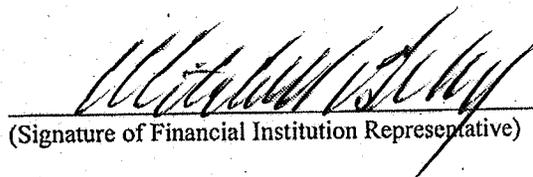
Mitchell E. Belon, S.V.P.

(Typed Name of Financial Institution Representative)



(Signature of Witness)

Note: In the case of a corporation,
A witness is not required. Type or print
names under all signatures.



(Signature of Financial Institution Representative)

Senior Vice President

(Title)

2670 Lincoln Hwy. St Charles, IL 60175

(Address)

(Date Signed)

7/27/11

CERTIFICATE

I, Donald H. Levy certify that I am the Chief Executive Officer of the limited liability company named as Contractor herein; that Eric D. Isaacs, who signed this Agreement on behalf of the Contractor, was then President of said limited liability company; and that said Agreement was duly signed for and in behalf of said limited liability company by authority of its governing body and is within the scope of its organizational powers.

D. H. Levy
(Signature)

7-29-11
(Date)

NOTE

Financial Institution, if a corporation, shall cause the following Certificate to be executed under its corporate seal, provided that the same officer shall not execute both the Agreement and the Certificate.

CERTIFICATE

I, Ania Dwyer, certify that I am the Asst. Vice President of the corporation named as Financial Institution herein; that Mitchell Belon, who signed this Agreement on behalf of the Financial Institution, was then Senior Vice President of said corporation; and that said Agreement was duly signed for and in behalf of said corporation by authority of its governing body and is within the scope of its corporate powers.

Ania Dwyer
(Corporate Seal) (Signature)

7/29/11
Date

APPENDIX E

KEY PERSONNEL

Laboratory Director	Eric Isaacs
Deputy Laboratory Director for Programs	Mark Peters
Deputy Laboratory Director for Operations/ Chief Operating Officer	Paul Kearns
Associate Laboratory Director:	
Computing, Environment & Life Sciences	Rick Stevens
Energy Sciences and Engineering	Alfred Sattelberger
Photon Sciences	Brian Stephenson
Physical Sciences and Engineering	Peter Littlewood
Director, Environmental, Safety, Health and Quality Assurance	Roby Enge
Director, Facilities Management & Services	Gail Stine
Chief Financial Officer	Jeanne Shaheen
Chief Information Officer	Michael Skwarek (Interim)
General Counsel	William Elias II

Appendix G

Purchasing System Requirements

This Appendix and Clause I.135, "Contractor Purchasing System", sets forth DOE requirements applicable to the Purchasing System established under the Contract for the management of the Argonne National Laboratory.

Subcontracts Not Binding on DOE

As used herein, the term "subcontracts" includes subcontracts, purchase orders, letter agreements, basic ordering agreements, consultant agreements, micropurchases, EDI and FACNET transactions, and lower tier subcontracts under cost-type subcontracts (in an unbroken cost-type chain) that represent costs properly chargeable to the Prime Contract.

All applicable subcontracts shall be made in the name of the Contractor, shall not bind or purport to bind the Government, shall not relieve the Contractor of any obligation under the Prime Contract (including, among other things, the obligation to properly supervise and coordinate the work of subcontractors), and shall contain such provisions as are required by this Contract or as DOE may prescribe based on Federal statutes and regulations, or DOE Orders and Policies.

DOE Approval

Prior DOE written approval is required for the following actions:

1. Laboratory award of any subcontract having a value of equal to or greater than \$10,000,000.00, or any subcontract modification which will cause the value to equal or exceed \$10,000,000.00.
2. Except as otherwise expressly provided or directed, in writing, by DOE Patent Counsel with notification to the Contracting Officer, actions which involve any one of, or combination of, the following intellectual property matters:
 - a. Acquisition of software by negotiated lease or license;
 - b. Purchase of patents or patent license rights, including the payment of royalties and permits, or license fees;
 - c. Recognition of proprietary rights, including the recognition of technical data as trade secrets; or,
 - d. Any restriction of DOE's use of data procured under a subcontract.

Appendix G

Purchasing System Requirements(continued)

3. Inter-Contractor Purchases (ICPs) expected to exceed \$1,000,000,00.
4. The purchase of utilities defined as: steam, gas, electricity, telephone lines, water and sewage.
5. Laboratory Procurement Policies and Procedures

All additions to, modifications or deletions of, Laboratory Procurement Policies and Procedures which result in substantive changes thereto shall be submitted to DOE for approval prior to implementation.

The above approval requirements do not eliminate any other requirement for review, concurrence, or approval of other proposed actions specified in the subject contract or DOE's right to require consent on any single or class of purchasing actions selected for special surveillance.

FY 2012 SMALL BUSINESS SUBCONTRACTING PLAN

CONTRACTOR: UCHICAGO ARGONNE, LLC
(OPERATOR OF ARGONNE NATIONAL LABORATORY)

ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, ILLINOIS 60439-4873

CONTRACT NUMBER: DE-AC02-06CH11357

ITEM/SERVICE: OPERATION OF MULTI-PURPOSE NATIONAL LABORATORY

TOTAL AMOUNT OF CONTRACT:
(INCLUDING OPTIONS)

PERIOD OF CONTRACT PERFORMANCE: 10/01/11 - 9/30/12
(DAY, MONTH, AND YEAR)

1. **TYPE OF PLAN** (please check one)



Individual Contract Plan - Individual Contract Plan, as used in this subpart, means a subcontracting plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror's planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract.



Master Plan - Master Plan, as used in this subpart, means a subcontracting plan that contains all of the required elements of the individual plans, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.



Commercial Products Plan - Commercial Plan, as used in this subpart, means a subcontracting plan that covers the offeror's fiscal year and that applies to the entire production of commercial items sold by either the entire company or a portion thereof (e.g., division, plant, or product line). The contractor must provide a copy of the approved plan. **NOTE: A commercial plan is the preferred type of subcontracting plan for contractors furnishing commercial items.**

2. **GOALS**

State separate dollar and percentage goals for small business (including Alaska Native Corporations (ANCs) and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business concerns, as subcontractors.

- a. Total estimated dollar value of all planned subcontracting, i.e., with all types of concerns eligible for small business subcontracting under this contract is *\$250,000,000.00*.
- b. Total estimated dollar value and percent of planned subcontracting with small business concerns (includes small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business, service-disabled veteran-owned small business concerns: (% of "a") *\$130,000,000.00 and 52%*.
- c. Total estimated dollar value and percent of planned subcontracting with Central Contractor Registration (CCR) small disadvantaged business (including ANCs and Indian Tribes): (% of "a") *\$ 12,500,000.00 and 5%*.
- d. Total estimated dollar value and percent of planned subcontracting with women-owned small business: (% of "a") *\$ 12,500,000.00 and 5%*.
- e. Total estimated dollar value and percent of planned subcontracting with CCR certified HUBZone small business: (% of "a") *\$ 7,500,000.00 and 3%*.
- f. Total estimated dollar value and percent of planned subcontracting with veteran-owned small business: (% of "a") *\$7,500,000.00 and 3%*.
- g. Total estimated dollar value and percent of planned subcontracting with service-disabled veteran-owned small business: (% of "a") *\$ 7,500,000.00 and 3%*.
- h. Total estimated dollar value and percent of planned subcontracting with large business: (% of "a") *\$120,000,000.00 and 48%*.

Provide a description of all the products and/or services to be subcontracted under this contract, and indicate the types of business supplying them, [i.e., SMALL BUSINESS (SB) (including ANCs and Indian Tribes), SMALL DISADVANTAGED BUSINESS (SDB) (including ANCs and Indian Tribes), WOMEN-OWNED SMALL BUSINESS (WOSB), HUBZONE SMALL BUSINESS (HUBZ), VETERAN-OWNED SMALL BUSINESS (VOSB), SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS (SDV), and LARGE BUSINESS (LARGE).

(Check all that apply)

<i>Subcontracted Product/Service</i>	<i>SB</i>	<i>SDB</i>	<i>WOSB</i>	<i>HUBZ</i>	<i>VOSB</i>	<i>SDV</i>	<i>Large</i>
ADP Supplies	X	X	X	X			X
Civil, Surveying, Landscape Architecture & Environmental	X	X	X				X
Automotive Equipment	X		X				
Chemicals	X	X	X				
Clothing	X	X	X				
Compression Fittings	X	X	X				
Construction Contracting	X	X	X		X	X	X
Equipment	X	X	X				X
Furniture and Fixtures	X	X	X				X
Fabrications	X	X	X				X
Fire & Safety	X	X	X				
Fire Protection Engineering	X						
Fuel Oil	X	X	X				
Hardware and Small Tools	X	X	X	X			
Information Technology	X	X	X	X	X	X	X
Janitorial Supplies	X	X	X	X			
Laboratory Equipment & Supplies	X	X	X				X
Laundry	X	X	X				
Lubricants	X	X	X				
Lumber & Building Materials	X						
Machine Tools	X	X	X				
Predictive Maintenance Systems	X	X	X				
Material Handling Equipment	X	X	X				X
Material Handling Supplies	X	X	X				X
Office Supplies	X	X	X	X			
Paints & Supplies	X	X	X				
Photographic Supplies	X	X	X	X			
Pipes & Fittings	X	X	X				
Plumbing & Heating Supplies	X	X	X				
Prototype Fabrication (Hardware)	X	X	X				
Research & Development Support	X	X	X				X
Support Services	X	X	X				X

In accordance with FAR 19.502-2, awards greater than \$3,000 and less than \$150,000 to large business will include documentation which supports the decision to award to other than small business. Preference will be given to small business awards for purchases between \$3,000 and \$150,000 awarded through small purchase/simplified acquisition procedures where there is a reasonable expectation that bids, competitive as to price, quality, and delivery, will be obtained from two or more responsive small business concerns.

Argonne will for the acquisition of construction estimated to cost \$3.5 million or less (where there is a reasonable expectation that bids, competitive as to price, quality, and delivery, will be obtained from two or more responsive small business concerns), solicit and award to small, small disadvantaged, small women-owned, and small disadvantaged 8(a) businesses to the fullest extent practicable.

To further facilitate the Argonne's Small Business Program, Argonne will, without further documentation to the file, and based upon its unilateral decision, utilize the option of

making awards without competition: (1) under \$100,000 to small business concerns (including ANCs and Indian Tribes) in accordance with the Guidance on the Department of Energy Subcontracting Program, dated 9/06, as referenced in DOE Acquisition Letter No. 2007-11, dated 8/13/07; (2) in accordance with FAR 19.805-1(2) for purchases valued at: (a) \$6.5 million or less for manufacturing North American Industry Classification System (NAIC) codes and \$4 million or less for all other acquisitions to registered Small Business Administration 8(a) Pilot Program firms; or (b) in accordance with FAR 19.1306(2) \$6.5 million or less for HUBZone small business within North American Industry Classification System (NAIC) codes for manufacturing or \$4 million or less for HUBZone small business within any other NAIC codes; and (3) in accordance with FAR 19.1406(2) sole source awards to service-disabled veteran-owned small business concerns for \$6 million or less for a requirement within the NAICS codes for manufacturing; or \$3.5 million for a requirement within any other NAICS codes.

To the extent practicable, Argonne shall accelerate payments to small business contractors (including ANCs and Indian Tribes) with the goal of making payments within 20 days, when a proper invoice and all proper documentation, including acceptance, is received by the Argonne accounts payable office.

Argonne will utilize HUBZone set-asides and HUBZone sole source methodologies in the award of subcontracts provided the acquisition meets requirements of FAR 19.1305 and FAR 19.1306(a) and in accordance with this plan and existing procurement practices.

Argonne's Mentor-Protégé Program is managed and administered by Argonne's Technology Development & Commercialization office (TDC). TDC is currently in the process of developing a new Protégé Agreement under Argonne's Mentor-Protégé Program and once the application is approved by DOE, Argonne may award noncompetitive subcontracts of any dollar value to its Protégés recognized under the DOE Mentor-Protégé Program subject to the best commercial practices and procedures required by DEAR 970.4402-2(d). Further, Argonne may award noncompetitive subcontracts to a Protégé of another DOE Mentor contractor if those awards are made at fair market prices.

Argonne shall, to the maximum extent practicable, give a preference to small business (including ANCs and Indian Tribes) in the award of subcontracts for projects funded by the American Recovery and Reinvestment Act (Recovery Act) of 2009.

See paragraph 7.C. for documentation of awards to large business with a value of \$150,000 or more.

h. The following method was used in developing subcontract goals:

- 1) Small business goals were based on prior year's experience, perceived changes in the type of acquisitions to be completed, known increases and decreases in various program areas as reported by the various Laboratory divisions, projected construction projects, the Guidance on the Department of Energy Subcontracting Program, dated September 2006, that re-affirmed authorized purchases valued up to

\$100,000 on a sole source basis to small business (including ANCs and Indian Tribes), the impact of Automated Material Order System (AMOS) in filling the needs of the Laboratory, consideration of certified HUBZone small business concerns, and the projected volume of acquisitions.

- 2) CCR small disadvantaged business (SDB) subcontracting activity was measured in terms of past annual dollar expenditures, percent of annual dollar purchases from SDB concerns, total number of SDB vendors doing business or desiring to do business with ANL, impact of AMOS contracts, use of FSS contracts, and a self-perception of the potential success of our SDB program.
 - 3) In a similar manner the women-owned small business goal was determined based on last year's experience.
 - 4) HUBZone goals are contingent upon availability of viable certified concerns located primarily in the Chicago metropolitan area, but considering others in the United States as well.
 - 5) Veteran-owned small business and service-disabled veteran-owned small business opportunities are predicated on a reasonable expectation that bids, competitive as to price, quality, and delivery will be obtained from two or more responsive veteran-owned and/or service-disabled veteran-owned small business concerns.
- i. Indirect costs have been _____ / have not been X included in the dollar and percentage subcontracting goals stated above. (Please check one.)

3. PROGRAM ADMINISTRATOR

Name, title, and position within the Laboratory structure, and the duties and responsibilities of the employee who will manage the contractor's subcontracting program.

NAME: JOSEPH A. INGRAFFIA
TITLE: MANAGER, ARGONNE PROCUREMENT
ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, IL 60439-4873
TELEPHONE: (630)-252-3640

Name, title, and position within the Laboratory structure, and the duties and responsibilities of the employee who will manage the contractor's subcontracting program.

NAME: KARL D. DUKE
TITLE: SMALL BUSINESS LIAISON OFFICER
ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, IL 60439-4873
TELEPHONE: (630)-252-7790

Duties: Has general overall responsibility for the contractor's subcontracting program, i.e., developing, preparing, and executing subcontractor plans and monitoring performance relative to the requirements of this particular plan. These duties include, but are not limited to, the following activities:

- a. Developing and promoting Laboratory-wide policy initiatives that demonstrate Argonne's support for awarding contracts and subcontracts to small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business and assure that small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business are included on the services they are capable of providing;
- b. Ensuring periodic rotation of potential subcontractors;
- c. Ensuring that procurement "packages" are designed to permit the maximum possible participation of small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business within Laboratory policies and procedures;
- d. Facilitating the utilization of various sources for the identification of small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business such as the Central Contractor Registry (CCR) (<http://www.ccr.gov>), the DOE's Acquisition Forecast, the VetBiz Registry database, the U.S. Department of Commerce Minority Business Development Agency, SME Toolkit which includes members of the U.S. Advisory Council including the Asian American Business Development Center, Black Enterprise magazine, the Council of the Better Business Bureau, Latinos in Information, Sciences and Technology, the Native American Business Alliance, the Native American Chamber of Commerce, the New York African American Chamber of Commerce, the US Hispanic Chamber of Commerce, the Women's President Organization, and the Women's Business Enterprise National Council, and the facilities of local small business, minority and women associations, and contact with federal agencies' small business program managers;
- e. Overseeing the establishment and maintenance of contract and subcontract award records;
- f. Attending or arranging for the attendance of Laboratory personnel at Small Business Opportunity Workshops, Minority and Women Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc.;
- g. Ensuring small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone

small business, veteran-owned small business and service-disabled veteran-owned small business are made aware of subcontracting opportunities as well as how to prepare responsive bids to the Laboratory;

- h. Conducting and arranging of training for Procurement personnel regarding the intent and impact of Public Law 95-507 on procurement procedures;
- i. Monitoring the Laboratory's performance and making any adjustments necessary to achieve the subcontract plan goals;
- j. Preparing and submitting required subcontract reports on a timely basis;
- k. Coordinating the Laboratory's activities during the conduct of compliance reviews by federal agencies;
- l. Reviewing solicitation formats to remove statements, clauses, etc., which may tend to restrict or prohibit small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business or service-disabled veteran-owned small business participation where possible;
- m. Ensuring that the reasons for **not** selecting low bids submitted by small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business are documented;
- n. Ensuring the establishment and maintenance of records of solicitations and subcontract award activity;
- o. Ensuring that historically Black colleges and universities and minority institutions shall be afforded maximum practicable opportunity (if applicable);
- p. Assisting program managers as early as possible in the development cycle of major system acquisitions and system programs pertaining to the Small Business program; and
- q. Advising potential suppliers as to how they can obtain information about business opportunities at ANL and briefing the Procurement Manager and the Chief Financial Officer at least twice yearly concerning the status of small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business utilization in relation to goals and objectives established.

4. **EQUITABLE OPPORTUNITY**

The contractor agrees to ensure that small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business will have an equitable opportunity to compete for subcontracts. These efforts include, but are not limited to, the following activities:

a. Outreach efforts to obtain sources

- 1) Contacting small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business trade associations, such as:

- Chicago Minority Business Development Center
- Black Contractors United
- Hispanic American Construction Inc.
- Asian American Business Development Center
- Contractors Association of Will/Grundy Counties
- F. W. Dodge Corporation
- The Blue Book of Building and Construction
- Lake County Contractors Association
- SMACNA Chicago
- Construction Industry Service Corporation
- DuPage County Building Trades Council

- 2) Contacting business development organizations such as:

- U.S. Department of Veterans Affairs (VetBiz.gov)
- U.S. Department of Commerce Minority Business Development Agency
- Asian American Business Development Center
- Latinos in Information, Sciences and Technology
- Native American Business Alliance
- Native American Chamber of Commerce
- US Hispanic Chamber of Commerce
- Women's President Organization
- Women's Business Enterprise National Council

- 3) Attending small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business procurement conferences and trade fairs, as budget permits such as:

- Chicago Business Opportunity Fair
- U.S. Department of Energy Small Business Conference, Expo & Matchmaking Events

- Annual Joint Industry/SBA Procurement Conferences
 - Minority Enterprise Development Week (MED WEEK)
- 4) Utilizing internet, newspaper and magazine ads to encourage new sources when funds are available to do so.
- b. Internal efforts to guide and encourage Procurement personnel.
- 1) Presenting workshops and training programs;
- 2) Establishing, maintaining and using small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business source lists, guides, and other data for soliciting subcontracts, such as:
- National Directory of Minority-Owned Business Firms
 - Business Research Services 8(a) Sources
 - MWBE.com - National Resource and Referral Site for Minority and Women
 - City of Chicago Certification and Compliance System MWDBE Directory
 - Directory of Cook County Certified MBE/WBE Vendors
 - State of Illinois Bureau of Central Management Vendors Directory Search
 - Federal Suppliers Guide
 - Black Pages International Business Listing and Information Guide
- 3) Monitoring activities to evaluate compliance with the subcontracting plan(s).
- c. Small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business source lists, guides and other data identifying these types of business concerns will be maintained and utilized by buyers/subcontract specialists in sourcing suppliers.

5. FLOW-DOWN CLAUSE

The contractor agrees to include the provisions under FAR 52.219-8 entitled, "Utilization of Small Business Concerns," in all subcontracts in excess of the small purchase limitations that offer further subcontracting opportunities. All subcontractors, except small business concerns, that receive subcontracts (except those for commercial items) in excess of \$650,000 (\$1,500,000 for construction) of any public facility that offer further subcontracting opportunities must adopt and comply with a plan similar to the plan required by FAR 52.219-9, "Small Business Subcontracting Plan."

Such plans will be reviewed by comparing them with the provisions of Public Law 95-507, and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential small business (including ANCs and

Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to subcontractor's facilities to review applicable records and subcontracting program progress.

6. REPORTING AND COOPERATION

The contractor gives assurance of (1) cooperation in any studies or surveys that may be required by the contracting agency or the Small Business Administration; (2) submission of periodic reports which show compliance with the subcontracting plan; (3) submission of semi-annual reports to provide acquisition forecast data for subcontracting opportunities; (4) submission into the Electronic Subcontracting Reporting System (eSRS) of the Individual Subcontracting Report (ISR) and Summary Subcontracting Report (SSR), in accordance with the requirements of the eSRS; and (5) ensuring that large business subcontractors with subcontracting plans agree to submit the Individual Subcontracting Report and Summary Subcontracting Report, in accordance with the requirements of the eSRS.

Reporting Period	Report Due	Due Date
Oct 1 - Mar 31	ISR	04/30
Apr 1 - Sept 30	ISR	10/31
Oct 1 - Sept 30	SSR	10/31

7. RECORD KEEPING

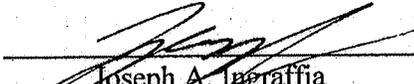
The following is a recitation of the types of records the contractor will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. These records will include, but not be limited to, the following:

- a. Argonne uses the CCR as its source for small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business concerns and maintains a list of the guides and other data identifying such vendors;
- b. Organizations contacted in an attempt to locate small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), women-owned small business, HUBZone small business, veteran-owned small business and service-disabled veteran-owned small business sources;
- c. On a contract-by-contract basis, records on all subcontract solicitations over \$150,000, which indicate for each solicitation (1) whether small business concerns (including ANCs and Indian Tribes) were solicited, and if not, why not; (2) whether small disadvantaged

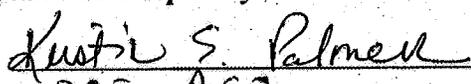
business concerns (including ANCs and Indian Tribes) were solicited, and if not, why not; (3) whether woman-owned small business concerns were solicited, and if not, why not; (4) whether HUBZone small business concerns were solicited, and if not, why not; (5) whether veteran-owned small business and/or service-disabled veteran-owned small business concerns were solicited, and if not, why not; and (6) the reason for the failure of solicited small business (including ANCs and Indian Tribes), small disadvantaged business (including ANCs and Indian Tribes), woman-owned small business, HUBZone small business, veteran-owned small business or service-disabled veteran-owned small business concerns to receive the subcontract award;

- d. Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance at small and minority business procurement conferences and trade fairs;
- e. Records to support internal guidance and encouragement, provided to buyers through (1) workshops, seminars, and training programs; and (2) monitoring of activities to evaluate compliance; and
- f. On a contract-by-contract basis, records to support subcontract award data including the name, address, and business size of each subcontractor.

This subcontracting plan was submitted by:

SIGNATURE: 
TYPED NAME: Joseph A. Ingraffia
TITLE: Manager, Argonne Procurement
DATE PREPARED: 11/15/2011
PHONE NO.: 630-252-3640

This subcontracting plan was accepted by:

APPROVAL: 
AGENCY: DOE - ASO
TYPED NAME: Kristin E. Palmer
TITLE: Contracting OFFICER
DATE APPROVED: 11/22/11
PHONE NO.: 630-252-2127

DOE Directives/List B

DOC. NUMBER	EFFECTIVE DATE	DOCUMENT TITLE
O 130.1	09/29/95	Budget Formulation Process (extended by DOE N 251.45)
O 142.2A	12/15/06	Voluntary Offer Safeguards Agreement and Protocol with the International Atomic Energy Agency
M 142.2-1	09/04/08	Manual for the Implementation of Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency
O 142.3A	10/14/10	Unclassified Foreign Visits and Assignments
O 150.1	05/08/08	Continuity Programs
O 151.1C	11/02/05	Comprehensive Emergency Management System
O 153.1	06/27/07	Departmental Radiological Emergency Responses Assets
O 200.1A	12/23/08	Information Management Program
O 203.1	01/07/05	Limited Personal Use of Government Office Equipment Including Information Technology
O 205.1B	5/16/11	Department of Energy Cyber Security Management Program
M 205.1-3	04/17/06	Telecommunications Security Manual
O 206.1	01/16/09	Department of Energy Privacy Program
N 206.4	06/29/07	Personal Identity Verification, extended by N 251.74 dated 11/24/08
O 210.2A	04/08/11	DOE Corporate Operating Experience Program
O 221.1A	04/19/08	Reporting Fraud, Waste, and Abuse to the Office of Inspector General
O 221.2A	02/25/08	Cooperation with the Office of Inspector General
O 225.1B	03/04/11	Accident Investigations
O 227.1	08/30/11	Independent Oversight Program
O 231.1B	06/27/11	Environment Safety & Health Reporting
O 232.2	08/30/11	Occurrence Reporting and Processing of Operations Information (effective 1/1/12)
O 241.1B	12/13/10	Scientific and Technical Information Management
O 243.1A	11/10/11	Records Management Program
O 243.2	02/02/06	Vital Records
O 252.1A	02/23/11	Technical Standards Program
O 313.1	11/19/09	Management and Funding of Department's Overseas Presence
O 341.1A	10/18/07	Federal Employee Health Services
O 350.1	09/30/96	Contractor Human Resource Management Programs (Except as otherwise modified in Appendix A of this Contract)
Chg.1	05/08/98	
Chg.2	11/22/09	
Chg.3	02/23/10	
O 350.2B	06/06/11	Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, DC Area
O 410.2	08/17/09	Management of Nuclear Materials
O 412.1A	04/21/05	Work Authorization System
O 413.1B	10/28/08	Internal Control Program
O 413.2B	04/19/06	Laboratory Directed Research and Development
Ad. Chg. 1	01/31/11	
O 413.3B	11/29/10	Program and Project Management of the Acquisition of Capital Assets
O 414.1D	04/25/11	Quality Assurance

DOE Directives/List B

DOC. NUMBER	EFFECTIVE DATE	DOCUMENT TITLE
O 420.1B Chg. 1	12/22/05 04/19/10	Facility Safety
O 420.2C	07/21/11	Safety of Accelerator Facilities
O 422.1	06/29/10	Conduct of Operations
O 425.1D	04/16/10	Startup and Restart of Nuclear Facilities
O 426.2	04/21/10	Personnel Selection, Qualification and Training Requirements for DOE Nuclear Facilities
O 430.1B Chg. 1 Chg. 2	09/24/03 02/08/08 04/25/11	Real Property Asset Management
O 433.1B	04/21/10	Maintenance Management Program for DOE Nuclear Facilities
N 435.1	08/09/11	Contact-Handled and Remote-Handled Transuranic Waste Packaging
O 435.1 Chg. 1	07/09/99 08/28/01	Radioactive Waste Management
M 435.1-1 Chg. 1 Chg. 2	07/09/99 06/19/01 06/08/11	Radioactive Waste Management Manual
O 436.1	05/02/11	Departmental Sustainability
M 440.1-1A	01/09/06	DOE Explosives Safety Manual
O 440.2C Ad. Chg. 1	06/15/11 06/22/11	Aviation Management and Safety
M 441.1-1	03/07/08	Nuclear Material Packaging Manual
O 442.1A	06/06/01	Department of Energy Employee Concerns Program
O 442.2	07/29/11	Differing Professional Opinions for Technical Issues Involving Environmental, Safety, and Health Technical Concerns
O 443.1B	03/17/11	Protection of Human Research Subjects
O 452.8	07/21/11	Control of Nuclear Weapon Data
O 456.1	06/06/11	The Safe Handling of Unbound Engineered Nanoparticles
O 458.1 Ad. Chg. 1 Ad. Chg. 2	02/11/11 03/08/11 06/06/11	Radiation Protection of the Public and the Environment
O 460.1C	05/14/10	Packaging and Transportation Safety
O 460.2A	12/22/04	Departmental Materials Transportation and Packaging Management
M 460.2-1A	06/04/08	Radioactive Material Transportation Practices Manual
O 462.1	11/10/08	Import and Export of Category 1 and 2 Radioactive Sources and Aggregated Quantities
O 470.3B	08/12/08	Graded Security Protection (GSP) Policy
O 470.4B	07/21/11	Safeguards and Security Program
O 471.1B	03/01/10	Identification and Protection of Unclassified Controlled Nuclear Information
O 471.3 Ad. Chg. 1	04/09/03 01/13/11	Identifying and Protecting Official Use Only Information
M 471.3-1 Ad. Chg. 1	04/09/03 01/13/11	Manual for Identifying and Protecting Official Use Only Information
O 471.6	06/20/11	Information Security

DOE Directives/List B

DOC. NUMBER	EFFECTIVE DATE	DOCUMENT TITLE
O 472.2	07/21/11	Personnel Security
O 473.3	06/29/11	Protection Program Operations
O 474.2	06/27/11	
Ad. Chg. 1	08/03/11	Nuclear Material Control and Accountability
O 475.1	12/10/04	Counterintelligence Program
O 475.2A	02/01/11	Identifying Classified Information
M 481.1-1A		
Chg. 1	09/28/01	Reimbursable Work for Non-Federal Sponsors Process Manual
O 482.1	01/12/01	DOE Facilities Technology Partnering Programs
O 483.1	01/12/01	DOE Cooperative Research and Development Agreements
M 483.1-1	01/12/01	DOE Cooperative Research and Development Agreements Manual
O 484.1	08/17/06	
Ad. Chg. 1	03/14/11	Reimbursable Work for Department of Homeland Security
O 522.1	11/03/04	Pricing of Departmental Materials & Services
O 534.1B	01/06/03	Accounting
O 551.1C	06/24/08	Official Foreign Travel
O 580.1	12/07/05	
Chg. 1	05/08/08	DOE Personal Property Management Program
O 5480.30	01/19/93	
Chg. 1	03/14/01	Nuclear Reactor Safety Design Criteria

Note: Additional Manuals may apply