

**AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT**

1. CONTRACT ID CODE PAGE OF PAGES  
1 | 2

2. AMENDMENT/MODIFICATION NO. <b>M135</b>		3. EFFECTIVE DATE <b>See 16C</b>		4. REQUISITION/PURCHASE REQ. NO.		5. PROJECT NO. (If applicable)	
6. ISSUED BY CODE <b>U.S. Department of Energy Brookhaven Site Office 53 Bell Avenue, Building 464 Upton, NY 11974-5000</b>		7. ADMINISTERED BY (If other than Item 6) Code					
8. NAME AND ADDRESS OF CONTRACTOR (No. street, county, State and ZIP Code) <b>Brookhaven Science Associates, LLC 25 Brookhaven Avenue Building 460 Upton, New York 11973-5000</b>				<input checked="" type="checkbox"/>		9.A. AMENDMENT OF SOLICITATION NO.	
						9.B. DATED (SEE ITEM 11)	
						10.A. MODIFICATION OF Contract/Order NO. <b>DE-AC02-98CH10886</b>	
						10.B. DATED (SEE ITEM 13) <b>01/05/1998</b>	
CODE N/A		FACILITY CODE N/A					

**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)  
N/A

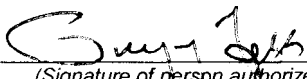

**13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS, IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.**

	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 date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(B).
<b>X</b>	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: <b>MUTUAL AGREEMENT OF THE PARTIES</b>
	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 heading, including solicitation/contract subject matter where feasible.)

The purpose of this Modification is to Revise Section I Table of Contents; Revise Clause I.16, 52.219-9, Small Business Subcontracting Plan (Jul 2005); Revise Clause I.104, Obligation of Funds; Revise Part III, Attachment J.2, Appendix B, Performance Evaluation and Management Plan FY 2005; Replacement of Attachment J.9, Appendix I, DOE Directives.

15A. NAME AND TITLE OF SIGNER (Type or print) <b>Gregory Fess Secretary and General Counsel</b>		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) <b>Robert P. Gordon Contracting Officer</b>	
15B. CONTRACTOR/OFFEROR  (Signature of person authorized to sign)	15C. DATE SIGNED <b>8/31/05</b>	16B. UNITED STATES OF AMERICA BY  (Signature of Contracting Officer)	16C. DATE SIGNED <b>8/31/05</b>

Said contract, as modified previously, is hereby further modified as follows:

1. **Section I** – Contract Clauses, Table of Contents is revised to reflect updated Clause I.16.
2. **Clause I.16** - Delete 52.219-9, Small Business Subcontracting Plan (JAN 2002) in its entirety and replace with the attached updated revision of 52.219-9, Small Business Subcontracting Plan (JUL 2005).
3. **Clause I.104 - OBLIGATION OF FUNDS:** The first sentence of paragraph (a) is revised to read as follows: “The amount presently obligated by the Government with respect to this Contract is \$3,419,747,161.80.”

The following is a history of the change in the obligated amount since the last M Modification.

PRIOR OBLIGATION M133	\$ 3,403,363,925.11
INCREASE IN MOD A134	<u>16,383,236.69</u>
CURRENT TOTAL OBLIGATION:	\$ 3,419,747,161.80

4. **Attachment J.2, Appendix B** – Performance Evaluation and Management Plan.
  - a. Revise Measure 2.1.2, Table 1, Work Packages 110, 176, 179 and 182
  - b. Revise Measure 3.3.1, Delete “Science & Technical User Facility Operations and Maintenance” and replace with “Science and Technical Program Management”.
- These revisions are reflected in the attached revised Attachment J.2, Appendix B FY 2005 which replaces the prior version identified as Modification M133 in its entirety.
5. **Attachment J.9, Appendix I** – DOE Directives: DOE Directives identified as Modification M133 is deleted in its entirety and replaced with the attached Appendix I, identified as Modification M135.

**Attachments:**

Attachment Section I, Contract Clauses, Table of Contents  
Attachment Clause I.16, 52.219-9, Small Business Subcontracting Plan (Jul 2005)  
Attachment J.2, Appendix B – Performance Evaluation and Management Plan  
Attachment J.9, Appendix I – DOE Directives

**PART II**

**SECTION I**

**CONTRACT CLAUSES**

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CLAUSE I.16 - FAR 52.219-9 SMALL BUSINESS SUBCONTRACTING PLAN  
(JUL 2005)

(a) This clause does not apply to small business concerns.

(b) *Definitions.* As used in this clause--

“Commercial item” means a product or service that satisfies the definition of commercial item in section 2.101 of the Federal Acquisition Regulation.

“Commercial plan” means a subcontracting plan (including goals) 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).

“Individual contract plan” 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” means a subcontracting plan that contains all the required elements of an individual contract plan, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.

“Subcontract” means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime Contractor or subcontractor calling for supplies or services required for performance of the contract or subcontract.

(c) The offeror, upon request by the Contracting Officer, shall submit and negotiate a subcontracting plan, where applicable, that separately addresses subcontracting with small business concerns, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business concerns, small disadvantaged business, and with women-owned small business concerns. If the offeror is submitting an individual contract plan, the plan must separately address subcontracting with small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns with a separate part for the basic contract and separate parts

for each option (if any). The plan shall be included in and made a part of the resultant contract. The subcontracting plan shall be negotiated within the time specified by the Contracting Officer. Failure to submit and negotiate the subcontracting plan shall make the offeror ineligible for award of a contract.

(d) The offeror's subcontracting plan shall include the following:

(1) Goals, expressed in terms of percentages of total planned subcontracting dollars, for the use of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors. The offeror shall include all subcontracts that contribute to contract performance, and may include a proportionate share of products and services that are normally allocated as indirect costs.

(2) A statement of --

(i) Total dollars planned to be subcontracted for an individual contract plan; or the offeror's total projected sales, expressed in dollars, and the total value of projected subcontracts to support the sales for a commercial plan;

(ii) Total dollars planned to be subcontracted to small business concerns;

(iii) Total dollars planned to be subcontracted to veteran-owned small business concerns;

(iv) Total dollars planned to be subcontracted to service-disabled veteran-owned small business;

(v) Total dollars planned to be subcontracted to HUBZone small business concerns;

(vi) Total dollars planned to be subcontracted to small disadvantaged business concerns; and

(vii) Total dollars planned to be subcontracted to women-owned small business concerns.

(3) A description of the principal types of supplies and services to be subcontracted, and an identification of the types planned for subcontracting to --

(i) Small business concerns,

(ii) Veteran-owned small business concerns;

(iii) Service-disabled veteran-owned small business concerns;

(iv) HUBZone small business concerns;

(v) Small disadvantaged business concerns, and

(vi) Women-owned small business concerns.

(4) A description of the method used to develop the subcontracting goals in paragraph (d)(1) of this clause.

(5) A description of the method used to identify potential sources for solicitation purposes (*e.g.*, existing company source lists, the Procurement Marketing and Access Network (PRO-Net) of the Small Business Administration (SBA), veterans service organizations, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, or small, HUBZone, small disadvantaged, and women-owned small business trade associations). A firm may rely on the information contained in PRO-Net as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a small, veteran-owned small, service-disabled veteran-owned small, HUBZone small, small disadvantaged, and women-owned small business source list. Use of PRO-Net as its source list does not relieve a firm of its responsibilities (*e.g.*, outreach, assistance, counseling, or publicizing subcontracting opportunities) in this clause.

(6) A statement as to whether or not the offeror included indirect costs in establishing subcontracting goals, and a description of the method used to determine the proportionate share of indirect costs to be incurred with --

- (i) Small business concerns;
- (ii) Veteran-owned small business concerns;
- (iii) Service-disabled veteran-owned small business concerns;
- (iv) HUBZone small business concerns;
- (v) Small disadvantaged business concerns; and
- (vi) Women-owned small business concerns.

(7) The name of the individual employed by the offeror who will administer the offeror's subcontracting program, and a description of the duties of the individual.

(8) A description of the efforts the offeror will make to assure that small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns have an equitable opportunity to compete for subcontracts.

(9) Assurances that the offeror will include the clause of this contract entitled "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities, and that the offeror will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$500,000 (\$1,000,000 for construction of any public facility) to adopt a plan similar to the plan that complies with the requirements of this clause.

(10) Assurances that the offeror will --

- (i) Cooperate in any studies or surveys as may be required;
- (ii) Submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan;
- (iii) Submit Standard Form (SF) 294, Subcontracting Report for Individual Contracts, and/or SF 295, Summary Subcontract Report, in accordance with the paragraph (j) of this clause. The reports shall provide information on subcontract awards to small business concerns, veteran-owned small

business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, women-owned small business concerns, and Historically Black Colleges and Universities and Minority Institutions. Reporting shall be in accordance with the instructions on the forms or as provided in agency regulations.

(iv) Ensure that its subcontractors agree to submit SF 294 and 295.

(11) A description of the types of records that will be maintained concerning procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of the offeror's efforts to locate small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and award subcontracts to them. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):

(i) Source lists (e.g., PRO-Net), guides, and other data that identify small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns.

(ii) Organizations contacted in an attempt to locate sources that are small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concerns.

(iii) Records on each subcontract solicitation resulting in an award of more than \$100,000, indicating --

(A) Whether small business concerns were solicited and if not, why not;

(B) Whether veteran-owned small business concerns were solicited and, if not, why not;



(C) Whether service-disabled veteran-owned small business concerns were solicited and, if not, why not;

(D) Whether HUBZone small business concerns were solicited and, if not, why not;

(E) Whether small disadvantaged business concerns were solicited and if not, why not;

(F) Whether women-owned small business concerns were solicited and if not, why not; and

(G) If applicable, the reason award was not made to a small business concern.

(iv) Records of any outreach efforts to contact --

(A) Trade associations;

(B) Business development organizations;

(C) Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, and women-owned small business sources; and

(D) Veterans service organizaions.

(v) Records of internal guidance and encouragement provided to buyers through --

(A) Workshops, seminars, training, etc., and

(B) Monitoring performance to evaluate compliance with the program's requirements.

(vi) On a contract-by-contract basis, records to support award data submitted by the offeror to the Government, including the name, address,

and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

(e) In order to effectively implement this plan to the extent consistent with efficient contract performance, the Contractor shall perform the following functions:

(1) Assist small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate the participation by such concerns. Where the Contractor's lists of potential small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business subcontractors are excessively long, reasonable effort shall be made to give all such small business concerns an opportunity to compete over a period of time.

(2) Provide adequate and timely consideration of the potentialities of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns in all "make-or-buy" decisions.

(3) Counsel and discuss subcontracting opportunities with representatives of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business firms.

(4) Confirm that a subcontractor representing itself as a HUBZone small business concern is identified as a certified HUBZone small business concern by accessing the Central Contractor Registration (CCR) database or by contacting SBA.

(5) Provide notice to subcontractors concerning penalties and remedies for misrepresentations of business status as small, veteran-owned small business, HUBZone small, small disadvantaged or women-owned small business for the

purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the Contractor's subcontracting plan.

(f) A master plan on a plant or division-wide basis that contains all the elements required by paragraph (d) of this clause, except goals, may be incorporated by reference as a part of the subcontracting plan required of the offeror by this clause; provided --

(1) The master plan has been approved;

(2) The offeror ensures that the master plan is updated as necessary and provides copies of the approved master plan, including evidence of its approval, to the Contracting Officer; and

(3) Goals and any deviations from the master plan deemed necessary by the Contracting Officer to satisfy the requirements of this contract are set forth in the individual subcontracting plan.

(g) A commercial plan is the preferred type of subcontracting plan for contractors furnishing commercial items. The commercial plan shall relate to the offeror's planned subcontracting generally, for both commercial and Government business, rather than solely to the Government contract. Commercial plans are also preferred for subcontractors that provide commercial items under a prime contract, whether or not the prime contractor is supplying a commercial item.

(h) Prior compliance of the offeror with other such subcontracting plans under previous contracts will be considered by the Contracting Officer in determining the responsibility of the offeror for award of the contract.

(i) The failure of the Contractor or subcontractor to comply in good faith with --

(1) The clause of this contract entitled "Utilization Of Small Business Concerns;"  
or

(2) An approved plan required by this clause, shall be a material breach of the contract.

(j) The Contractor shall submit the following reports:

(1) *Standard Form 294, Subcontracting Report for Individual Contracts*. This report shall be submitted to the Contracting Officer semiannually and at contract completion. The report covers subcontract award data related to this contract. This report is not required for commercial plans.

(2) *Standard Form 295, Summary Subcontract Report*. This report encompasses all the contracts with the awarding agency. It must be submitted semi-annually for contracts with the Department of Defense and annually for contracts with civilian agencies. If the reporting activity is covered by a commercial plan, the reporting activity must report annually all subcontract awards under that plan. All reports submitted at the close of each fiscal year (both individual and commercial plans) shall include a breakout, in the Contractor's format, of subcontract awards, in whole dollars, to small disadvantaged business concerns by North American Industry Classification System (NAICS) Industry Subsector. For a commercial plan, the Contractor may obtain from each of its subcontractors a predominant NAICS Industry Subsector and report all awards to that subcontractor under its predominant NAICS Industry Subsector.

(End of Clause)

**U.S. Department of Energy**  
**and**  
**Brookhaven Science Associates, LLC**

**ATTACHMENT J.2**

**APPENDIX B**

**PERFORMANCE EVALUATION AND  
MANAGEMENT PLAN**

**FY 2005**

**BROOKHAVEN NATIONAL LABORATORY**

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Critical Outcomes, Objectives, and Performance Measures

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## Performance Evaluation System

### I. Introduction

This Contract Appendix sets forth the performance evaluation system (including processes, criteria, schedules, and measures) that will be used to evaluate the overall performance of Brookhaven Science Associates (BSA) in the management and operation of Brookhaven National Laboratory (BNL) in Fiscal Year (FY) 2005.

For FY 2005, in accordance with applicable provisions of the Contract, the Parties have agreed to use a Performance-Based Management System (PBMS) that includes clear and reasonable objectives, against which BSA's overall performance will be evaluated. For this purpose, the parties have agreed to an objective hierarchy consisting of Critical Outcomes, underlying Objectives, and associated weighted Performance Measures and Metrics for the assessment of BSA's performance and the resulting determination of earned fee.

The DOE Office of Science (SC) identified high-level expectations in six critical activities/functional areas that SC would use to guide its regular assessment of Laboratory performance. These critical areas are Science, Environment, Safety & Health (ES&H), Infrastructure, Business Operations, Leadership and Stakeholder Relations. SC expects SC/Headquarters (HQ) program managers, field offices, and laboratories to work in partnership to develop laboratory-specific outcomes, objectives, and measures that support these high-level expectations and to use self-assessment as a tool to achieve desired outcomes and continuous improvement.

This "Critical Outcome Process" is designed to measure overall performance and drive the improvement agenda of the Laboratory by linking Laboratory rewards, i.e., performance ratings and associated fees to a prioritized set of objectives that have been mutually developed by the Department of Energy (DOE) and BSA. DOE and BSA have mutually agreed to the specific Critical Outcomes, Objectives, and Performance Measures contained herein, and agree to a reassessment of the process, prior to the beginning of each evaluation period.

### II. Critical Outcome, Objective, and Measure Development

The following concepts are used in the development of the Performance Measures and are provided for information and clarification in the process:

- A. The Critical Outcome process must be flexible to accommodate changes as planned improvements are realized and/or customer priorities vary. For example, even though the Critical Outcomes and Objectives are intended as sustainable targets over a 3-5 year and 1-3 year time frames respectively, their relative weights are expected to change more frequently. Re-prioritization of the Critical Outcomes and Objectives is a fundamental part of the annual Critical Outcome process.
- B. Critical Outcomes, their underlying Objectives, and associated Performance Measures should influence the improvement agenda of the Laboratory. They should incorporate best practices and reflect the DOE and BNL functional managers' judgment as to the key performance elements for overall successful operations. Best practices should consider cost/risk/benefit effectiveness. Examples of key elements addressed are:

- Quality of product
- Timely delivery
- Cost reduction
- Cycle time reduction
- User friendliness
- DOE requirements

- C. Performance Measures should be results-oriented and should focus on criteria that are objectively measurable and allow for meaningful trend and rate-of-change analysis where possible. They should use qualitative criteria in those cases where objective criteria will not produce meaningful evaluation results.
- D. Performance Measures may reference industry business standards that are meaningful, appropriate and consistent with DOE requirements, rather than arbitrary standards. To this end, benchmarking initiatives are encouraged. Using benchmarks to change targets should consider whether it is cost effective to make further improvements or if the target level should be raised.
- E. The relative weighting and metrics for each Performance Measure shall be established prior to the start of the performance period by mutual agreement of the Contractor and the DOE Contracting Officer. If the parties cannot reach agreement, the Contracting Officer shall have the right to establish such weights, subject to the provisions of the Prime Contract.
- F. Background and supporting information (such as purpose, means and strategies, assumptions definitions, etc.), shall be documented as appropriate.
- G. Measures are to be developed in a team approach involving DOE personnel and Laboratory functional managers. Care should be taken to ensure that the resulting measures reflect performance in areas for which the Laboratory functional manager is accountable, correctly reflecting their status as responsible for the performance and desired improvement.
- H. If the desired end state of a performance measure is not achieved, and that measure is the final step in achieving its overall Objective, the accomplishment of the measure will move to a DOE requirement until the measure is complete. Lack of attention to the completion of the work identified in the measure may impact the performance ratings in subsequent fiscal years.
- I. Absence of a Performance Measure does not diminish the requirement for compliance with specified contractual requirements in that area of performance. Failure to meet a significant contractual requirement may result in the Contracting Officer overriding the Performance Measures.

**III. Change Control**

DOE and BSA acknowledge that implementation of this performance-based contract requires both parties to continually refine selected Performance Measures and metrics, implement data collection and reporting mechanisms, and seek benchmarks against which to set appropriate targets for performance improvement and/or measurement. Continuing effort is needed to refine the system for scoring performance in each of the Critical Outcomes included in this Appendix and for integrating these scores into an overall evaluation rating for each performance period.

The process to change aspects of performance within the fiscal year, if necessary, is described in the Standards Based Management System (SBMS) Subject Area entitled, "Critical Outcome Performance Measures."

**IV. Self -Evaluation Scoring**

Each Measure, Objective, and Critical Outcome is rated in accordance with the following:

OUTSTANDING	>3.5 to 4.0
EXCELLENT	>2.5 to 3.5
GOOD	>1.5 to 2.5
MARGINAL	>0.5 to 1.5
UNSATISFACTORY	≤ 0 to 0.5



Once the adjectival rating is determined, the cognizant BSA manager (owner) considers other related aspects of performance (e.g., quality, efficiency, etc.) and determines an appropriate numerical rating. For example, a performance measure that met schedule quality expectations with an adjectival rating of Excellent, but an external review indicates that the work represented a “best-in-class” effort, may warrant a 3.5 rating. Similarly, a measure that met quality requirements for an excellent rating but required substantial re-work to achieve it may warrant a numerical score on the lower end of the excellent range, perhaps a 2.6.

A roll-up score is determined by multiplying the weight of each Performance Measure in that Objective by its score. These are added together to develop an overall score for each Objective, which is then translated into an adjectival rating. The process is continued for the Critical Outcomes by multiplying the scores for each Objective within a given Critical Outcome by its corresponding weight, adding the resulting numbers to get a Critical Outcome score, and converting this score to an adjectival rating as done for the Objective level. The same process is then used to calculate an overall score, and then the adjectival rating, at the Laboratory level.

#### **V. Self-Evaluation and Improvement Agenda**

BSA and DOE will conduct a mid-year review of status against performance measures defined in Critical Outcomes 1-3. BSA is responsible to define and coordinate the process for conducting the review and to ensure the involvement of appropriate DOE counterparts and BSA management.

On an annual basis, the Laboratory will conduct a formal Self-Evaluation of its performance relative to each Critical Outcome, Objective, and Performance Measure identified. This Report will also address other significant issues or opportunities that arise from the Laboratory’s broader Integrated Assessment Program, whether or not they specifically impact the Critical Outcomes.

As part of the mid-year review and the annual self-evaluation process, both BSA and DOE will assess whether the performance measures defined (for the current and next FY) adequately reflect the scope and priorities for Laboratory management focus.

#### **VI. DOE Evaluation**

The DOE evaluation of BSA’s performance, and, in turn, the DOE determination of BSA’s earned fee, will be based primarily on the performance levels achieved against the weighted Performance Measures identified above. In addition, for each Critical Outcome area, the Contracting Officer may also consider any other relevant information directly or indirectly related to the Critical Outcome, including areas of performance monitoring defined by the Self-Assessment process, that is deemed to have had an impact (either positive or negative) on the Contractor’s performance. The fact that the Self-Assessment is “topically aligned” under a particular Critical Outcome Area does not preclude the Contracting Officer from considering the Self-Assessment’s impact upon other Critical Outcome areas. Should the Contracting Officer consider other relevant information in establishing the final performance rating for any Critical Outcome, the Contractor will receive written notice of such intent and will be given the opportunity to respond in writing. This agreement does not impact DOE’s rights under other provisions of the Prime Contract.

The Director of the Office of Science (SC-1) has the primary responsibility for evaluating Science and Technology performance (Critical Outcome 1), but input also will be sought from cognizant DOE Assistant Secretaries, Office Directors, and Program Managers. The Contracting Officer has the primary responsibility for evaluating performance relative to Critical Outcomes 2 and 3 in accordance with the Objectives, Performance Measures, and Metrics. However, the Contracting Officer shall inform SC-1 of any issues or concerns that should be considered when evaluating the Contractor’s performance in Critical Outcome 1. This is especially important in those areas where operational performance could have a significant impact on the Contractor’s ability to conduct successful research for the Department. The Contractor has responsibility to compile the data necessary to document its performance against all measures.

## VII. Critical Outcomes, Objectives, and Performance Measures

The Laboratory's Critical Outcomes for Fiscal Year 2005 are:

**Science and Technology** - *BSA will deliver innovative, forefront science and technology aligned with DOE strategic goals in a safe, environmentally sound, and efficient manner, and will conceive, design, construct, and operate world-class user facilities.*

**Environmental Management** - *BSA will deliver "Best-In-Class" solutions in conducting the Environmental Restoration Program. Focused upon completion, the results will be protective of the environment, cost effective, and performed in an open exchange with the community, regulators, and other stakeholders. BSA will continue to keep the commitments agreed to in the Memorandum of Understanding signed by Dr. Marburger and Mr. Holland on May 4, 2001.*

**Laboratory Management and Operations** - *BSA will manage and enhance operations and management processes to provide an effective and efficient work environment that enables the execution of the BNL mission in a manner responsive to customer and stakeholder expectations.*

In FY 2005, the relative weights of the Critical Outcomes reflect a high priority on the success of the Laboratory's science and technology mission and the need for continued improvement and focus on the Laboratory's environmental cleanup activities. At the Objective level, the FY 2005 priorities clearly reflect an increased emphasis on BSA's self-assessment program while maintaining a balanced perspective of institutional performance consistent with SC expectations.

The Critical Outcomes, Objectives, and Measures, and their relative weights, are outlined in Table I.

Combined, the Critical Outcomes, Objectives, and Measures define the scope of planned institutional level self-assessment activities. This approach ensures that priorities and resources associated with institutional assessment activities supporting Critical Outcomes and Objectives are considered and balanced with the development of the specific measures and metrics contained in the Critical Outcome Trees.

The Critical Outcomes, Objectives, and Performance Measures agreed to for FY 2005 through the DOE/BSA Critical Outcome process are fully defined in this Appendix.

Table 1

Critical Outcomes, Objectives, and Measures	CO %	OBJ. %	Measure %	Element %
<b>1.0 Science and Technology</b>	<b>60%</b>			
Objective 1.1 Quality of Science and Technology		30%		
Objective 1.2 Relevance to DOE Mission		10%		
Objective 1.3 Success in Constructing & Operating Research Facilities		25%		
Objective 1.4 Research Program Management		30%		
Objective 1.5 New Science and Technology Initiatives		5%		
Measure 1.5.1 Center for Functional Nanomaterials (CFN)			100%	
1.5.1.1 Preliminary Organizational Activities				20%
1.5.1.2 CFN Scientific Activities				20%
1.5.1.3 CFN Construction				60%
<b>2.0 Environmental Management</b>	<b>8%</b>			
Objective 2.1 Execution of Program Activities		100%		
Measure 2.1.1 Project Completions and Other Key Milestones			100%	
<b>3.0 Laboratory Management and Operations</b>	<b>32%</b>			
Objective 3.1 Corporate Leadership		25%		
Measure 3.1.1 Strategic Partnership			30%	
Measure 3.1.2 Laboratory Leadership			65%	
Measure 3.1.3 Diversity			5%	
Objective 3.2 Business Processes		17%		
Measure 3.2.1 Phase IV of Benchmarking Study			53%	
Measure 3.2.2 Cyber Security			35%	
Measure 3.2.3 Procurement Operations			12%	
Objective 3.3 Management System Planning, Assessment and Improvement		20%		
Measure 3.3.1 Management System Maturity Determinations			20%	
Measure 3.3.2 Third Party Assessment of Program			80%	
Objective 3.4 Improved ESH&Q - Operations Services		15%		
Measure 3.4.1 OSHA Reportable Injury Management			100%	
Measure 3.4.1.1 Days Away, Restricted or Transferred Rate				50%
Measure 3.4.1.2 Total Reportable Case Rate				50%
Objective 3.5 Site Infrastructure, Facilities, Operations and Security		13%		
Measure 3.5.1 Alternative Financing (AF)			14%	
3.5.1.1 BNL Housing Reconstruction Project (HRP)				100%
Measure 3.5.2 Project Management			23%	
Measure 3.5.3 Maintenance Investment Index (MII)			23%	
Measure 3.5.4 Energy Contract			34%	
Measure 3.5.5 Infrastructure Reliability (RI)			6%	
Objective 3.6 Communications and Trust		10%		
Measure 3.6.1 Community, Education, Government and Public Affairs Management			100%	
3.6.1.1 Promoting Scientific Initiatives, Accomplishments and Operations Priorities				40%
3.6.1.2 Expanding Partnership Opportunities				30%
3.6.1.3 Internal Communications and Involvement				30%

## VIII. Schedule

In order to clearly define the path forward, the following generic schedule is presented as a guide. BSA and DOE acknowledge that the nature of the processes involved demands flexibility in the schedules.

### FY 2005 Performance Measures Schedule

#### **October:**

- October 1 - BSA initiates the Self-Evaluation process for the **Completed Fiscal Year**.
- Third week in October - Conduct the Fourth Quarter status review for the **Completed Fiscal Year**.

#### **November:**

- November 15 - BSA submits its Annual Self-Evaluation Report to DOE for the **Completed Fiscal Year**.

#### **January:**

- January 15 - DOE transmits its draft Annual Evaluation Report for the **Completed Fiscal Year** to BSA for comment.
- Conduct the First Quarter status review for the **Current Fiscal Year**.

#### **February:**

- February 1 - BSA submits its comments on DOE's draft Annual Evaluation Report for the **Completed Fiscal Year** to DOE.
- Second week in February - DOE transmits the final DOE Annual Evaluation Report for the **Completed Fiscal Year** to BSA.

#### **March:**

- DOE and BSA begin drafting the Critical Outcomes, Objectives, and Performance Measures for the **Succeeding Fiscal Year**.

#### **April:**

- DOE/BSA Management Retreat to assess customer strategic needs, and refine the Critical Outcomes, Objectives, and Performance Measures for the **Succeeding Fiscal Year**.
- Conduct the Mid-year (Second Quarter) status review for the **Current Fiscal Year**.

#### **June:**

- June 30 - DOE and BSA will have developed a workable draft on the Critical Outcomes, Objectives, and Performance Measures for the **Succeeding Fiscal Year**.

#### **July:**

- Conduct the Third Quarter status review for the **Current Fiscal Year**.

#### **September:**

- September 30 - The Critical Outcomes, supporting Objectives, and related Performance Measures for the **Succeeding Fiscal Year** will be ready to be incorporated into DOE's Prime Contract with BSA.

## IX. Definitions

**Activity/Functional Area** - The strategic areas of mission accomplishment outlined in the Director of the Office of Science expectations for Science Laboratory's program performance in the areas of Science, Leadership, Environment, Safety & Health, Infrastructure, Business Operations, or Stakeholder Relations. These form the basis for the Laboratory's Critical Outcomes, Objectives, and Measures.

**Critical Outcome** - Performance end state having the highest level of strategic value or impact to DOE, BSA, or affected stakeholders; represent a sustainable target over a minimum of 3 to 5 years.

**Critical Outcome Trees** - The complete set of Critical Outcomes, Objectives, and Measures for a given fiscal year; synonymous with this Appendix.

**Objective** - A statement of desired outcomes for an organization or activity. Objectives are intended to be sustainable targets over a 1-3 year timeframe and form a complete, non-redundant set of results for evaluating progress toward achievement of the Critical Outcomes.

**Measure** - A quantitative or qualitative method for characterizing performance. Performance Measures are specific to the performance period, i.e., the fiscal year, and require the development of metrics (expectations) to facilitate adjectival ratings.

**Metric (a.k.a. Expectation)** - The desired condition or target level of performance for each measure.

**Result** - The actual condition or performance level for each measure.

**Benchmark** - A standard or point of reference for measurement usually derived from values found in other institutions or organizations.

**Outstanding** - Significantly exceeds the standard of performance; achieves noteworthy results.

**Excellent** - Exceeds the standard of performance, although there may be room for improvement in some elements. Better performance in all other elements more than offsets this.

**Good** - Meets the standard of performance. Deficiencies do not substantively affect performance.

**Marginal** - Below the standard of performance; deficiencies are serious and may affect overall results; management attention and corrective action are required.

**Unsatisfactory** - Significantly below the standard of performance; deficiencies are serious, may affect overall results, and urgently require senior management attention.

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<b>1.3 Objective - Success in Constructing and Operating Research Facilities.....</b>	<b>1</b>
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1.5.1 Center for Functional Nanomaterials (CFN) .....	2
1.5.1.1 Preliminary Organizational Activities .....	2
1.5.1.2 CFN Scientific Activities.....	2
1.5.1.3 CFN Construction.....	2

## **1.0 Critical Outcome - Science and Technology**

BNL WILL DELIVER INNOVATIVE, FOREFRONT SCIENCE AND TECHNOLOGY ALIGNED WITH DOE STRATEGIC GOALS IN A SAFE, ENVIRONMENTALLY SOUND, AND EFFICIENT MANNER AND WILL CONCEIVE, DESIGN, CONSTRUCT, AND OPERATE WORLD-CLASS USER FACILITIES.

The weight of this outcome is 60% of total.

The Director of the Office of Science (SC-1) has primary responsibility for evaluating the performance of Laboratory Science and Technology programs. In carrying out this responsibility, the Assistant Secretaries and Office Directors are likely to request assistance from the Program Managers under whose jurisdiction the various individual Laboratory programs fall.

In performing this evaluation, the Assistant Secretaries and Office Directors have available input from the following sources:

1. DOE Program Managers who carry out periodic reviews of the programs they fund. These reviews usually include use of independent technical experts. The Program Managers may use written reviews as a basis for evaluating the quality of the science and technology performed by the Laboratory and its relevance to their programmatic goals.
2. The Science and Technology Advisory Committee of the BSA Board that oversees the internal reviews of science and technical programs at Brookhaven. Independent review committees whose membership is drawn from the external scientific and engineering communities review each major Laboratory program on an 18-month cycle. The committees evaluate Laboratory divisions and programs with respect to the quality and performance of the staff, the quality and timeliness of the work, and the relevance of the programs to the goals of the Laboratory and sponsoring agencies. Reviews include consideration of the Performance Measures described below. The Committee's written reports and the Laboratory's responses are made available to the BSA Board for Brookhaven, DOE Contracting Officers, and to relevant DOE Program Managers.
3. BNL Self-Assessments, which include Department Self-Assessments, Independent Peer Review, and Department and Lab-level Annual Self-Evaluations.

### **1.1 Objective – Quality of Science and Technology**

The weight of this objective is 30%.

BSA will produce high quality, innovative results, that advance exceptional science and technology in addressing compelling questions, sustain scientific progress and impact, build upon Brookhaven National Laboratory's science and technology strengths as a base for excellence, and that are recognized by the scientific and technical communities.

### **1.2 Objective - Relevance to DOE Mission**

The weight of this objective is 10%.

BSA's science and technology research and development themes will be aligned with and advance DOE missions, be of broad and significant value, and contribute to U.S. leadership in international scientific and technical communities.

### **1.3 Objective - Success in Constructing and Operating Research Facilities**

The weight of this objective is 25%.

BSA will provide strategic planning for world-class laboratory facilities that support current and future science and technology missions, provide effective and efficient access to user facilities, and ensure effective, efficient, safe and secure operations.

#### **1.4 Objective – Research Program Management**

The weight of this objective is 30%.

BSA will provide effective customer relationship and program management, research capabilities management, outstanding research processes that improve productivity, increased integration across research programs that bring together world-class scientists in cross-disciplinary teams, and management of risk.

#### **1.5 Objective – New Science and Technology Initiatives**

The weight of this objective is 5%.

BSA will identify and develop world-class, cutting edge science and technology initiatives, provide effective management, and establish systems, processes, and staffing to bring the initiatives to maturity.

##### **1.5.1 Center for Functional Nanomaterials (CFN)**

The weight of this measure is 100%.

BSA will develop and implement the Nanoscience initiative at BNL. This will include the development of an organizational structure at the Scientific Department level, the implementation of the “Jumpstart” program, and initiation of the Center for Functional Nanomaterials (CFN) project.

###### **1.5.1.1 Preliminary Organizational Activities**

The weight of this element is 20%.

- A. Continue with the Scientific Advisory Committee (SAC) to advise Laboratory management on CFN activities
- B. Bring Proposal Review Panel to maturity to review CFN jumpstart proposals from independent investigators
- C. Initiate staff hiring in support of Users and the Science program

###### **1.5.1.2 CFN Scientific Activities**

The weight of this element is 20%.

- A. Identify the CFN science theme areas and develop a growth plan for each area.
- B. Refine the user science program.
  - 1. Establish a User Executive Committee for the CFN.
  - 2. Host Scientific Advisory Committee review
- C. Host 2<sup>nd</sup> Annual User meeting at BNL

###### **1.5.1.3 CFN Construction**

The weight of this element is 60%.

The objective of this measure is to award the building construction contract within the cost Baseline to ensure sufficient contingency in a changing construction climate.



**Performance Metric**

Rating	Criteria
Outstanding	Awardable at or less than Baseline cost or within + 1%
Excellent	Awardable contract within + 3% of Baseline cost
Good	Awardable contract within + 6% of Baseline cost
Marginal	Awardable contract within + 8% of Baseline cost
Unsatisfactory	Awardable contract within + 10% of Baseline cost

## Note:

1. Current Building Baseline Cost is projected to be \$31.5M. However, the baseline cost applicable for the metric will be the approved baseline cost at the time the Invitation for Bid (IFB) is issued.
2. Management decision to award "Add Alternates" using Contingency does not impact on the evaluation.
3. Based on no major scope reduction that will impact project mission
4. Based on an awardable contract and a responsive contractor

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## 2.0 Critical Outcome – Environmental Management

BROOKHAVEN SCIENCE ASSOCIATES (BSA) WILL DELIVER “BEST-IN-CLASS” SOLUTIONS IN CONDUCTING THE ENVIRONMENTAL MANAGEMENT PROGRAM (EM) AND SUPPORT THE DEPARTMENT OF ENERGY, INCLUDING BOTH DOE-EM AND THE DOE OFFICE OF SCIENCE (SC) IN ITS BALANCED DECISION MAKING FOR ENVIRONMENTAL CLEANUP. BSA IS COMMITTED TO COMPLETING THE SUPERFUND PORTION OF THE CLEANUP BY FISCAL YEAR 2005 (FY05) (EXCLUDING BGRR PILE REMOVAL AND HFBR DECOMMISSIONING.) THE CLEANUP WILL BE PROTECTIVE OF THE ENVIRONMENT, RISK BASED, COST EFFECTIVE, CONSISTENT WITH DOE-SC EXPECTATIONS FOR LONG-TERM RESPONSE ACTION, AND PERFORMED IN AN OPEN EXCHANGE WITH THE COMMUNITY, OUR REGULATORS, AND OTHER STAKEHOLDERS. BROOKHAVEN NATIONAL LABORATORY (BNL) WILL CONTINUE TO KEEP THE COMMITMENTS AGREED TO IN THE MEMORANDUM OF UNDERSTANDING SIGNED BY DR. MARBURGER AND MR. HOLLAND ON MAY 4, 2001. ADDITIONALLY, BSA WILL EXECUTE THE STRATEGIC INITIATIVES OUTLINED IN THE PERFORMANCE MANAGEMENT PLAN (PMP) AND WILL COMPLETE ALL ACTIVITIES IN ACCORDANCE WITH THE BNL ENVIRONMENTAL MANAGEMENT BASELINE.

The weight of this Outcome is 8% of total.

### 2.1 Objective - Execution of Program Activities

The weight of this Objective is 100%.

BSA will expertly, expeditiously, and economically plan, conduct, and complete decontamination and decommissioning of facilities; removal and disposal of wastes; and remediation of soils and groundwater. These projects will be safely but aggressively undertaken, closely controlled, and focused on completion in FY05. BSA will aggressively manage cost and schedule performance within the approved baseline parameters and achieve all major Interagency Agreement milestones and Gold Chart Metrics on or before their commitment date with the regulatory agencies and DOE.

#### 2.1.1 Measure - Project Completions and Other Key Milestones

The weight of this Measure is 100%.

BSA will be evaluated on the quality of work planning and schedule management via the achievement of project completions, key milestones and completion of work packages in accordance with the approved BNL Environmental Management Baseline. The work packages, completion dates and completion criteria are contained in Table 1.

Performance Level Metrics	
Rating	Score
All fee associated with this Critical Outcome is earned	16 of 16 work packages and documentation completed and approved per Note 1.
Loss of 50% of Critical Outcome 2.0 fee	15 of 16 work packages substantially completed
Loss of 100% of Critical Outcome 2.0 fee	13 or 14 of 16 work packages substantially completed
Loss of all Critical Outcome fee	12 (or less) of 16 work packages substantially completed

## Note:

1. With the exception of Work Package 182, all work packages completed per Baseline completion Criteria and Critical Decision-4 Package accepted by the Brookhaven Federal Project Director for the Office of Environmental Management (EM) and the BHSO Manager for the Office of Science.
2. Substantially completed for each Work Package is defined in Table 1.
3. The successful completion of Work Package 179 is in part dependant on the completion of all of the other work packages included in Table 1. BSA's failure to complete any of these other work packages will impact the completion of Work Package 179. Work Package 179 will not be counted as a redundant work package failure against the fee schedule set forth in Table 1 in the event that BSA's failure to complete Work Package 179 is attributable to BSA's failure to complete another Table 1 work package. In order to not be counted as a redundant work package failure, Work Package 179 must otherwise be complete.
4. The numerical rating is subjective for the adjectival range.
5. Draft reports must be determined as acceptable by the EM Federal Project Director or BHSO Manager.
6. The DOE Contracting Officer will, with concurrence by the EM Federal Project Director, authorize project funds to be added to BSA's Environmental Management Employee Incentive Program if all FY05 work packages are completed in accordance with Table 1 and as FY06 activities and milestones are accelerated into FY05 as listed in Table 2. Table 2 provides a target fee schedule, which is limited by the availability of remaining FY05 EM cleanup funds.
7. Because there is not a direct correlation between the completion criteria listed in Table 1 and the EM completion criteria defined in the EM Lifecycle Baseline (Revision 6), the DOE Contracting Officer and the EM Federal Project Director may consider additional contributions to the EM Employee Incentive Program for exceptional performance in satisfying EM Lifecycle Baseline completion criteria.
8. Work Package 125 and Work Package 170 include project management, project support, oversight and administrative functions required to complete the EM mission. These work packages do not include physical cleanup work. Hence, there are no completion criteria and these work packages are excluded from this performance measure.

## Conditions:

1. The specified dates for the work package completion or substantial completion beyond 9/30/05 must be changed via DOE and BNL's formal baseline change control proposal (Baseline Change Proposal) procedure.
2. Performance under this measure is dependent upon FY05 funding being provided in accordance with BSA's working schedule and Revision 6 Baseline funding profile
3. Performance under this measure is dependent on the timely completion of all GFSI.
4. New DOE and regulatory schedule constraints or requirements may impact work package completion and subcontractor completion as described herein. Such new schedule constraints and requirements may result in schedule extension request by BSA and such schedule extensions will be evaluated by DOE for reasonableness and appropriateness.

<b>Table 1: FY 2005 Key Activities and Project Completions</b>		
<b>Work Package</b>	<b>Date</b>	<b>Criteria for Substantial Completion</b>
Work Package 101 Bldg 811 Underground Storage Tanks (USTs) and Soils -Work Package Completion (RS 13C, 14C)	30-Sep-05	USTs removed and disposal complete. Contaminated soils removed and disposal complete. Final status survey complete demonstrating that cleanup goals are satisfied. Draft closeout report provided to the DOE.
Work Package 105 OU I Chemical/Glass Holes -Work Package Completion.	30-Sep-05	Contaminated soils removed and disposal complete. Final status (as-left) survey is completed. Draft closeout report addendum provided to the DOE.
Work Package 110 OU III Bldg 96 Remediation and poly chlorinated biphenyl (PCB) Soils- Work Package Completion.	30-Sep-05	PCB Soils Contaminated soils removed and disposal complete. Final status (as-left) survey is completed demonstrating that cleanup objectives are met. Draft closeout report provided to the DOE.  Silt Zone Initial chemical application complete and summary report prepared. Draft revision to O&M manual adding chemical application as a standard operating practice provided to the DOE if required. BSA will actively pursue Regulator approval of the shutdown petition.
Work Package 117 OU V Peconic River Remediation -Work Package Completion (RS 65C)	30-Sep-05	Contaminated sediment removed from Peconic River and disposal complete. Final status survey demonstrating that cleanup goals are satisfied. Post cleanup restoration complete. Draft closeout report provided to the DOE.
Work Package 123 BGRR Below Ground Duct (BGD)-Work Package Completion. (F45C)	30-Sep-05	Filters and liners removed from BGDs and waste disposal complete. As-left survey of BGDs complete. Draft closeout report provided to DOE.
Work Package 127 Boneyard	30-Sep-05	Process and dispose all remaining BNL Boneyard wastes . Submit a letter report to DOE documenting final disposition of waste and completion of WP scope.
Work Package 129 BGRR Bldg and Grounds Disposition- Work package completion	30-Sep-05	Building 701 decontamination work, maintenance and building refurbishment complete including disposal of wastes. Completion report provided to the DOE.
Work Package 131 OU I Remediation Hazardous Waste Main Facility (HWMF) - Work Package Completion (RS78C)	30-Sep-05	Contaminated soils and structures removed and waste disposal complete. Final status survey complete demonstrating that cleanup goals are satisfied. Draft closeout report provided to the DOE.

<b>Table 1: FY 2005 Key Activities and Project Completions</b>		
<b>Work Package</b>	<b>Date</b>	<b>Criteria for Substantial Completion</b>
Work Package 134 OU III Sr90 Remediation System - Work Package Completion. (RS 72C,73C,74C,75C)	30-Sep-05	Treatment system construction, operational readiness evaluation and startup complete. Startup Report issued to the DOE documenting that system design requirements are satisfied. Draft O&M manual provided to the DOE.
Work Package 154 EM Liability Waste	30-Sep-05	Process and dispose all remaining EM Liability wastes. Submit a letter report to DOE/BHSO documenting completion of this WP.
Work Package 158 Brookhaven Graphite Research Reactor (BGRR) Comprehensive Risk Assessment (CRA), Feasibility Study (FS), Proposed Remediation Action Plan (PRAP), and Record Of Decision (ROD) -Work Package Completion	30-Sep-05	Final ROD to Administrative Record.
Work Package 160 HFBR S&M	30-Sep-05	Annual surveillance and maintenance work complete. Completion report provided to the DOE.
Work Package 176 BGRR Project Closeout Activities -Work Package Completion (F44C,46C, 88C)	30-Sep-05	Building 708 demolition and physical isolation of BGDs complete including disposal of wastes. A letter report certifying completion has been submitted to BHSO, and BHSO has verified completion.
Work Package 177 Boneyard Transuranic (TRU) Waste	30-Sep-05	Transportation of the AmBe source and the Pu vault to an approved DOE receiving facility (off the BNL site). Transit letter to DOE documenting receipt at approved off-site facility.
Work Package 179 Long Term Response Action	30-Sep-05	Long-term environmental stewardship (i.e., post-completion) organization fully staffed and in place. Completion of this work package will be determined by the Federal Project Director (FPD) based on an analysis of completion of the activities contained in this Work Package and the BSA Transition Plan, which has been approved by the DPD. The goal for this work package is "substantially complete" to recognize that there may be minor items not completed or items that may be beyond the control of BSA. In addition, Regulator approval of the Petition for Shutdown for the Carbon Tet groundwater treatment system must be obtained to complete this work package.
Work Package 182 BGRR Canal and Contaminated Deep Soil Removals	30-Sep-05	All wastes have been treated and disposed at an approved disposal site. Appropriate documentation has been received from the off-site disposal facility. A completion report documenting implementation of the required action has been approved by the EPA/DEC.

<b>Table 2. FY2006 Milestone Acceleration Candidates and Target Fee Schedule</b>		
<b>Milestone</b>	<b>Completion Criteria</b>	<b>Incentive Plan Bonus</b>
HFBR Draft D&D Decision Documents	Draft documents complete and acceptable to EM Federal Project Director and BHSO Manager.	\$150,000
HFBR Final End-State	Regulatory reviews complete, public involvement complete, and draft final documents prepared for DOE and regulatory (if required) execution.	\$300,000
BGRR/HFBR D&D Performance Baseline	Draft BGRR and HFBR D&D Performance Baseline acceptable to EM Federal Project Director and BHSO Manager. BGRR and HFBR D&D cost plan is within EM annual and life-cycle targets and integrated schedule with milestones that reflect a completion no later than September 30, 2008.	\$300,000

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### 3.0 Critical Outcome – Laboratory Management and Operations

BSA WILL MANAGE AND ENHANCE OPERATIONS AND MANAGEMENT PROCESSES TO PROVIDE AN EFFECTIVE AND EFFICIENT WORK ENVIRONMENT THAT ENABLES THE EXECUTION OF THE BNL MISSION IN A MANNER RESPONSIVE TO CUSTOMER AND STAKEHOLDER EXPECTATIONS.

The weight of this outcome is 32% of total.

#### 3.1 Objective – Corporate Leadership

The weight of this objective is 25%.

The BSA partners will provide demonstratable value to ongoing Laboratory operations by providing leadership and management direction to resolve challenges, solve problems, and attract external resources that complement and build upon the BNL mission.

##### 3.1.1 Measure – Strategic Partnership

The weight of this measure is 30%.

BSA partners involvement can lead to successfully initiating substantial partnerships or programs (\*) that result in sponsorship or enhanced financing from non-DOE entities to support research programs at the Laboratory.

##### Performance Metric

Rating	Criteria
Outstanding	Consistent with the strategic agenda for the laboratory, identify and implement a select few top priority actions necessary to support critical elements of the strategic agenda, and deliver new substantial partnerships or programs for enhanced non-DOE funding at BNL in accordance therewith.
Excellent	Consistent with the strategic agenda for the laboratory, identify a select few top priority actions necessary to support critical elements of the agenda, and deliver confirmation of emerging partnerships with non-DOE entities that have the potential to sponsor substantial research programs/activities at BNL.
Good	Consistent with the strategic agenda for the laboratory, identify a select few top priority actions necessary to support critical elements of the agenda, and take actions identifying further substantial partnerships or programs for enhanced non-DOE funding at BNL in accordance therewith.
Marginal	Failure to implement priority actions from strategic agenda and take actions at the Corporate level to initiate substantial partnerships or programs for enhanced non-DOE funding at BNL.
Unsatisfactory	Failure to prioritize and take actions at the corporate level to initiate substantial partnerships or programs for enhanced non-DOE funding at BNL.

\*Substantial partnerships are perceived to strategically align the laboratory programs/initiatives and have the potential to grow in excess of \$500K.

##### 3.1.2 Measure – Laboratory Leadership

The weight of this measure is 65%.

1. Conduct corporate management assessments in various areas of Laboratory operations.
2. Facilitate the exchange of ideas and practices between other organizations affiliated with BSA corporate partners that bring benefits to DOE and/or BNL (e.g., joint appointments with universities).

3. Demonstrate involvement in implementing programs/initiatives and challenges that enhance the scientific position, prestige, and viability of BNL as a Department of Energy National Laboratory.
4. Develop and pursue a strategic hire list for FY 2005 in support of the Laboratory's long-term strategic agenda.
5. Provide proven management systems and processes for enhancing business operations.
6. Demonstrate BSA partners' financial involvement in the future of the Laboratory.
7. Demonstrate BSA partners' leadership in resolving challenges for the Laboratory.

#### Performance Metric

Rating	Criteria
Outstanding	All 7 items determined acceptable
Excellent	6 of the 7 items determined acceptable
Good	5 of the 7 items determined acceptable
Marginal	4 of the 7 items determined acceptable
Unsatisfactory	3 or less of the 7 items determined acceptable

#### 3.1.3 Measure – Diversity

The weight of this measure is 5%.

#### Purpose and Background

BSA/BNL/Diversity Office will strive for Best Practices in managing diversity programs linked to recruitment and diversity educational awareness activities. The diversity program will be based on three standing documents; 1) the diversity program will link its programs with the Laboratory's Science and Technology strategic goals, 2) the program is committed to implementing the recommendations of the 2001 Hewitt Diversity Emphasis Study that focused on aligning diversity management and activities to DOE and Lab missions and goals, 3) the program will implement the elements defined in the annual Strategic Plan for Diversity.

#### Diversity Strategic Goals

Diversity Office primary goal: Build successful alliances with institutions of higher education and corporations in support of S & T strategic goals, as well as the development of scientific and professional talent pipelines.

Diversity Office secondary goal: Broaden career development opportunities for employees through training opportunities and internships to booster retention.

Diversity Office overall goal: Promote inclusive work environment by continuing to educate the Lab community at large through cultural events celebrating our differences and similarities.

#### Performance Measure:

1. Laboratory Management, with the assistance of the Diversity Management Steering Committee, and Diversity Office, will complete 50% of the recommendations from the 2001 Hewitt Diversity Emphasis Study in FY 2005, inclusion of the development of a tool to address diversity management accountability of Lab Managers and link to performance appraisal process.
2. Laboratory Management, with the assistance of the Diversity Management Steering Committee, and Diversity Office, will conduct an assessment of all recommendations from the 2001 Hewitt Diversity Emphasis Study to determine those that are still pending, prioritize the recommendations, and establish a timeline for completion of the recommendations given available resources.

3. Laboratory Management, with the assistance of the Diversity Management Steering Committee, Diversity Office and in coordination with HR, will plan and execute a recruitment program aligned with Lab's S&T strategic goals and DOE's historically Black colleges and universities (HBCUs) initiative.
4. Diversity Office will monitor conference activities of Level I & II Managers for demonstrated commitment to diversity recruitment. At a minimum, senior managers (science and non-science) participating in external Lab conferences are encouraged to obtain a business card from a talented professional or scientist. These contacts will be helpful in recommending prospective applicants for Lab vacancies. Managers are encouraged to network with colleagues who may be able to recommend diverse applicants. HR or Diversity Office will follow-up with contacts as positions become available.
5. Diversity Office will initiate pilot diversity educational awareness training in FY 2005 with the goal of Laboratory wide participation in FY 2008, Lab will implement the pilot training program in FY 2005; achieve 25% employee participation, in FY 2006; 50% employee participation in FY 2007; and laboratory wide participation in FY 2008.

#### Performance Metric

Rating	Criteria
Outstanding	5 of 5 performance elements being implemented
Excellent	# 1 and 3 of remaining performance elements being implemented
Good	#1 and 2 of remaining performance elements being implemented
Marginal	2 of 5 performance elements being implemented
Unsatisfactory	1 or less performance elements being implemented

### 3.2 Objective - Business Processes

The weight of this objective is 17%.

BSA will develop and deploy business processes that are effective and efficient. The systems will contain elements that are found in world-class organizations that enhance the scientific effort of the Laboratory, are cost effective and promote a safe operating environment. The Laboratory's business systems will be ranked among the top Tier effective organizations as validated by a nationally recognized group. To be achieved by September 30, 2007.

#### 3.2.1 Measure - Phase IV of Benchmarking Study

The weight of this measure is 53%.

##### Purpose and Background

BSA, in FY 2003 with the assistance of a commercial contractor, The Hackett Group, conducted a Benchmarking Study of business functions within Finance, Information Technology and Procurement. The Hackett Group assisted BSA in studying 3 business areas covering 13 functions, comparing BNL to top performing organizations, identifying areas of strengths and areas with opportunities for improvement. BSA shall use the results on this study over the next several years as follows:

FY 2004 – Evaluate the results and develop an implementation plan

FY 2005 – Implement results based on the adopted implementation plan developed in FY 2004

FY 2006 – Continue with implementing results based on the adopted implementation plan developed in FY 2004

FY 2007 – Follow up analysis to track improvement and determine the relative position to top performing organizations. In performing this analysis, consideration will be given on impact of government requirements

**Measure**

In moving towards best practices demonstrated by top performing organizations, begin the execution of the 2004 Implementation Plan with demonstrated progress towards implementing the accepted recommendations.

**Performance Metric**

Percentage of recommendations being addressed

Rating	Criteria
Outstanding	100%
Excellent	>80%
Good	>70%
Marginal	>50%
Unsatisfactory	<50%

**3.2.2 Measure – Cyber Security**

The weight of this measure is 35%

The DOE's Office of Independent Oversight and Performance Assurance (OA) has scheduled a cyber security review in November 2004 to assess the effectiveness of BNL's cyber security environment. The purpose of this element is to measure performance on the audit (rating of Effective, Needs Improvement, or Significant Weakness), and track performance on the implementation of corrective actions in response to the inspection.

The Information Technology Division will develop corrective action plans with timelines and milestone to address findings resulting from the inspection according to the date specified by DOE. The plans will be prioritized by risk to address the most severe threats to the BNL network. Completion of milestones scheduled in FY 2005 will be used to measure the progress on the corrective actions. Some corrective actions may require additional direct program funding. If funding is not provided corrective action baseline will be revised to reflect actual funding profile.

**Monitoring of Milestone Dates**

This element monitors and tracks the performance on the OA security audit and progress towards the milestones annually.

**Performance Metric**

Rating	Criteria
Outstanding	'Effective' rating; Corrective action plan developed, if required.
Excellent	'Needs Improvement' rating; 95% of FY05 milestones completed.
Good	'Significant Weakness' rating; Corrective actions to address significant weakness completed in FY05
Marginal	'Significant Weakness' rating; Corrective actions to address significant weakness not completed in FY 05.
Unsatisfactory	'Significant Weakness' rating; Corrective actions to address significant weaknesses not developed.

### 3.2.3 Measure – Procurement Operations

The weight of this measure is 12%.

#### Purpose, Means and Strategies

Under the Prime contract between the Department of Energy and Brookhaven Science Associates, the procurement system is identified as a major system of the Laboratory. It is a vital and strategic system and its overall effectiveness impacts the Laboratory's ability to carryout BNL's mission and ability to attract work. The Procurement system has been under transformation over the past five years, with a formal improvement program underpinning the actions and effort. The 2003 Acquisition Improvement Program was revised in FY 2004 and is in a closeout stage currently. The closeout is not the result of completion of all tasks, but rather it is a recasting of open items and the need for the development of an overall strategy to sustain the improvement and measure the effectiveness of the actions completed that will help the procurement organization focus on moving closer to a preferable end-state.

#### Performance Measure

This measure tracks the progress towards the development of the Acquisition Management System Improvement Plan, Phase II, which will include performance measures for monitoring sustained improvement. Implementation of the Plan would be expected to ensue immediately upon completion and acceptance by DOE of the Plan.

#### Performance Metric

Rating	Criteria
Outstanding	DOE accepts Plan by Sept. 30, 2005 and implementation of some key actions occurred in FY 2005
Excellent	DOE accepts Plan by Sept. 30, 2005, implementation of key actions to begin in FY 2006
Good	Plan accepted by BSA management by Sept 30, 2005
Marginal	Plan submitted to BSA management, approval not obtained by Sept 30,2005
Unsatisfactory	Plan not submitted to BSA management by Sept 30, 2005

### 3.3 Objective – Management System Planning, Assessment and Improvement

The weight of this objective is 20%.

BSA will develop, deploy, and maintain management systems to reliably perform all work at BNL in an efficient and cost-effective manner, complete with a comprehensive self-assessment program sufficiently robust to detect and correct problems before they develop into vulnerabilities for BSA or DOE.

#### Purpose and Supporting Information

BSA is committed to rigorous and candid self-assessment in order to monitor performance and promote early identification and resolution of issues that may impact accomplishment of the Laboratory's performance objectives.

Specific measures are developed that relate to improving the Laboratory's approach for management system assessment activities, including both those conducted by the users/peers and/or independent assessors. Beginning in FY 2003, BSA embarked on this initiative to drive improvement in the Management System planning and assessment to establish and sustain their adequacy, effectiveness, and efficiency.

BSA is also pursuing continuation of the management system Maturity Evaluation process that has been highly successful in verification of the QA program.

In addition to the specific measure for discrete performance improvements, BSA and DOE will build on the process deployed in FY 2003. To ensure objectivity of the evaluation in FY 2005, BSA and DOE have agreed to continue the third party evaluation process introduced in FY 2003.

### 3.3.1 Measure – Management System Maturity Determinations

The weight of this measure is 20%.

Complete formal consensus based user/peer reviewer Maturity Determinations or comprehensive Independent Assessments for six management systems.

- Facility Operations
- Hazardous Material Transportation Safety
- Information Resource Management
- Occupational Medicine
- Science and Technical Program Management
- Work Planning and Control

This measure includes the completion and documentation of the Maturity Determinations or comprehensive Independent Assessments, subsequent management analysis of the results and necessary/appropriate action plans for the respective management systems.

#### Performance Metric

Rating	Criteria
Outstanding	6 of 6 completed by September 30, 2005
Excellent	5 of 6 completed by September 30, 2005
Good	4 of 6 completed by September 30, 2005
Marginal	3 of 6 completed by September 30, 2005
Unsatisfactory	Two or less completed by September 30, 2005

### 3.3.2 Third Party Assessment of Program

The weight of this measure is 80%.

Using the independent third-party review team's results from the FY 2004 evaluation, modify the Management System Self-Assessment Evaluation protocol and the criteria used by the review team as necessary. This will be done jointly with BSA and DOE.

Using key members (if not the whole team) of the third party evaluation team formed in FY 2004 assessment program and the modified protocol, the team will evaluate the management systems planning and assessment activities.

During the FY 2005 cycle, the third party review team will also "validate" recent revisions and recommend any future revisions as appropriate for use in subsequent years.

#### Performance Metric

As determined by the criteria and Third Party evaluation.

### 3.4 Objective - Improved ESH&Q - Operations Services

The weight of this objective is 15%.

BSA will exhibit a commitment to best-in-class Environment, Safety, Health and Quality (ESH&Q) performance in support of the operational mission and goals of the laboratory, through strong high-level leadership, management, and accountability at all levels of the organization. This commitment shall drive demonstrable and measurable improvements that result in sustainable, industry-leading programs recognized for a strong respect for the environment, excellence in workplace safety and health, and attention to quality. These programs must be complemented and supported by robust management of facilities and infrastructure.

#### 3.4.1 Measure – OSHA Reportable Injury Management

The weight of this measure is 100%.

##### 3.4.1.1 Days Away, Restricted, or Transferred Rate

The weight of this element is 50%.

###### Background

The FY 2005 Occupational Injury Management measure has been developed to ensure BSA increases the commitment to achieve excellence in workplace safety and health protection and meet the DOE Office of Science (SC) injury/illness rate goals. The SC expectation for best-in-class injury/illness rates at SC labs is a Days Away, Restricted, or Transferred (DART) rate of 0.23 for FY 2007. For FY 2005, SC has established a progress point goal of a DART rate = 0.50. For FY 2006, SC has established an interim goal of a DART rate = 0.35.

In the area of Occupational Safety and Health, BSA will seek to improve the following reportable rate:

Days Away, Restricted, or Transferred (DART) rate:

Where:

DART rate (per 100 FTEs) =

$$\frac{\text{Number of Days Away, Restricted, or Transferred cases} \times 200,000}{\text{Total Hours Worked}}$$

For FY 2005, BSA will work to maximize improvement in the DART rate. The FY 2005 BSA occupational injury management performance metric will use a DART = 0.50 as the performance measure target. The time period used for this BSA metric will be from October 1, 2004 to September 30, 2005. The BNL performance value is calculated from the DOE Computerized Accident/Investigation Reporting System (CAIRS).

###### **Performance Metric**

Rating	Criteria
Outstanding	BNL Dart <= 0.45
Excellent	> 0.45 and <= 0.60
Good	> 0.60 and <= 0.80
Marginal	> 0.80 and <= 0.90
Unsatisfactory	> 0.90

### 3.4.1.2 Total Recordable Case Rate

The weight of this element is 50%.

#### Background

The FY 2005 Occupational Injury Management measure has been developed to ensure BSA increases the commitment to achieve excellence in workplace safety and health protection and meet the DOE Office of Science (SC) injury/illness rate goals. The SC expectation for best-in-class injury/illness rates at SC labs is a Total Recordable Case (TRC) Rate of 0.65 for FY 2007. For FY 2005, SC has established a progress point goal of a TRC rate = 1.10. For FY 2006, SC has established an interim goal of a TRC rate = 0.85.

In the area of Occupational Safety and Health, BSA will seek to improve the following reportable rate:

Total Recordable Case (TRC) rate:

Where:

TRC rate (per 100 FTEs) =

$$\frac{\text{Total Recordable Cases} \times 200,000}{\text{Total Hours Worked}}$$

For FY 2005, BSA will work to maximize improvement in the TRC rate. The FY 2005 BSA occupational injury management performance metric will use a TRC = 1.10 as the performance measure target. The time period used for this BSA metric will be from October 1, 2004 to September 30, 2005. The BNL performance value is calculated from the DOE Computerized Accident/Investigation Reporting System (CAIRS).

#### **Performance Metric**

Rating	Criteria
Outstanding	BNL TRC <= 1.05
Excellent	> 1.05 and <= 1.25
Good	> 1.25 and <= 1.55
Marginal	> 1.55 and <= 1.85
Unsatisfactory	> 1.85

### 3.5 Objective - Site Infrastructure, Facilities and Operations and Security

The weight of this objective is 13%.

BSA will upgrade and maintain efficient and cost effective site infrastructure, facilities, and operational functions to a standing that fully supports world-class research and implementing a best in class Real Property Asset Management Program. In addition, GSA will meet and/or exceed DOE security requirements applicable to the Laboratory.

#### **3.5.1 Measure – Alternative Financing**

The weight of this measure is 14%.

#### **Purpose, Means, and Strategies**



Available infrastructure funding at BNL (capital replacement, capital renewal) has not been adequate to meet past, current, and future needs. Under funding of infrastructure persisted throughout the 1990's and has resulted in very large backlogs of infrastructure requirements.

Therefore BSA will pursue alternative (non-DOE) project financing to meet selected infrastructure needs.

Depending on the nature of the project, alternative funding could come from a variety of sources, including: energy services performance contractors (ESPC's), utility energy services contracts (e.g. with NYPA, LIPA, KeySpan), private sector developers, BSA financing, New York State financing, or grants from other government (non-DOE) agencies.

BNL considers that the most attractive method of funding an infrastructure need at BNL is through "direct" federal funding (construction / operating funds) of the project or need. Absent that funding, alternative financing may be an acceptable means of accomplishing needed projects. BSA criteria for selecting alternative financing would be:

- No DOE or BNL funding is available for the project.
- Project investment could be repaid using the savings resulting from project implementation – preferably from investments with less than five-year payback. (Future operating funds would not be "mortgaged".)
- The project could be repaid by available / related revenues paid by willing "customers" deriving direct benefits (e.g., space charges on new or renovated space) and other benefits accrue to the Laboratory (attracting new research, improved user experience, improved image, improved quality of work-life for employees).
- The project is deemed by BSA to be essential to continued Laboratory operations and no reasonable alternative funding exists (e.g., available funding committed to equal or higher priority projects).

In FY04, BSA continued to pursue the development of an alternatively financed building project by:

1. Working in conjunction with DOE HQ and BHSO to develop a process roadmap for the successful pursuit and development of an alternatively financed project.
2. Successfully completing the required Environmental Baseline Survey (EBS) for the Housing Reconstruction Project (HRP) for submission to the state of New York.
3. Developing a Mission Need Statement (MNS) for the HRP and receiving CD-0 approval.
4. Soliciting an external review by legal consultants to validate the format and legalities of the Request for Proposal (RFP) documents.
5. Continuing efforts to appropriately address the requirements of OMB A-11 for the HRP and to update the economic/financial analysis.

**A resolution of the A-11/economic analysis was not attained in FY2004. The FY 2005 measures described below will, of necessity, be contingent on a favorable resolution of A-11 and the economic analysis as may be required for the path selected.**

For FY 2005 BSA will continue in the pursuit of the BNL Housing Reconstruction Project. It is noted that, in light of current fiscal restraints, the Energy Sciences Building will not be supported by the Laboratory as an Alternately Financed project, and it will be deleted as a Performance Measure.

#### **Measures**

Composite score for this initiative will be calculated (weighted) as follows:

$$AF = 100\% \text{ HRP}$$

#### **3.5. 1.1 BNL Housing Reconstruction Project (HRP)**

The weight of this element is 100%

Rating	Criteria
Outstanding	Successful in obtaining a funding commitment following either Path A or Path B as described below.
Excellent	Path B - Explore other avenues for funding such as NY State, County, or other Federal agencies etc. while still pursuing DOE approval through DOE authorized Alternative Financing channels.
Good	Path A - Pursue and obtain Acquisition Strategy approval (CD-1) by the Office of Science
Marginal	Submittal of Acquisition Strategy to DOE for approval
Unsatisfactory	No further progress after September 30, 2004

### 3.5.2 Measure - Project Management

The weight of this measure is 23%.

#### Purpose, Means, and Strategies

In a regime of very scarce infrastructure resources, BSA will manage its construction and construction-like projects to ensure scope, schedule and cost objectives are readily met. Approved projects are completed on time, within budget, and meet baseline expectations. Uncosted carryovers are minimized.

#### Measures

Projects - This performance indicator is for all capital-funded construction projects, excluding Strategic Systems (formerly Major Projects and Major Systems Acquisitions) and EM Projects. It examines the percent of capital funds obligated and costed per fiscal year, the percent of projects on schedule and the number of capital construction projects with scope completed within the Total Estimated Cost (TEC). The formula for calculating the performance indicator is:

Project Rating (PM):

$$(PM) = 0.2 (a^1 + a^2) + 0.2 (b^1 + b^2) + 0.2 (c)$$

#### Performance Measure

Rating	Criteria
Outstanding	(PM) = 0.90 to 1.00
Excellent	= 0.80 to 0.89
Good	= 0.70 to 0.89
Marginal	= 0.60 to 0.69
Unsatisfactory	= Less than 0.60

Where:

FUNDS COMMITTED:

$$(a^1) = \frac{\text{Actual Funds Committed}}{\text{Total Planned Funds Committed}}$$

Description of Proposed Method:

$$\frac{\text{Actual Present Year Funds [Line Item + GPP] Committed}}{\text{Total Planned [Line Item + GPP] Committed}}$$

Notes:

- a. Measure funds commitment performance only for funds received in the fiscal year being measured.
- b. Measure will not consider funds received late in fiscal year -- only funds received in financial plan during first quarter will be used in calculation.
- c. Total planned funds committed exclude planned contingency funds (usually about 12%).
- d. Only planned (requested) project funds will be included.
- e. Funds committed (obligated) will continue to be measured when contracts and PO's are "pinned", as reflected in BNL's PeopleSoft accounting records.

FUNDS COSTED:

$$(a^2) = \frac{\text{Actual Funds Costed}}{\text{Total Planned Funds Costed}}$$

Description of Proposed Method:

$$\frac{\text{Actual Present Year Funds [Line Item + GPP] Costed}}{\text{Total Planned [Line Item + GPP] Costed}}$$

Notes:

- a. Measure funds costed performance for funds received in fiscal year being measured.
- b. Measure will not consider funds received late in fiscal year -- only funds received in financial plan during first quarter will be used in calculation.
- c. Only planned (requested) project funds will be included.

PROJECT SCHEDULE COMPLIANCE (GPP and IHEM)

$$(b^1) = \frac{\text{No. of GPPs Completed on Schedule}}{\text{No. of GPPs Scheduled to Complete}}$$

Description of Proposed Method:

1. BNL and DOE agree on actual completion milestone dates and document and track them in the Plant Engineering Monthly Project Report.
2. List all GPP and IHEM projects with TEC >\$300K and completion milestone falling in current fiscal year.
3. Determine how many were completed on-time using construction "substantially complete" as complete.
4. "Substantially complete" means project is ready for beneficial occupancy or use, as described in the Project Management Control System.

Notes:

1. GPP and IHEM project schedules will be established in cooperation with BHG in continuation of current approval process.

PROJECT SCHEDULE COMPLIANCE (Line Item)

$$(b^2) = \frac{\text{Number of Line Item Milestones } ^{(1)} \text{ Completed on Schedule}}{\text{No. of Line Item Milestones } ^{(1)}}$$

<sup>(1)</sup> Key controlled Milestones

Description of Proposed Method:

1. BNL and DOE agree on actual baseline completion milestone dates and document and track them in the Plant Engineering Monthly Report.
2. List all Line Item projects with key controlled milestones falling in the current fiscal year.
3. Determine current year milestones completed on or ahead of schedule.

Notes:

- a. Key controlled milestones are those described in the approved Project Management Plan:
  - \* Design Start
  - Design Complete
  - Construction Start
  - Construction Complete
- b. Construction complete is defined as “substantially complete.”
- c. “Substantially complete” means project is ready for beneficial occupancy or use, as described in the Project Management Control System.

SCOPE COMPLETED WITHIN APPROVED BASELINE  
(LINE ITEM, GPP AND IHEM [>300K])

$$(c) = \frac{\text{Projects completed within Approved Baseline}}{\text{Total Projects Complete}}$$

Description of Proposed Method:

1. Review Line Item, GPP and IHEM (>\$300K TEC) projects completed through the fiscal year.
2. Upon project completion, determine whether project baseline scope was completed within the approved baseline Total Estimated Cost (TEC).
3. Determine the total number of Line Item, GPP and IHEM (>\$300K TEC) projects completed within approved baseline (approved original project and approved baseline change proposals)
4. Determine total number of projects completed.
5. Calculate:

$$(c) = \frac{\text{Projects Completed within Approved Baseline}}{\text{Projects Completed}}$$

Notes:

- a. Justifiable BCPs will be approved by DOE-BAO for legitimate scope changes or reductions (i.e., due to program changes, reasonable unforeseen project conditions, new regulatory requirements, etc.)

Plant Engineering is not currently managing any projects classified as “Strategic Systems” under RPAM (formerly Major Projects and Major System Acquisitions).

**3.5.3 Measure - Maintenance Investment Index (MII)**

The weight of this measure is 23%.

**Purpose, Means and Strategies**

The objective of this measure is to increase maintenance investment in existing permanent facilities. This measure tracks operating expensed maintenance investment on active conventional facilities against DOE maintenance investment goals. DOE’s goal is to have its laboratories have an MII equal or greater than 2.0% by FY 2006.

Maintenance Investment Index (MII) defined as total maintenance for active conventional facilities divided by replacement plant value (RPV) of these facilities.

BNL is currently investing about 1.4% of RPV for maintenance. DOE is requiring that BNL attain 2.0% within two fiscal years (by the end of FY06).

**Performance Measure**

$$(MII) = \frac{\text{Operating Funded Maintenance Investment in \$}}{\text{Replacement Plant Value (RPV) in \$}}$$

Rating	Criteria
Outstanding	$MII \geq 1.7$
Excellent	$1.6 \leq MII < 1.7$
Good	$1.5 \leq MII < 1.6$
Marginal	$1.4 \leq MII < 1.5$
Unsatisfactory	$MII < 1.4$

Description of Proposed Method:

Maintenance is the day-to-day work that is required to maintain and preserve plant and capital equipment in a condition suitable for it to be used for its designated purpose (see notes, below). Plant Engineering’s infrastructure management staff will while account for track all conventional facility maintenance performed in FY 2005 and continue to refine the estimated Replacement Plant Value (RPV) of BNL’s facilities. The above calculation will be performed and reported, as required quarterly by DOE. This measure will be based on an RPV calculation completed on 10/1/04, acceptable to BHSO (current RPV is about \$1,364 million). RPV may be adjusted for significant changes by mutual agreement.

Notes:

Maintenance costs and work do not include the following:

- Regularly scheduled janitorial work such as cleaning
- Work performed in relocating or installing partitions, office furniture, and other associated activities;
- Work usually associated with the removal, moving, and placement of equipment unless associated with replacement of equipment as part of a maintenance action;
- Work aimed at expanding the capacity of an asset or otherwise upgrading it to serve needs different from or significantly greater than those originally intended;
- Improvement work performed directly by in-house workers or in support of construction contractors accomplishing an improvement;
- Work performed on special projects not directly in support of maintenance or construction; and
- Non-maintenance roads and grounds work, such as grass cutting and street sweeping.

DOE maintenance includes all of the following activities, which may be funded with expense or capital (GPP/line items) funds. However, the MII calculation will only include operating expensed funded maintenance:

- Maintenance is the upkeep of property and equipment, work necessary to realize the originally anticipated useful life of a fixed asset.
- Maintenance includes periodic or occasional inspection; adjustment; lubrication; and cleaning (non-janitorial) of equipment; replacement of parts; painting; resurfacing; and other actions to assure continuing service and to prevent breakdown. Maintenance does not prolong the design service life of the property or equipment, nor does it add to the asset's value. However, lack of maintenance can reduce an asset's value by leading to equipment breakdown, premature failure of a building's subsystems, and shortening of the asset's useful service lifetime. (Generally Expense funded)
- Repair is work to restore damaged or worn-out property to a normal operating condition. Repairs are curative, while maintenance is preventive. (generally expense funded)

- Replacement of an item that is part of the permanent investment of plant and equipment is an exchange or substitution of one fixed asset for another having the capacity to perform the same function.
- Replacement may arise from obsolescence, cumulative effect of wear and tear throughout the anticipated service lifetime, premature service failure, or destruction through exposure to fire or other hazard. In contrast to repair, replacement generally involves a complete identifiable item of investment (i.e., a major building component or subsystem). When major building subsystems fail, a building owner may sometimes have a choice of repair or replacement of that subsystem.

Replacement is typically funded in maintenance and repair budgets. Does not include total renovations or new buildings to replace old

### 3.5.4 Measure – Energy Contract

The weight of this measure is 34%.

BSA will strive to obtain the lowest possible electric power rates for the Laboratory when it renews its electric power contract in FY 2005.

#### Purpose, Means and Strategies

The purpose of this measure is to encourage the Laboratory to obtain the lowest possible electric rates when the existing New York Power Authority (NYPA) contract ends on 06/30/05.

#### Performance Measure

The ratings indicated below shall apply to the final, DOE-approved contract(s) for electric power supply to BNL beginning on or about 07/01/05.

The "effective rate" used shall be the calculated "average unit cost" and will be determined by applying all electric-related costs, credits and rebates and dividing by the total site energy consumption for FY 2005.

The annual "effective rate" can vary significantly – since it is a function of how power is consumed at BNL, the amount of power scheduled for a given period, programmatic machine schedules, program funding levels, machine reliability, and other factors beyond the Laboratory's control. The purpose of this performance measure is to drive the Laboratory to obtain the lowest future electric rates. Therefore, for purposes of this measure, the "effective rate" will be modeled using the actual FY 2005 monthly energy consumptions and demands (12 months), and the electric rates in effect under the new electric contract.

*FY2005 calculated average unit cost for electric power delivered to BNL is:*

Rating	Unit Cost (\$/kWh)
Outstanding	< \$0.07
Excellent	≥ \$0.07 < \$0.085
Good	≥ \$0.085 < \$0.09
Marginal	≥ \$0.09 < \$0.10
Unsatisfactory	≥ \$0.10

Reference notes:

Unit Cost (\$/kWh)	Source
\$0.105	LIPA Tariff (using 284 vs. 285)
\$0.052	NYPA Rates for FY03

**3.5.5 Measure - Infrastructure Reliability**

The weight of this measure is 6%.

**Purpose, Means and Strategies**

This measure tracks an indicator of maintenance effectiveness. It measures the reliability of BNL's building / facilities infrastructure and electrical infrastructure – as these systems serve BNL's programs. Reliability is a measure of how many "customers" are impacted by unplanned outages (equipment failures) and how long the outages last (BNL's ability to repair problems and restore service).

INFRASTRUCTURE RELIABILITY INDEX (RI):

$$(RI) = 0.6 (ESR) + 0.4 (BFR)$$

ELECTRIC SYSTEM RELIABILITY (ESR):

$$(ESR) = \frac{\text{Total Customer Hours} - \text{Unplanned Outage Customer Hours}}{\text{Total Customer Hours}}$$

**Performance Metric**

Rating	Criteria
Outstanding	ESR = Greater than 0.9998
Excellent	ESR = Greater than 0.9996 to 0.9998
Good	ESR = Greater than 0.9994 to 0.9996
Marginal	ESR = Greater than 0.9990 to 0.9994
Unsatisfactory	ESR = Less than 0.9990

Description of Proposed Method:

1. When an unplanned electric power outage occurs, an electrical supervisor will log outage.
2. Information will be forwarded to O&M Manager's office, where the log will be completed. Data will be tracked monthly.
3. Through the fiscal year, all electric power customer-outage-hours will be totaled to arrive at a figure for total customer-hours outage for the fiscal year.
4. Electric distribution system reliability will be calculated:

$$\frac{\text{Total Customer Hours} - \text{Unplanned Outage Customer Hours}}{\text{Total Customer Hours}}$$

Notes:

- a. Standard population figures for each building will be supplied by Plant Engineering's planning group and updated periodically.
- b. Customer outage hours will be based on the actual time the facilities are without power times the population for those buildings.

- c. Total customer hours will be calculated using figures supplied by Plant Engineering’s planning group times 8760 hours per year.
- d. Only outages due to failures in the BNL-maintained power distribution system (13.8kV and 2400V) will be included. Off-site (LIPA) outages will not be included.

**BUILDING AND FACILITIES RELIABILITY (BFR):**

$$(BFR) = \frac{\text{Total Building Availability (ft}^2\text{-days)} - \text{Building Failures (ft}^2\text{-days)}}{\text{Total Building Availability (ft}^2\text{-days)}}$$

**Performance Metric**

Rating	Criteria
Outstanding	ESR = Greater than 0.9998
Excellent	ESR = Greater than 0.9996 to 0.9998
Good	ESR = Greater than 0.9994 to 0.9996
Marginal	ESR = Greater than 0.9990 to 0.9994
Unsatisfactory	ESR = Less than 0.9990

Description of Proposed Method:

1. When an unplanned building system outage or failure occurs, which significantly disrupts occupants of a building or renders the space unusable, the cognizant Plant Engineering supervisor will log outage. The information will be forwarded to O&M Manager’s office. Data will be tracked.
2. At the end of each reporting period (month), all building failures will be totaled to arrive at a figure for building and facility reliability for the fiscal year.
3. Building and facility reliability will be calculated as a percentage:

$$\frac{\text{Total Building Availability (ft}^2\text{-days)} - \text{Building Failures (ft}^2\text{-days)}}{\text{Total Building Availability (ft}^2\text{-days)}}$$

Notes:

- a. Standard square footage for each building will be from Plant Engineering’s planning group space database.
- b. Building and facility failure days will be based on the actual days the facilities are without critical services (or are unusable) times the normal population for those buildings.

Total Building Availability will be calculated using site square footage figures supplied by Plant Engineering’s

**3.6 Objective - Communications and Trust**

The weight of this objective is 10%.

**3.6.1 Measure – Community, Education, Government and Public Affairs Management**

The weight of this measure is 100%.

Under Brookhaven Science Associates, the Laboratory continues to develop and enhance communications, community relations, and educational programs to achieve its and the U.S. Department of Energy’s strategic mission and goals. The Laboratory is committed to ensuring that its community relations, education, government and public affairs (CEGPA) programs are aligned with its and the DOE’s short and long-range science and operational priorities, and continue to meet best industry, government and academic practices and standards, so that:

- The Lab’s world-class science is properly communicated to decision makers, policy leaders, and science attentives



- Scientific results from Brookhaven research are linked to the U. S. Department of Energy
- DOE is credited for its role in advancing science in the nation and the world.

Through a peer-review process, self-assessment, and informal and formal feedback mechanisms, the Laboratory will refine existing programs and develop new ones that promote its reputation as a leader in the frontiers of science, a good neighbor, a community asset, and a valued employer.

For FY 2005, the Laboratory will focus on:

1. Promoting DOE and the Laboratory's scientific initiatives and accomplishments and operations priorities, and laying the groundwork for longer-term initiatives
2. Building partnership opportunities with targeted research and educational institutions in New York City, Long Island, New York State, Historically Black Colleges and Universities, minority serving institutions, government agencies, and professional societies with a focus on building long-term relationships
3. Developing and implementing a policy, plan and process for internal communications and involvement

### **3.6.1.1 Promoting Scientific Initiatives, Accomplishments and Operations Priorities**

*Promoting DOE and the Laboratory's scientific initiatives and accomplishments and operations priorities*

The weight of this element is 40 %.

For FY 2005, the Laboratory will work to increase awareness and support of primary user facilities, such as the Relativistic Heavy Ion Collider (RHIC), the National Synchrotron Light Source (NSLS), and the NASA Space Radiation Laboratory (NSRL). The same effort will encompass research, such as RSVP, national security, and life sciences, including brain imaging. In addition, it will support such initiatives as the Center for Functional Nanomaterials (CFN) and the National Synchrotron Light Source-II (NSLS-II). In doing so, the Laboratory will work in partnership with DOE to promote the U.S. Department of Energy's Office of Science.

To accomplish this, the Laboratory will continue to implement strategic community relations, education, government and public affairs (CEGPA) plans that were developed in FY04 for RHIC, NSLS-II, and CFN. Also in FY 2005, the Laboratory will develop such plans for its brain imaging research and one other science priority initiative.

The Laboratory is also making advances in its natural resources management and environmental stewardship programs that are of interest to a variety of audiences, including scientists, environmentalists, regulators, policy leaders, municipal employees, the Community Advisory Council, and the Long Island community. Plans for both these major programs will be developed integrating all the functional areas within the Laboratory's CEGPA directorate.

In implementing these plans, the Laboratory will produce press releases, fact sheets, web content and other print and electronic communications, as appropriate. Furthermore, it will integrate its communications activities with its community, educational and government relations programs to develop a cohesive program to convey the benefits of the Laboratory's research to decision makers, policy leaders, science-attentive publics, and the community. To communicate DOE's science mission and its role in Brookhaven research, the Laboratory will develop and implement a communications and activity checklist to be used systematically throughout the CEGPA Directorate.

Based on the target audiences identified in the CEGPA plans, relationships that are important to these science and operations initiatives and programs will be established or maintained. Feedback will be gathered and evaluated to measure audience perceptions of their relationships with the Laboratory.

### **3.6.1.2 Expanding Partnership Opportunities**

*Expanding partnership opportunities with targeted educational institutions in New York City, Long Island, New York State, Historically Black Colleges and Universities minority serving institutions, target agencies and professional societies*

The weight of this element is 30%.

The Laboratory's Office of Educational Programs will work with Laboratory research departments to leverage existing workforce development programs and establish new programs, as appropriate. These programs will utilize the direct funding from the Department of Energy to help the Laboratory establish new partnerships with external institutions and agencies that further the recognition of BNL science and science education programs, expand the capabilities of Lab researchers, and help develop opportunities for the recruitment of minority candidates for future employment. The existing educational programs will be evaluated to determine if they are effective in contributing to relationship building efforts that are most valuable to the Laboratory for long-term growth. A workforce development / science education workforce committee will be established: 1) to aid in this assessment and to make recommendations for expanding education opportunities with research programs at the Lab, such as RSVP and CFN; 2) to provide counsel on partnership opportunities with educational institutions at the pre-college and university levels, with a particular focus on educational institutions in New York City, Long Island, New York State, Historically Black Colleges and Universities and minority serving institutions; 3) to identify workforce development opportunities associated with Lab research funded by other government agencies and research institutions, such as the National Institute of Health, the National Science Foundation and Cold Spring Harbor Laboratory; and 4) to help develop and enhance relationships with professional organizations, such as the American Association for the Advancement of Science, the American Nuclear Society and the American Physics Society to establish a support base for future education and workforce development initiatives.

### **3.6.1.3 Internal Communications and Involvement**

*Developing and implementing a policy, plan and process for internal communications and involvement*

The weight of this element is 30%

Because employees, facility users, and other Laboratory workers and guests are important stakeholders and ambassadors to the external community, the Laboratory will continue to ensure open, timely, and meaningful one- and two-way communications and involvement. With input from the Internal Communications & Involvement Working Group, which includes a cross-section of Laboratory organizations, including the Human Resources Division and Diversity Office, the Laboratory will develop a Lab-wide policy, plan, and process for internal stakeholder communications and involvement. The goal of this effort will be to have a policy, plan and set of procedures for internal communications similar to those that exist for community involvement in decision-making.

In FY 2005, the Laboratory, with input from the Internal Communications & Involvement Working Group, will identify two issues of employee or management concern, and then work in collaboration with Laboratory managers to develop and implement internal stakeholder communications and involvement plans. Following implementation of these issue plans, feedback will be solicited to determine program effectiveness and to help shape the development of a policy, plan and set of procedures for the Lab-wide program.

Since the Lab's intranet site can provide up-to-the minute information to employees, the Lab will focus on increasing the web audience. Plans include standardizing the format of the main pages to make it easier to update content and to navigate the site and enhancing information of interest to employees, such as benefits, weather, and BERA news. A review of intranet traffic will be done to determine whether these changes increase intranet usage; new features such as online opinion polls will be used to get important feedback on coverage of Lab issues and news items and ideas for site improvement.

#### **Metric**

An independent third-party review team, the Communications and Trust Advisory Panel, will evaluate the results of meeting the above objective. The individuals on the panel are recognized as experts in the fields of public affairs, community, communications and web design.

The program will be measured against the nationally recognized Baldrige Criteria for Approach, Deployment and Results.

Appendix I  
Modification No. M135  
Supplemental Agreement to  
Contract No. DE-AC02-98CH10886

**U.S. Department of Energy**  
**and**  
**Brookhaven Science Associates, LLC**

**ATTACHMENT J.9**

**APPENDIX I**

**DOE DIRECTIVES/LIST B**

**Applicable to the Operation of  
The Brookhaven National Laboratory**

**Contract No. DE-AC02-98CH10886  
Modification No. M135**

Appendix I  
Modification No. M135  
Supplemental Agreement to  
Contract No. DE-AC02-98CH10886

## **APPENDIX I**

### **DOE DIRECTIVES**

There is no List A to this Appendix.

List B to this Appendix contains two parts as follows:

Part I: "Directives List"

This section contains a list of Directives that are considered by DOE as applicable to the BNL contract.

Part II: "Partial Deletions of Directives"

This section contains a list of Directives that were accepted and implemented by the previous contractor but have subsequently been revised by DOE to remove certain sections.

**Appendix I - Part I**

**CRD=Contractor Requirements Document**

<b>DIRECTIVES LIST</b>		
<b>DATE</b>	<b>DOE DIRECTIVE NUMBER</b>	<b>SUBJECT TITLE</b>
2/26/01	N 153.1	CONNECTIVITY TO ATMOSPHERIC RELEASE ADVISORY CAPABILITY
8/11/03	N 153.2	CRD - CONNECTIVITY TO NATIONAL ATMOSPHERIC RELEASE ADVISORY CENTER (NARAC)
10/02/00	N 203.1	CRD - SOFTWARE QUALITY ASSURANCE
11/1/99	N 205.2	CRD - FOREIGN NATIONAL ACCESS TO DOE CYBER SYSTEMS (Extended until 8/12/05 by DOE N 205.14 dated 8/12/04)
11/23/99	N 205.3	CRD - PASSWORD GENERATION, PROTECTION, AND USE (Extended until 8/12/05 by DOE N 205.14 dated 8/12/04)
6/4/03	N 205.6	EXTENSION OF DOE DIRECTIVE ON CYBER SECURITY (N 205.4)
2/11/04	N 205.8	CRD - CYBER SECURITY REQUIREMENTS FOR WIRELESS DEVICES AND INFORMATION SYSTEMS (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
2/19/04	N 205.9	CRD - CERTIFICATION AND ACCREDITATION PROCESS FOR INFORMATION SYSTEMS INCLUDING NATIONAL SECURITY SYSTEMS (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
2/19/04	N 205.10	CRD - CYBER SECURITY REQUIREMENTS FOR RISK MANAGEMENT (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
2/19/04	N 205.11	CRD - SECURITY REQUIREMENTS FOR REMOTE ACCESS TO DOE AND APPLICABLE CONTRACTOR INFORMATION TECHNOLOGY SYSTEMS (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
2/19/04	N 205.12	CRD - CLEARING, SANITIZING, AND DESTROYING FEDERAL INFORMATION SYSTEM STORAGE MEDIA, MEMORY DEVICES, AND OTHER HARDWARE (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
8/12/04	N 205.14	EXTENSION OF DOE DIRECTIVES (N 205.2 and N 205.3)
3/18/05	N 205.15	EXTENSION OF DOE DIRECTIVES - NOTICES 205.8, 205.9, 205.10, 205.11, 205.12
4/20/04	N 251.56	EXTENSION OF DOE N 481.1A
4/28/04	N 251.57	EXTENSION OF DOE DIRECTIVES (O 470.1 and O 471.2A)
7/6/04	N 251.58	EXTENSION OF DOE DIRECTIVES (O 471.1A, M 471.1-1, AND O 473.2)
11/19/04	N 251.60	EXTENSION OF DOE DIRECTIVES (O 474.1A)
3/3/05	N 251.61	EXTENSION OF DOE M 475.1-1A
4/21/05	N 251.62	EXTENSION OF DOE N 481.1A
5/11/05	N 251.63	EXTENSION OF DOE DIRECTIVES O 470.1, M 471.2-1B, M 471.2-1C & O 471.2A
7/7/05	N 251.64	EXTENSION OF DOE DIRECTIVES (O 471.1A, M 471.1-1 Change1, M 472.1-1B, O 473.2, and N 473.9)
10/17/01	N 450.7	CRD - THE SAFE HANDLING, TRANSFER, AND RECEIPT OF BIOLOGICAL ETIOLOGIC AGENTS AT DOE FACILITIES (Extended until 06/30/04 by DOE N 450.12 dated 6/27/03) (Extended until 6/30/06 by DOE N 450.14 dated 6/3/05)

<b>DIRECTIVES LIST</b>		
<b>DATE</b>	<b>DOE DIRECTIVE NUMBER</b>	<b>SUBJECT TITLE</b>
6/27/03	N 450.12	EXTENSION OF DOE N 450.7, THE SAFE HANDLING, TRANSFER, AND RECEIPT OF BIOLOGICAL ETIOLOGIC AGENTS AT DEPARTMENT OF ENERGY FACILITIES
6/3/05	N 450.14	EXTENSION OF DOE N 450.7, The Safe Handling, Transfer, and Receipt of Biological Etiologic Agents at Department of Energy Facilities
7/8/04	N 473.9	CRD – SECURITY CONDITIONS (Extended until 07/7/06 by DOE N 251.64 dated 7/7/05)
4/21/03	N 481.1A	CRD – REIMBURSABLE WORK FOR DEPARTMENT OF HOMELAND SECURITY (Extended until 04/20/05 by DOE N 251.56 dated 4/20/04) (Extended until 04/21/06 by DOE N 251.62 dated 4/21/05)
11/3/99	O 110.3	CRD - CONFERENCE MANAGEMENT
9/29/95	O 130.1	CRD - BUDGET FORMULATION PROCESS
9/30/95	O 135.1	BUDGET EXECUTION-FUNDS DISTRIBUTION AND CONTROL
1/13/04	O 142.1	CRD – CLASSIFIED VISITS INVOLVING FOREIGN NATIONALS
1/7/04	O 142.2	CRD – SAFEGUARDS AGREEMENT AND PROTOCOL WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY
6/18/04	O 142.3	CRD – UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS PROGRAM
10/29/03	O 151.1B	CRD - COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM
9/30/96	O 200.1	CRD - INFORMATION MANAGEMENT PROGRAM
1/7/05	O 203.1	LIMITED PERSONAL USE OF GOVERNMENT OFFICE EQUIPMENT INCLUDING INFORMATION TECHNOLOGY
3/21/03	O 205.1	CRD – DEPARTMENT OF ENERGY CYBER SECURITY MANAGEMENT PROGRAM
9/30/04	M 205.1-1	CRD – INCIDENT PREVENTION, WARNING AND RESPONSE (IPWAR) MANUAL
3/22/01	O 221.1	CRD - REPORTING FRAUD, WASTE, AND ABUSE TO THE OFFICE OF INSPECTOR GENERAL
3/22/01	O 221.2	CRD - COOPERATION WITH THE OFFICE OF INSPECTOR GENERAL
11/26/97	O 225.1A	CRD - TYPE A AND B ACCIDENT INVESTIGATIONS
3/19/04 9/9/04	M 231.1-1A Change 1	CRD - ENVIRONMENT, SAFETY, AND HEALTH REPORTING MANUAL
8/19/03	M 231.1-2	CRD - OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION
4/9/01 10/14/03	O 241.1A Change 1	CRD - SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT
1/30/98	O 251.1A	CRD - DIRECTIVES SYSTEM
11/19/99	O 252.1	CRD - TECHNICAL STANDARDS PROGRAM
9/30/96 5/8/98	O 350.1 Change 1	CRD - CONTRACTOR HUMAN RESOURCE MANAGEMENT PROGRAMS CRD - EMPLOYEE BENEFITS

<b>DIRECTIVES LIST</b>		
<b>DATE</b>	<b>DOE DIRECTIVE NUMBER</b>	<b>SUBJECT TITLE</b>
10/29/03	O 350.2A	CRD - USE OF MANAGEMENT AND OPERATING OR OTHER FACILITY MANAGEMENT CONTRACTOR EMPLOYEES FOR SERVICES TO DOE IN THE WASHINGTON, D.C., AREA
4/21/05	O 412.1A	CRD – WORK AUTHORIZATION SYSTEM
4/18/02	O 413.1A	CRD - MANAGEMENT CONTROL PROGRAM
1/08/01	O 413.2A	CRD - LABORATORY DIRECTED RESEARCH AND DEVELOPMENT
10/13/00 1/3/05	O 413.3 Change 1	CRD - PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS
03/28/03	M 413.3-1	PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS
4/29/04	O 414.1B	CRD - QUALITY ASSURANCE (Cancels Attachment 1, paragraph 8, and Attachment 2, paragraph 22, of DOE O 440.1A, Worker Protection Management for DOE Federal and Contractor Employees, dated 3-27-98)
5/20/02	O 420.1A	CRD - FACILITY SAFETY
7/23/04	O 420.2B	CRD - SAFETY OF ACCELERATOR FACILITIES
3/13/03	O 425.1C	CRD - STARTUP AND RESTART OF NUCLEAR FACILITIES
09/24/03	O 430.1B	CRD – REAL PROPERTY ASSET MANAGEMENT
4/15/02	O 430.2A	CRD - DEPARTMENTAL ENERGY AND UTILITIES MANAGEMENT
6/01/01	O 433.1	CRD - MAINTENANCE MANAGEMENT PROGRAM FOR DOE NUCLEAR FACILITIES
7/9/99 8/28/01	O 435.1 Change 1	CRD - RADIOACTIVE WASTE MANAGEMENT
7/9/99 6/19/01	M 435.1-1 Change 1	RADIOACTIVE WASTE MANAGEMENT MANUAL
3/27/98	O 440.1A	CRD - WORKER PROTECTION MANAGEMENT FOR DOE CONTRACTOR EMPLOYEES (Attachment 1, paragraph 8, and Attachment 2, paragraph 22, has been canceled by DOE O 414.1B, Quality Assurance dated 4/29/04)
11/27/02	O 440.2B	CRD - AVIATION MANAGEMENT AND SAFETY
6/6/01	O 442.1A	CRD - DEPARTMENT OF ENERGY EMPLOYEE CONCERNS PRG.
5/15/00	O 443.1	PROTECTION OF HUMAN SUBJECTS
1/15/03 1/24/05	O 450.1 Change 1	CRD – ENVIRONMENTAL PROTECTION PROGRAM
8/2/04	P 450.7	DOE ENVIRONMENT, SAFETY AND HEALTH GOALS
7/15/03	P 455.1	USE OF RISK-BASED END STATES
4/4/03	O 460.1B	CRD - PACKAGING AND TRANSPORTATION SAFETY
12/22/04	O 460.2A	CRD - DEPARTMENTAL MATERIALS TRANSPORTATION AND PACKAGING MANAGEMENT
9/23/02	M 460.2-1	CRD – RADIOACTIVE MATERIAL TRANSPORTATION PRACTICES MANUAL



<b>DIRECTIVES LIST</b>		
<b>DATE</b>	<b>DOE DIRECTIVE NUMBER</b>	<b>SUBJECT TITLE</b>
9/28/95 6/21/95	O 470.1 Change 1	CRD - CONTRACTOR SAFEGUARDS AND SECURITY PROGRAM REQUIREMENTS (Extended until 4/28/05 by DOE N 251.57 dated 4/28/04) (DOE O 142.1, dated 1/13/04, cancels those portions of Chapter VIII that pertain to foreign nationals who visit DOE sites/facilities and require access to classified information) (DOE O 471.4 dated 3/17/04, cancels Chapter VII) (Extended until 05/11/06 by DOE N 251.63 dated 5/11/05)
10/30/02	M 470.1-1	CRD – SAFEGUARDS AND SECURITY AWARENESS PROGRAM
10/31/02	O 470.2B	CRD - INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM
10/18/04	O 470.3	DESIGN BASIS THREAT POLICY (CLASSIFIED)
6/30/00	O 471.1A	CRD - IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION (Extended until 06/30/05 by DOE N 251.58 dated 7/6/04) (Extended until 07/7/06 by DOE N 251.64 dated 7/7/05)
6/30/00 10/23/01	M 471.1-1 Change 1	IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION MANUAL (Extended until 06/30/05 by DOE N 251.58 dated 7/6/04) (Extended until 07/7/06 by DOE N 251.64 dated 7/7/05)
3/27/97	O 471.2A	CRD - INFORMATION SECURITY PROGRAM (Extended until 4/28/05 by DOE N 251.57, dated 4/28/04) (Extended until 05/11/06 by DOE N 251.63 dated 5/11/05)
1/6/99	M 471.2-1B	CRD - CLASSIFIED MATTER PROTECTION AND CONTROL MANUAL, CHAPTER III PARAGRAPHS 1 AND 2 (DOE M 471.2-1C dated 4/17/01, cancels all except Chapter III paragraphs 1 and 2 and Chapter IV) (DOE O 471.4 dated 3/17/04 cancels Chapter IV) (Extended until 05/11/06 by DOE N 251.63 dated 5/11/05)
4/17/01 7/14/04	M 471.2-1C Change 1	CRD - CLASSIFIED MATTER PROTECTION AND CONTROL MANUAL (Extended until 05/11/06 by DOE N 251.63 dated 5/11/05)
8/3/99	M 471.2-2	CRD - CLASSIFIED INFORMATION SYSTEMS SECURITY MANUAL (DOE N 205.3, dated 11/23/99 cancels Paragraphs 4j(2) and 4j(6) of Chapter VI, and Paragraph 12a(2)(a) of Chapter VII.) (Notice 205.4 dated 3/18/02 cancels Chapter III Section 8)
02/06/04	M 471.2-4	TECHNICAL SURVEILLANCE COUNTERMEASURES MANUAL
4/9/03	O 471.3	CRD - IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION
4/9/03	M 471.3-1	CRD - MANUAL FOR IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION
3/17/04	O 471.4	CRD - INCIDENTS OF SECURITY CONCERN
3/25/03	O 472.1C	CRD - PERSONNEL SECURITY ACTIVITIES
7/12/01	M 472.1-1B	PERSONNEL SECURITY PROGRAM MANUAL (Extended until 07/7/06 by DOE N 251.64 dated 7/7/05)
12/23/02	O 473.1	CRD – PHYSICAL PROTECTION PROGRAM
12/23/02	M 473.1-1	CRD – PHYSICAL PROTECTION PROGRAM MANUAL

<b>DIRECTIVES LIST</b>		
<b>DATE</b>	<b>DOE DIRECTIVE NUMBER</b>	<b>SUBJECT TITLE</b>
6/30/00	O 473.2	CRD - PROTECTIVE FORCE PROGRAM (Extended until 06/30/05 by DOE N 251.58 dated 7/6/04) (Extended until 07/7/06 by DOE N 251.64 dated 7/7/05)
1/17/02	M 473.2-1A	FIREARMS QUALIFICATION COURSES MANUAL
6/30/00 12/20/01	M 473.2-2 Change 1	PROTECTIVE FORCE PROGRAM MANUAL
11/20/00	O 474.1A	CRD - CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS (Extended until 11/19/05 by DOE N 251.60 dated 11/19/04)
6/13/03	M 474.1-1B	CRD - MANUAL FOR CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS
8/19/03	M 474.1-2A	CRD - NUCLEAR MATERIALS MANAGEMENT AND SAFEGUARDS SYSTEM REPORTING AND DATA SUBMISSION
2/26/01	M 475.1-1A	CRD - IDENTIFYING CLASSIFIED INFORMATION (Extended until 03/03/06 by DOE N 251.61 dated 3/3/05)
7/8/04	O 475.1	COUNTERINTELLIGENCE PROGRAM
9/28/01	O 481.1B	CRD - WORK FOR OTHERS (NON DOE FUNDED WORK)
1/03/01 9/28/01	M 481.1-1A Change 1	REIMBURSABLE WORK FOR NON-FEDERAL SPONSORED PROCESS MANUAL
1/12/01	O 482.1	CRD - DOE FACILITIES TECHNOLOGY PARTNERING PROGRAMS
1/12/01	O 483.1	CRD - DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS
1/12/01	M 483.1-1	DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS
11/3/04	O 522.1	CRD - PRICING OF DEPARTMENTAL MATERIALS AND SERVICES
1/6/03	O 534.1B	CRD - ACCOUNTING
8/19/03	O 551.1B	CRD - OFFICIAL FOREIGN TRAVEL
7/12/00	M 573.1-1	MAIL SERVICES USER'S MANUAL
5/2/01	P 141.1	DEPARTMENT OF ENERGY MANAGEMENT OF CULTURAL RESOURCES
5/8/01	P 205.1	DEPARTMENTAL CYBER SECURITY MANAGEMENT POLICY
6/10/00	P 413.1	PROGRAM AND PROJECT MANAGEMENT POLICY FOR THE PLANNING, PROGRAMMING, BUDGETING, AND ACQUISITION OF CAPITAL ASSETS
5/15/00	P 443.1	PROTECTION OF HUMAN SUBJECTS
5/08/01	P 470.1	INTEGRATED SAFEGUARDS AND SECURITY MANAGEMENT POLICY
5/20/02	P 580.1	MANAGEMENT POLICY FOR PLANNING, PROGRAMMING, BUDGETING, OPERATION, MAINTENANCE AND DISPOSAL OF REAL PROPERTY
11/12/92	1450.4	CONSENSUAL LISTENING-IN TO OR RECORDING TELEPHONE/RADIO CONVERSATIONS

<b>DIRECTIVES LIST</b>		
<b>DATE</b>	<b>DOE DIRECTIVE NUMBER</b>	<b>SUBJECT TITLE</b>
2/8/90 6/5/90 1/7/93	5400.5* Change 1 Change 2	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT
5/15/84 5/16/88 5/16/89 9/20/91 1/7/93	5480.4* Change 1 Change 2 Change 3 Change 4	ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION STANDARDS
7/9/90 5/18/92 10/23/01	5480.19 Change 1 Change 2	CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES
11/15/94	5480.20A	PERSONNEL SELECTION, QUALIFICATION AND TRAINING REQUIREMENTS FOR DOE NUCLEAR FACILITIES
1/14/92 4/10/92	5530.3 Change 1	RADIOLOGICAL ASSISTANCE PROGRAM
7/10/92 12/2/92	5530.5 Change 1	FEDERAL RADIOLOGICAL MONITORING AND ASSESSMENT CENTER
5/8/85	5560.1A	PRIORITIES AND ALLOCATIONS PROGRAM
8/1/80	5610.2	CONTROL OF WEAPON DATA
5/26/94	5660.1B	MANAGEMENT OF NUCLEAR MATERIALS

ACCOUNTING PRACTICES AND PROCEDURES HANDBOOK		
5/2/83	Chapter V	INVENTORIES
6/30/80	Chapter X	PRODUCT COST ACCOUNTING

**Appendix I - Part II**

PARTIAL DELETIONS OF DIRECTIVES				
DATE	DOE DIRECTIVE NUMBER	SUBJECT TITLE	DELETION DIRECTIVE DATE	SECTIONS DELETED
2/8/90 6/5/90 1/7/93	5400.5 Change 1 Change 2	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT	O 231.1 9/30/95 Change 1 10/26/95	Chapter II: Para 1a(3) (a)
5/15/84 5/16/88 5/16/89 9/20/91	5480.4 Change 1 Change 2 Change 3	ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION STANDARDS	O 440.1 9/30/95 Change 1 10/26/95	Attachment 2: Paras 2c, 2d(2) - (3), 2e(1) - (8); and Attach. 3: Paras 2c.; 2d(2) - (3), 2e(1) - (7)