

Objective Standards Of Performance

Introduction	2
Section A - Laboratory Management	3
Section B - Science And Technology Self-Assessment	7
Section C - Performance Objectives, Criteria And Measures	20
1 Environmental Restoration and Waste Management	10
2 Environment, Safety And Health	20
3 Project/Facilities and Construction Management	36
4 Financial Management	43
5 Human Resources	58
6 Information Management	68
7 Procurement	73
8 Property	81
Section D - Assessment And Appraisal	90
Part 1 - UC Self-Assessment and Rating Process	90
Part 2 - DOE Evaluation and Appraisal Process	92
Part 3 - Performance Appraisal	93
Table 1 - Adjectival Rating/Points Conversion	94
Table 2 - DOE - UC Rating Adjectives	95

Introduction

This Appendix contains the performance objectives, criteria, and measures (POCMs) which are the components of the performance-based management system that the University and DOE will utilize for Laboratory oversight as described in Clause 2.6, Performance-Based Management. The POCMs will be clear and reasonable objective standards against which the University's overall compliance with obligations under this contract will be assessed.

The POCMs will be subject to annual review and may be modified by the agreement of the Parties in accordance with the procedures set forth in Clause 2.6, Performance-Based Management, Clause 5.1, Contract Modifications, and Clause 5.3, Program Performance Fee. It is understood that the changes in the POCMs may be proposed based on cost/risk/benefit analysis. The DOE and UC rating processes will give primary emphasis and consideration to the Contractor's self-assessment against Appendix F POCMs, recognizing that the UCLAO and the Contracting Officer may take into account other pertinent information (for example, major ES&H performance issues or significant mission disruption) consistent with Clause 2.6 (d)(3) and Clause 2.6(e) to arrive at the annual rating of Laboratory performance.

This Appendix contains a description of the process to be used by the University and DOE to evaluate the Contractor's performance of administration, operations, science, and technology at the Laboratory.

Business systems may require modification as POCMs are revised in accordance with Clause 2.6, Performance-Based Management. Where systems are so modified in the course of a review period, DOE agrees to take such modification into account in the appraisal.

Section A - Laboratory Management

Performance Objective

1.0 Laboratory Leadership

Laboratory leadership, in support of Laboratory missions, ensures the stewardship and viability of the institution.
(Weight = 100%)

Note: The Gradient for each measure is shown in the attachment and the weighting between Approach/Deployment and Results is A/D=40% and R=60%.

Criterion

1.1 Institutional Stewardship and Viability

Evaluation of Laboratory senior management's approach, deployment and results for ensuring that the institution is capable of executing its current and future missions.

(Weight = 100%)

Performance Measures

1.1.a Planning

Evaluation of management's approach for strategic planning that aligns Laboratory missions, core competencies, strategic direction, and funding sources with DOE strategic plans and objectives. The assessment will focus on achievement of the key objectives contained in the Laboratory's plans and how this information is reviewed with DOE.

(Weight = 14.3%)

1.1.b Establishing and Communicating Performance Expectations

Evaluation of management's effectiveness in establishing and communicating performance expectations. Assessment will focus on communication with Laboratory line management and senior management at the DOE Headquarters, Operations Office, and UC that reinforces performance goals.

(Weight = 14.3%)

1.1.c Stewardship of Assets

Evaluation of Laboratory management systems for making decisions that address stewardship of programmatic and institutional assets. Assessment will include the impact of planning on decision making, the use of prioritization processes, asset management, resource allocation, etc.

(Weight = 14.3%)

1.1.d Effective Resource Management

Evaluation of management's efforts to effectively manage funding and staff resources consistent with DOE and Laboratory goals. Assessment will focus on performance results which may include improvements in cost effectiveness such as the ratio of S&T to A&O staff, travel funds management, and other productivity or re-engineering indicators.

(Weight = 14.3%)

1.1.e Diversity Leadership and Awareness Evaluation of senior management's effectiveness in increasing the awareness of diversity in all divisions of the Laboratory. The assessment will focus on the development and implementation of diversity plans and their innovative actions to enhance the work environment for all employees

Appendix F - Objective Standards of Performance

and to engage in proactive methods of diversity outreach and recruitment designed to promote equality of opportunity.

(Weight = 14.3%)

1.1.f Community Relations

Evaluation of management's awareness of public concern regarding Laboratory operations. Assessment will focus on management's effectiveness in addressing community issues in a proactive manner.

(Weight = 14.3%)

1.1.g Accountability and Commitments

Evidence that systems ensure major commitments are met and information on status is timely and complete and that these systems allow informed management action.

(Weight = 14.3%)

ATTACHMENT

The performance expectation for each performance measure will use the scoring criteria indicated in Table 1 below. Each performance measure indicates the relative weights between the Approach/Deployment criteria and the Results criteria.

Table 1, Appraisal Scoring Guidelines for Laboratory Management

Narrative Rating (Score Range)	Approach/Deployment	Results
Unsatisfactory (59% and Below)	Little or no systematic approach evident; anecdotal information	Little or no results in key mission and business areas.
Marginal (60 to 69%)	Beginning of a systematic approach to the key mission and business areas. Early stages of a transition from reacting to problems to a general improvement orientation. Major gaps exist in deployment that would inhibit progress in achieving the key mission and business objectives.	Early stages of developing; some improvements and/or early good performance level in a few key mission and business areas.
Good (70 to 79%)	A sound systematic approach, responsive to the key mission and business areas. A fact-based improvement process in place in key areas; more emphasis is placed on improvement than on reaction to problems. No major gaps in deployment, though some areas may be in the very early stages of deployment.	Improvement trends and/or good performance levels reported for most key mission and business areas. No pattern of adverse trends and/or poor performance levels in the key mission and business areas. Some trends and/or current performance levels show areas of strength and/or good to very good relative performance levels.
Excellent (80 to 89%)	A sound systematic approach, responsive to the key mission and business areas. A fact-based improvement process is a key management tool; clear evidence of refinement and improved integration as a result of improvement cycles and analysis. Approach is well developed, with no major gaps; deployment may vary in some areas.	Current performance is Excellent in most key mission and business areas. Most improvement trends and/or current performance levels are sustained in most other areas. Many to most trends and/or current performance levels show areas of leadership and very good relative performance levels.
Outstanding (90 to 100%)	A sound systematic approach, fully responsive to key mission and business areas. A very strong fact-based improvement process is a key management tool; strong refinement and integration - backed by Excellent analysis. Approach is fully deployed without significant weaknesses or gaps in the key areas.	Current performance is Outstanding in most key mission and business areas. Excellent performance levels in most other areas. Strong evidence of industry and benchmark leadership demonstrated in many areas.

Appendix F - Objective Standards of Performance

Modification No.: M345
Supplemental Agreement to
Contract No. DE-AC03-76SF00098

Section B - Science And Technology Self-Assessment

Components Of Performance Evaluation Process

The UC evaluation of science and technology is based on a combination of peer review and self-assessment by the laboratories. The UC President's Council on the National Laboratories, in collaboration with its Science and Technology Panel, evaluates annually the quality of science and technology at each Laboratory. For its evaluation, the Council utilizes input from external peer review committees established for each division and the Laboratory's self assessment. The Council's evaluation also includes an assessment of Laboratory management and institutional issues, which is based on its own analysis and the lab's self-assessment. The peer review committees base their evaluations on the following four criteria as appropriate:

- Quality of Science and Technology - Recognized indicators of excellence, including impact of scientific contributions, leadership in the scientific community, innovativeness, and sustained achievement will be assessed as appropriate. As appropriate, other performance measures such as publications, citations, and awards may be considered. This criterion is to be applied to all aspects of technical work, including science, engineering, and technical development.
- Relevance to National Needs and Agency Mission - The impact of Laboratory research and development on the mission needs of the Department of Energy and other agencies funding the programs will be assessed in the reviews. Such considerations include energy policy, economic competitiveness, and national environmental goals, as well as the goals of DOE and other Laboratory funding agencies in advancing fundamental science and strengthening science education. The impact of Laboratory programs on industrial competitiveness and national technology needs will be assessed. The assessment will include characteristics that are not easily measured, including relevance of research programs to national technology needs and effectiveness of outreach efforts to industry. As appropriate, they may also consider such performance measures as licenses and patents, collaborative agreements with industry, and the value of commercial spin-offs.
- Performance in the Technical Development and Operation of Major Research Facilities - Performance measures include success in meeting scientific and technical objectives, technical performance specifications, and user availability goals. Other considerations may include the quality of user science performed, extent of user participation and user satisfaction, operational reliability and efficiency, and effectiveness of planning for future improvements, recognizing that DOE programmatic needs are considered to be primary when balanced against user goals and user satisfaction. This includes but is not necessarily limited to LBNL's performance related to aspects of the Spallation Neutron (SNS) Project in accordance with the inter-Laboratory Memorandum of Agreement and approved work plans.
- Program Management and Planning - The assessment should focus on broad programmatic goals, including meeting established technical milestones, carrying out work within budget and on schedule, satisfying the sponsors, providing cost-effective performance, planning for orderly completion or continuation of the programs, and appropriate publication and dissemination of scientific and technical information. In assessing the effectiveness of programmatic and strategic planning, the reviewers may consider the ability to execute projects in concert with overall mission objectives, programmatic responsiveness to changes in scope or technical perspective, and strategic responsiveness to new research missions and emerging national needs. In the evaluation of the effectiveness of program management, consideration may include morale, quality of leadership,

effectiveness in managing scientific resources (including effectiveness in mobilizing interdisciplinary teams), effectiveness of organization, and efficiency of facility operations.

Because of the size and breadth of most Laboratory divisions, it is in many cases not possible (or desirable) to review all components annually. Instead, each Laboratory has developed review schedules appropriate for each division to assure review of all division components at least on a three-year cycle.

Each Laboratory prepares an annual self-assessment of its performance in science and technology that utilizes the peer reviews of each division. In addition, each lab will prepare a brief summary self-assessment of its programmatic performance on the major program elements outlined in Appendix E, Statement of Work. The summary self-assessment will address any areas previously agreed upon with the appropriate DOE office and approved by the contracting officer. The summary self assessment may also include the above four criteria that are appropriate to the assessed programmatic work. The self assessment will also identify and track scientific and technical information reporting requirements. A schedule will be developed in collaboration with the DOE to phase in the programmatic self-assessments such that all major program elements will be assessed a minimum of every three years.

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Section C - Performance Objectives, Criteria And Measures

1 Environmental Restoration and Waste Management

Performance Objective

1.0 Environmental Restoration and Waste Management

The Laboratory will conduct waste operations in a safe manner that protects human health, the environment and the public and prevents adverse impacts thereon; the Laboratory will develop innovative solutions to advance the Environmental Management (EM) Program; and the Laboratory's Environmental Restoration Program will continually strive to improve efficiency and maximize remediation.

(Weight = 100%)

Criterion

1.1 Waste Management

The Laboratory's facilities and operations for handling waste will be managed to minimize the impact on the environment and to maximize the efficient use of EM and SC funds. The Laboratory will operate its waste facilities to continually strive to improve efficiency and reduce the waste inventory.

(Weight = 25%)

Performance Measures

1.1.a Waste Management Newly Generated Waste, Productivity

The Laboratory will collect data on the volume of newly generated waste shipped offsite plus made "road ready" per total SC operations dollar costed per fiscal year. This data will be compared to approved Work Authorization System and Technical Baseline documents to measure program efficiency.

(Weight = 15%)

Assumptions

- The performance period is for a single fiscal year.
- Newly generated waste consists of all waste managed by the Waste Management Group, excluding that defined as "legacy" and funded by EM.
- Total operations dollars are determined by the Work Authorization System (WAS) document. Planned disposal volumes are determined by the final (DOE/BSO approved) Technical Baseline.
- Total operations dollars for Performance Year is actual funding costed at end of fiscal year for operating expense and capital equipment, relegated to the Base Program.
- Waste volumes shall be limited to those funded and tracked by SC. TRU waste is excluded as a waste type for the performance measure.
- "Road Ready" waste volumes are wastes that have an intended disposal site, are certified to that site's waste acceptance criteria (WAC), and its waste profiles are accepted by that disposal site, but have yet to be shipped due to circumstances beyond the Laboratory's control. The waste profile acceptance requirement may be revisited on a case-by-case basis and is not applicable for TRU waste.
- Waste identified as "road ready" will be considered disposed. Disposal credit for shipped "road ready" waste volumes is not allowed in subsequent performance period(s).
- Mixed wastes treated and subsequently managed as low-level or hazardous wastes are considered removed from the mixed waste inventory.

Appendix F - Objective Standards of Performance

- Low-level and mixed wastes decayed in place and disposed of are counted as both treated and disposed.
- Conversion factor of the specific density of water (1.0) will be used to convert the weight of aqueous waste to volumetric measurements.
- LLW with California-regulated constituents may be allocated to either LLW or MW categories.
- Toxic Substances Control Act (TSCA) and medical waste volumes will be included with HW inventory.
- Success Criteria and Waste Type Matrix Elements will be renegotiated to account for any significant programmatic, regulatory, and/or fiscal changes.

Gradients

The score for this performance measure will be based on the following table:

Success Criteria

Rating	Range
Unsatisfactory	<40%
Marginal	40-49%
Good	50-65%
Excellent	66-84 %
Outstanding	85-100%

The Success Criteria Gradient is calculated using the following formula:

$$\text{Score} = \frac{\text{Waste Type Matrix Points}}{\text{Total \# of Waste Types}} \times 100\%$$

Waste Type Matrix Points are assigned from the table below by calculating for each applicable waste type the Performance Improvement (PI):

$$\text{PI} = \frac{\text{Performance Year Commitment Factor} - \text{Performance Year Actuals Factor}}{\text{Performance Year Commitment Factor}} \times 100\%$$

Appendix F - Objective Standards of Performance

Where:

$$\boxed{\text{Performance Year Actuals Factor}} = \frac{\text{Total Operations Funding Costed for Performance Year}}{\text{m}^3 \text{ Waste Type Disposed}}$$

$$\boxed{\text{Performance Year Commitment Factor}} = \frac{\text{Total Operations Funding Costed for Performance Year per WAS}}{\text{m}^3 \text{ Waste Type Disposed per Technical Baseline}}$$

Waste Type Matrix

Waste Type	PI ≤ -4%	-4% < PI ≤ 0%	0% < PI ≤ 2%	2% < PI < 4%	PI > 4%
HW	0	1	1	1	1
LLW	0	0.25	0.5	0.75	1
MW	0	0.25	0.5	0.75	1
Other	0	1	1	1	1

1.1.b Waste Management, Legacy Waste Inventory Workoff

The Laboratory will reduce legacy low-level waste inventories through treatment and disposal activities. Treatment and disposal volumes will be tracked and compared to the EM Current Year Work Plan (CYWP).

(Weight = 10%)

Assumptions

- The performance period is for a single fiscal year. However, treatment/disposal volumes not claimed in the last performance period may be used in the current performance period not to exceed 25% of the performance year EM CYWP.
- Waste volumes shall be limited to those funded and tracked by EM-30.
- Planned disposal volumes are determined by the final (DOE/OAK approved) CYWP as amended by the Baseline Change Control process. Baseline Change Proposals are reviewed and, if determined to be acceptable, approved by DOE/OAK within 30 days of receipt.
- Low-level wastes decayed in place and disposed of are counted as both treated and disposed.
- Conversion factor of the specific density of water (1.0) will be used to convert the weight of aqueous waste to volumetric measurements.
- Success Criteria and Waste Type Matrix Elements will be renegotiated to account for any significant programmatic, regulatory, and/or fiscal changes.

Gradients

The score for this performance measure will be based on the following table:

Success Criteria

Rating	Range
Unsatisfactory	<65%
Marginal	65-77%
Good	78-89%
Excellent	90-95 %
Outstanding	>95%

The Success Criteria Gradient is calculated using the following formula:

$$\text{Score} = \frac{\text{Amount Legacy Waste Treated and Disposed}}{\text{Legacy Waste Treatment and Disposal Commitment from CYWP}} \times 100 \%$$

Criterion

1.2 EM Program Innovation

The Laboratory will develop innovative solutions to advance the Environmental Management Program. The EM Program includes Environmental Restoration, Waste Management, and Technology Development.
 (Weight = 25%)

Performance Measures

1.2.a Advancement of the EM Program

The Laboratory will advance the state of the art technologies by implementing their usage; participate in the corporate advancement of the EM Program by providing solutions or assistance to other DOE/OAK sites; and identify and implement innovative technological solutions or business practices that result in savings.
 (Weight = 25%)

Appendix F - Objective Standards of Performance

Assumptions

The performance period will be a single DOE fiscal year.

It is recognized that actions may result in cost savings that extend for more than one year. Credit for cost savings (Category 3) may be taken in each year in which cost savings are realized, up to a total of five years.

In general, accomplishments are expected using existing resources. In some cases, additional funding may be required to undertake specific innovative solutions. With the agreement of both parties, DOE-HQ (EM) may provide additional funds and/or allow the Laboratory to use cost savings realized to meet this performance measure.

Gradients

The degree of innovation achieved will be measured by a point system. Points will be awarded in each of several performance categories, with a total score from all categories being the final score for the performance measure. Projects which receive credit in one performance indicator category may also receive credit for any costs savings realized (Category 3), but may not receive credits in all three categories. The performance indicators and associated award points will be as follows:

Category 1

Advance the state of the art technologies by implementing the usage of Laboratory technologies at DOE or other Government sites, or utilize other EM technologies at the Laboratory.

- | | |
|---|--------------------------|
| 1a - Use of an innovative environmental technology at LBNL (including one developed by LBNL). | 1 point each technology |
| 1b- Use of an LBNL EM-developed technology at other government sites | 1 point each technology |
| 1c- Use of an LBNL EM-developed technology at any DOE site | 2 points each technology |
| 1d- Non-DOE funded use of LBNL EM developed technology at industrial sites | 1 point each technology |

Category 2

The Laboratory participates in the corporate advancement of the EM program by providing solutions or assistance on projects at other DOE sites. Projects should result in at least one of the following:

- 2a- Cost savings
 - 2b- Efficiency improvement (i.e., quicker, better quality, etc.)
 - 2c- Liability or risk reduction
 - 2d- Use of laboratory resources and/or facilities to aid others
- (1 point will be awarded for each project that meets one or more of the criteria listed.)

Category 3

Provide cost savings by identifying and/or implementing innovative technological solutions or business practices. Innovative technological solutions or business practices are defined as those that represent a significant change from current solutions or existing practices (technological or regulatory). They can not simply be refinements of existing technological or business practices, nor be cost savings due to a simple reduction in scope of work or deliverables.

Appendix F - Objective Standards of Performance

- LBNL will be awarded 1 point for every \$100,000 saved, but no more than 3 points per technology
- LBNL will be awarded 1 point for incorporation of innovative technologies into a Program Baseline System (PBS) with adjusted baseline

Rating	Range (LBNL)
Unsatisfactory	0-1
Marginal	2
Good	3-5
Excellent	6-8
Outstanding	≥9

Criterion

1.3 Environmental Restoration, Schedule Variance

The Laboratory's Environmental Restoration Program will be managed to improve project/program performance. The Laboratory measures its performance of projects/programs against schedule baselines (Weight = 25%)

1.3.a Performance Measure

The schedule measure will track the Laboratory's Environmental Restoration Program performance in executing projects in accordance with an approved overall schedule. Three components, the schedule variance and completion of regulatory and non-regulatory milestones, will be tracked to evaluate overall performance. (Weight = 25%)

Assumptions:

1. Cumulative percent schedule variance (%SV) will be obtained from the September Integrated Planning, Accountability, and Budgeting System (IPABS) Project Execution Module (PEM) Report. The Cumulative SV value will be for the fiscal year being evaluated.
2. Baseline change proposals are reviewed and incorporated, if approved, by DOE in 30 days.
3. If the MARS Report contains an accounting error, SV values provided by LBNL and verified by the respective DOE Site Representative may be used.
4. Includes DOE-HQ (EM)-funded activities for PBS No. OK-003.
5. On an annual basis, representatives from LBNL and DOE will review and develop a list of both regulatory and non-regulatory milestones that will be included to evaluate performance under this measure.
6. All regulatory required milestones (milestones required by Federal, State, or local statute and/or permit conditions) must be completed on the due date to be considered complete. All other milestones must be completed not later than September 30 of the evaluation period. Additionally, on a quarterly basis, the DOE and LBNL managers will review the status of the milestones. Milestones may be added and/or deleted if project conditions warrant a change as agreed to by DOE and LBNL.
7. Standard *Force Majeure* items (including but not limited to acts of God, nonreceipt of the President's Target Level Funding, funding rescissions, scope redirection by DOE, discovery of new, high risk site conditions that warrant immediate action and change to the MYWP, programmatic impediments) will apply and will require special considerations up to and including re-baselining.

Gradient Rating	Range for LBNL: (Total Points)
Outstanding	13-15
Excellent	10-12
Good	7-9
Marginal	5-6
Unsatisfactory	≤4

Available Points for LBNL:		
SV	Regulatory Milestone Completed	Non-Regulatory Milestones Completed
SV ≥ 3% (5 Points)	All (5 Points)	All (5 Points)
-3% ≤ SV < 3% (4 Points)	All except 1 (2 Points)	All except 1 (4 Points)
-6% ≤ SV < -3% (3 Points)	All except 2 (1 Point)	All except 2 (3 Points)
-9% ≤ SV < -6% (2 Points)	More than 2 missed (0 Points)	All except 3 (1 Point)
SV < -9% (1 Point)		More than 3 missed (0 Points)

Each condition (SV, Regulatory Milestones Completed, and Non-Regulatory Milestones Completed) shall be evaluated independently based on the table above. The Gradient Rating for Performance Measure 1.3.a will be based on the total points achieved by combining the individual points achieved for each condition.

The schedule measure will track the Laboratories' performance in executing projects in accordance with an approved overall schedule.

$$\% \text{ SV} = \frac{(\text{Annual BCWP} - \text{Annual BCWS})}{\text{Annual BCWS}} \times 100$$

Where:

Appendix F - Objective Standards of Performance

SV = Schedule Variance
BCWS = Budgeted Cost of Work Scheduled
BCWP = Budgeted Cost of Work Performed

Example: SV = 0%, all regulatory milestone completed, two non-regulatory milestones missed. Total of 12 points, overall gradient rating: Excellent.

Criterion

1.4 Cost Variance

The Laboratory's Environmental Management Programs will be managed to improve project/program performance. The Laboratory measures its performance of projects/programs against cost baselines.
(Weight = 25%)

Performance Measures

1.4.a EM Projects, Environmental Restoration Program

The cost measure will track the Laboratory's Environmental Restoration Program performance in executing projects in accordance with an approved project cost baseline.
(Weight = 12.5%)

Assumptions

- Cumulative percent cost variance (%CV) will be obtained from the September Integrated Planning, Accountability, and Budgeting System (IPABS) Project Execution Module (PEM) Report. The Cumulative CV value will be for the fiscal year being evaluated.
- Baseline change proposals are reviewed and incorporated, if approved, by DOE in 30 days.
- If the Management Analysis and Reporting System (MARS) Report contains an accounting error, CV values provided by LBNL and verified by the respective DOE Site Representative may be used.
- Includes DOE-HQ (EM)-funded activities by Project Baseline Summary (PBS) No.OK-003.

<u>Gradient Rating</u>	<u>Range for LBNL:</u>
Outstanding	$CV \geq 5\%$
Excellent	$1\% \leq CV < 5\%$
Good	$-1\% \leq CV < 1\%$
Marginal	$-5\% \leq CV < -1\%$
Unsatisfactory	$CV < -5\%$

Appendix F - Objective Standards of Performance

The cost measure will track the laboratory's performance in executing projects in accordance with an approved project cost baseline.

$$\% \text{ CV} = \frac{(\text{Annual BCWP} - \text{Annual ACWP})}{\text{Annual BCWP}} \times 100$$

Where:

- CV = Cost Variance
- BCWP = Budgeted Cost of Work Performed
- ACWP = Actual Cost of Work Performed

1.4.b EM Projects, Waste Management

The cost measure will track the Laboratory's EM Waste Management Program performance in executing projects in accordance with an approved project cost baseline.

(Weight = 12.5%)

Assumptions

- Cumulative percent cost variance (%CV) will be obtained from the September Integrated Planning, Accountability and Budgeting System (IPABS). The Cumulative CV value will be for the fiscal year being evaluated.
- If the Management Analysis and Reporting System (MARS) Report contains an accounting error, CV values provided by LBNL and verified by the respective DOE project manager may be used.
- Baseline change proposals are reviewed and, if determined to be acceptable, approved by DOE/OAK within 30 days of receipt.
- Includes EM-funded activities under Project Baseline Summary (PBS) OK-015.

Gradients

<u>Gradient Rating</u>	<u>Range for LBNL:</u>
Unsatisfactory	CV > 8% or CV < 0%
Marginal	CV = 8%
Good	CV > 5% and < 8%
Excellent	CV ≤ 5% and > 2%
Outstanding	CV ≤ 2% and ≥ 0%

The cost measure will track the laboratory's performance in executing projects in accordance with an approved project cost baseline.

$$\% \text{ CV} = \frac{(\text{Annual BCWP} - \text{Annual ACWP})}{\text{Annual BCWP}} \times 100$$

Given:

- CV = Cost Variance
- BCWP = Budgeted Cost of Work Performed
- ACWP = Actual Cost of Work Performed

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Section C - Performance Objectives, Criteria And Measures

2 Environment, Safety And Health

Preamble

The Laboratory's goal is to accomplish its mission cost-effectively while striving for an injury-free workplace, minimizing waste streams and adverse impacts to the public and environment from its operations.

The following Performance Objective, Criteria and Measures are linked to the Guiding Principles and Key Functions of Integrated Safety Management. They include a process-oriented measure that is intended to assess key elements of the Laboratory's integrated safety management system. They also include a total system outcome measure, which is intended to be a key indicator of the performance of the Laboratory's integrated safety management system as a whole.

Performance Period: Unless otherwise specified in the measures, the performance period is October 1, 2001 through September 30, 2002.

Performance Objective

1.0 Do Work Safely

The Laboratory systematically integrates ES&H into management and work processes at all levels so those missions are accomplished while protecting the worker, the public and the environment.

Criterion

1.1 ISM System Process Measure

The Laboratory uses the five core functions and seven principles of Integrated Safety Management (ISM) in its management and work processes.

- The Lab has an active and sustainable ISM system.
- The Lab uses the functions and principles of ISM to maintain a safe work environment.
- Successful implementation of ISM is consistent with ES&H outcome measures.

(Weight = 40%)

Performance Measure

ISM Leading Indicators

Leading indicators are used to measure the implementation and effectiveness of ISM.

Assumptions

1. Supplemental information on the quality and effectiveness of the Lab's ISM program can be provided through the BSO/LBNL Operational Awareness (OA) Program. To support the gathering of information, the Lab shall prepare written reports on significant changes in ES&H systems and processes to be presented at the quarterly OA meetings. Examples of significant changes include modifications of any ISM plans; changes to ES&H policies and requirements in the Regulation and Procedures Manual (RPM), PUB 3000, Operating and Assurance Plan (OAP), and Work Smart Standard (WSS) set; and alterations in EH&S Division staffing patterns, allocation of resources, and/or organizational structure. OA input that affects the performance rating for the process measure shall be based on first-hand knowledge, valid sampling and be adequately documented for the purpose of inclusion in the Appendix F performance reports (done quarterly and annually).
2. The Lab's Self-Assessment Program is a major component for evaluating ISM at the Lab., BSO personnel are invited to participate as observers in self-assessment activities, including but not limited to: validation of Division self-assessments, Integrated Functional Appraisals, and ISM Work Reviews. DOE observers can

Appendix F - Objective Standards of Performance

provide feedback on the Lab's self-assessment activities. Such feedback can be used as supplemental information (see assumption #1) to address the quality and effectiveness of the Lab's Self-Assessment Program.

3. ISM Plans refers to the Laboratory's Institutional Safety Plan, each division's ISM Plan, and the Operations departmental (Facilities and Directorate) ISM Plans.
4. In addition to other evaluation methods to be used, the Laboratory shall use ISM work reviews (jointly selected by November 30, 2001) to sample the effectiveness of ISM for driving continuous improvement or sustain safety performance in (i) mature research and research support operations and activities, (ii) infrastructure projects, and (iii) institutional equipment and instrumentation maintenance. Work reviews verify the implementation of the principles and tenets of ISM in the three operational areas.
5. Annual peer review of effectiveness of interactions between worker safety management system and occupational medicine in support of integrating safety into the workplace is a standing requirement.
6. Subcontractor operations/personnel are included in implementation of ISM if the subcontractor is performing part of the Laboratory's operations and reporting its hours to the Laboratory. To this end, the Laboratory's contracting process evaluates and considers the safety record of prospective subcontractors and, once selected, subcontractor statistics are gathered and performance tracked separately. Subcontractors are excluded from LBNL OSHA reporting if they are "servicing" the Laboratory (e.g., copy machine vendors or other transient workers).
7. Peer reviews, existing procedures, implementing memoranda, Lab tracking system data and other work process products shall serve as demonstrable evidence in contribution to satisfaction of measure gradients. Successes and difficulties associated with these processes will be included in the report. It is not the intention of this measure to foster the generation of supportive or demonstrable documents other than those needed or necessary to perform the work.
8. The evaluation of the process measure is the DOE validation of the effectiveness of ISM implementation.

1.1.a Leading Indicators for Defining Work

(A) Line management provides evidence that the ISM Division Plans and work planning adequately identify and prioritize resources to address programmatic needs and work safety.

(Weight = 4%)

Gradients

Unsatisfactory	Little or no effort has been demonstrated towards achievement of the performance measure.
Marginal	Some effort is demonstrated, however results fall short of the expectations for the Good gradient.
Good	More than 70% of Division ISM plans have been reviewed and updated within past year. ISM plans are evaluated for quality of content to address the Division scope of work and for consistency with institutional ISM requirements. Work planning demonstrates that work and safety priorities are adequately balanced. The institutional ISM plan has been reviewed and updated for changes in site-wide scope of work.
Excellent	More than 80% of Division ISM plans have been reviewed and updated within past year. ISM plans are evaluated for quality of content to address the Division scope of work and for consistency with institutional ISM requirements. Work planning demonstrates that work and safety priorities are adequately balanced. The institutional ISM plan has been reviewed and updated for changes in site-wide scope of work.

Appendix F - Objective Standards of Performance

Outstanding More than 90% of Division ISM plans have been reviewed and updated within past year. ISM plans are evaluated for quality of content to address the Division scope of work and for consistency with institutional ISM requirements. The institutional ISM plan has been reviewed and updated for changes in site-wide scope of work.

(B) Lab management regularly communicates ES&H policy and procedures and lessons learned.
(Weight = 4%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good More than 70% of Divisions have at least one all-hand meetings or equivalent forum where ES&H issues, policies, and lessons learned are addressed.

Excellent More than 80% of Divisions have at least one all-hand meetings or equivalent forum where ES&H issues, policies, and lessons learned are addressed. There is documented evidence of Division management communicating significant ES&H issues to Division personnel.

Outstanding More than 90% of Divisions have at least one all-hand meetings or equivalent forum where ES&H issues, policies, and lessons learned are addressed. There is documented evidence of Division management communicating significant ES&H issues to Division personnel. Lab Director issues Level 1 ES&H policy statement.

1.1.b Leading Indicators for Identifying Hazards

(A) Divisions have a process to appropriately identify, analyze, and categorize the hazards and identified the appropriate requirements to mitigate the risks associated with the division's work.
(Weight = 4%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good Hazards have been appropriately identified for more than 70% of the division self authorized work and more than 90% of work requiring formal authorizations (i.e., RWAs, RWPs, AHDs, SSAs)

Excellent Hazards have been appropriately identified for more than 80% of the division self authorized work and more than 95% of work requiring formal authorizations.

Outstanding Hazards have been appropriately identified for more than 90% of the work requiring division self-authorization and 100% of work requiring formal authorizations.

(B) Work spaces are inspected and evaluated on a regular basis, and hazard and safety issues are appropriately identified.
(Weight = 4%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Appendix F - Objective Standards of Performance

Good	More than 70% of work spaces are inspected as scheduled, and hazard and safety issues are appropriately addressed.
Excellent	More than 80% of work spaces are inspected as scheduled, and hazard and safety issues are appropriately addressed.
Outstanding	More than 90% of work spaces are inspected as scheduled, and hazard and safety issues are appropriately addressed.

1.1.c Leading Indicators for Controlling Hazards

(A) Engineering and administrative controls are in place and maintained to control hazards.

(Weight = 4%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good More than 70% of fume hoods, biocabinets, gloveboxes, interlocks, generators, and fire suppression systems are checked within the required schedule to ensure that equipment specifications are being met.

Excellent More than 80% of fume hoods, biocabinets, gloveboxes, interlocks, generators, and fire suppression systems are checked within the required schedule to ensure that equipment specifications are being met. There are no systemic deficiencies in the Lab's administrative controls.

Outstanding More than 90% of fume hoods, biocabinets, gloveboxes, interlocks, generators, and fire suppression systems are checked within the required schedule to ensure that equipment specifications are being met. There are no systemic deficiencies in the Lab's administrative controls.

(B) Managers and staff are regularly involved in ES&H activities.

(Weight = 4%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good Both managers and staff are involved in documented self-assessments. Supervisors investigate accidents and injuries pertaining to their staff through the SAAR process.

Excellent Grade for "Good" is met. Division directors and group/program leaders participate in walkthroughs.

Outstanding Grade for "Excellent" is met. Laboratory Director participates in walkthroughs.

1.1.d Leading Indicators for Performing Work.

(A) Work is performed within the conditions and requirements for ES&H specified by Lab policies and procedures.

(Weight = 4%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Appendix F - Objective Standards of Performance

Marginal	Some effort is demonstrated, however results fall short of the expectations for the Good gradient.
Good	More than 70% SAA compliance. More than 70% RWA compliance (measured against major and significant deficiencies). More than 90% serious and imminent danger situations as defined by LCATS Hazard Level 1 and 2 are identified, analyzed for root causes, and mitigated within the specified timeframe.
Excellent	More than 80% SAA compliance. More than 80% RWA compliance (measured against major and significant deficiencies). More than 95% serious and imminent danger situations as defined by LCATS Hazard Level 1 and 2 are identified, analyzed for root causes, and mitigated within the specified timeframe.
Outstanding	More than 90% SAA compliance. More than 90% RWA compliance (measured against major and significant deficiencies). 100% serious and imminent danger situations as defined by LCATS Hazard Level 1 and 2 are identified, analyzed for root causes, and mitigated within the specified timeframe.

(B) Employees are proficient to perform their work safely.
(Weight = 4%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal	Some effort is demonstrated, however results fall short of the expectations for the Good gradient.
Good	More than 70% rate for completing required ES&H training, passing course exams, and satisfactory responses from course evaluations. Employees who have not completed their required training must be under direct supervision as per PUB 3000 requirements.
Excellent	More than 80% rate for completing required ES&H training, passing course exams, and satisfactory responses from course evaluations. Employees who have not completed their required training must be under direct supervision as per PUB 3000 requirements.
Outstanding	More than 90% rate for completing required ES&H training, passing course exams, and satisfactory responses from course evaluations. Employees who have not completed their required training must be under direct supervision as per PUB 3000 requirements.

1.1.e Leading Indicators for Feedback and Improvement(A) ES&H deficiencies identified from workspace inspections, self-assessments and external appraisals are corrected in a timely manner. A downward trend of repeat deficiencies is established.
(Weight = 2.67%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal	Some effort is demonstrated, however results fall short of the expectations for the Good gradient.
Good	More than 70% of site-wide deficiencies are corrected or are on-schedule for completion.
Excellent	More than 80% of site-wide deficiencies are corrected or are on-schedule for completion. There is a downward trend of Level 2 repeat deficiencies.
Outstanding	More than 90% of site-wide deficiencies are corrected or are on-schedule for completion. There is a downward trend of Level 2 repeat. The Lab shall analyze LCATS for downward trending of Level 3 repeat deficiencies.

Appendix F - Objective Standards of Performance

(B) Because self-assessment is the cornerstone for ISM validation, the Lab has a robust self-assessment program to evaluate ISM effectiveness.

(Weight = 2.67%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good More than 70% completion of Division self-assessment, MESH, IFAs, and ISM Work Reviews. Quality of the assessments is linked to the overall Appendix F outcome measures (PM 1.2) so that the rating for Performance Measure 1.1.f.(B) cannot be higher than the overall rating of the outcome measures.

Excellent More than 90% completion of Division self-assessment, MESH, IFAs, and ISM Work Reviews. Quality of the assessments is linked to the overall Appendix F outcome measures (PM 1.2) so that the rating for Performance Measure 1.1.f.(B) cannot be higher than the overall rating of the outcome measures.

Outstanding More than 95% completion of Division self-assessment, MESH, IFAs, and ISM Work Reviews. Quality of the assessments is linked to the overall Appendix F outcome measures (PM 1.2) so that the rating for Performance Measure 1.1.f.(B) cannot be higher than the overall rating of the outcome measures.

(C) Opportunities for institutional improvements are identified in the Lab's annual ES&H Self-Assessment Report. Milestones for implementing improvements are met.

(Weight = 2.66%)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good Opportunities for institutional improvements are identified in the Lab's annual ES&H Self-Assessment Report. Plan of action with milestones for each improvement target has been developed.

Excellent More than 80% of the milestones have been met.

Outstanding More than 90% of the milestones have been met.

Criterion

1.2 ISM System Outcome Measures

System outcome measures are linked to the ISM process measure. System outcomes are used to validate and drive ISM excellence.

(Weight = 60%)

Performance Measures

1.2.a Routine Exposures from Routine Activities

Occupational radiation doses to individuals (excluding accidental exposures) from DOE operations will be managed to assure that applicable 10 CFR 835 limits are not exceeded.

(Weight = 7.5%)

Appendix F - Objective Standards of Performance

Assumptions

1. The performance period for this measure is from July 1, 2001 to June 30, 2002.
2. Any actual or anticipated significant changes in workloads or badged worker population (interpreted to be an increase or decrease of 10% or more) that would affect radiation doses will be brought to the attention of UC and DOE and appropriate adjustments will be made.
3. Some variability is expected which may not be indicative of a trend.
4. This measure is directed toward current management and control of radioactive materials.
5. Outcome Measure reports demonstrate how results are used to drive improvement or maintain current best management practices.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good No individual exposures in excess of 500 millirem without an increase in workload (unless specifically authorized in writing and approved by the Radiological Control Manager).

Excellent Qualify for Good, plus the number of individual exposures exceeding 100 millirem is less than or equal to the control level of 10, without an increase in workload

Outstanding Qualify for Excellent, plus the average individual positive dose is less than the control level of 50 millirem, without an increase in workload.

1.2.b Radiation Protection of the Public and the Environment

Public radiation doses to the maximally exposed individual (member of the public) and radiological emissions to the environment, from all Lab operations, will be managed to assure that all applicable regulatory limits are not exceeded, and that radiological dose is as low as reasonably achievable.

(Weight = 7.5%)

Assumptions

Any actual or anticipated significant change in workloads during the period for which the dose is calculated that would affect radiation dose (interpreted to be an increase or decrease of 0.1 mrem/yr or more) will be brought to the attention of UC and DOE, and appropriate adjustments in the performance measure will be made.

Outcome Measure reports demonstrate how results are used to drive improvement or maintain current best management practices.

Radiological emissions to the environment are defined as air emissions and sanitary sewer discharges.

For the sanitary sewer discharge component of radiological emissions, only discharges of tritium will be reported and compared to the regulatory limit, since discharges of other radionuclides are relatively small.

To achieve a good, excellent, or outstanding gradient, LBNL will demonstrate to DOE, through operational awareness activities, that all reasonable efforts have been made to minimize dose and emissions to ALARA levels, and DOE will document its agreement.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Appendix F - Objective Standards of Performance

Marginal	Some effort is demonstrated, however results fall short of the expectations for the Good gradient.
Good	Radiation dose to the maximally exposed individual (member of the public) is greater than 4% and less than or equal to 10% of applicable regulatory limits. Radiological emissions to the environment are greater than 10% and less or equal to 20% of applicable regulatory limits.
Excellent	Radiation dose to the maximally exposed individual (member of the public) is less than or equal to 4% of applicable regulatory limits. Radiological emissions to the environment are less than or equal to 10% of applicable regulatory limits.
Outstanding	Radiation dose to the maximally exposed individual (member of the public) is less than or equal to 1% of applicable regulatory limits. Air emissions to the environment are less than or equal to 1% of applicable regulatory limits. Sewer discharges are less than or equal to 4% (0.2 Ci) of the applicable regulatory limit.

1.2.c Prevention of Unplanned Radiation Exposures

Unplanned radiation exposures and ORPS reportable occurrences of skin or personal clothing contamination are managed and minimized
(Weight = 7.5%)

Assumptions

For the purpose of this measure, unplanned radiation exposures are considered to be greater than 100 mrem. If the ORPS event is classified as an Unusual Occurrence, the weighting factor is increased by a factor of 1.5.
Some variability is expected which may not be indicative of a trend.
The number of individuals contaminated is counted.
Outcome Measure reports demonstrate how results are used to drive improvement or maintain current best management practices.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal	Some effort is demonstrated, however results fall short of the expectations for the Good gradient.
Good	The weighted number of contaminated individuals is more than 6.0 but less than or equal to 8.0.
Excellent	The weighted number of contaminated individuals is more than 4.0 but less than or equal to 6.0.
Outstanding	The weighted number of contaminated individuals is less than or equal to 4.0.

1.2.d Control of Radioactive Material

Radioactive material, including radioactive sources and contaminated articles, is not found outside of controlled areas.
(Weight = 7.5%)

Assumptions

Off-normal occurrences have a weighting factor of 1 and unusual occurrences have a weighting factor of 1.5.
Some variability is expected which may not be indicative of a trend.

Appendix F - Objective Standards of Performance

This measure is directed toward current management and control of radioactive materials.

Outcome Measure reports demonstrate how results are used to drive improvement or maintain current best management practices.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good The weighted number of occurrences is equal to 4.0.

Excellent The weighted number of occurrences is more than 2.0 but less than 4.0.

Outstanding The weighted number of occurrences is less than or equal to 2.0.

1.2.e Exposure to Chemical, Physical, and Biological Agents

Personal exposure measurements, and the appropriate corrective action to reduce the exposure potential for operations with high or medium potential hazards, and for substance-specific sampling (operations required by law to be sampled), are completed during the performance period.

(Weight = 7.5%)

Assumptions

Operations with "high or medium potential hazard" are determined by the LBNL Integrated Functional Appraisal process.

An exposure measurement shall be defined as "one or more samples associated with an operation that gives a value which can be compared with an Occupational Exposure Limit."

Exposure measurements will be corrected by the protection factor of the personal protective equipment in use.

When an exposure measurement is not possible, a qualitative assessment which determines the probable exposure (comparison to Occupational Exposure Limit) and level of risk (high, medium, or low as defined by the LBNL Integrated Functional Analysis process) shall be documented.

An operation is an activity comprised of one or more tasks performed at a single location that generates a hazard(s). "Hazard" includes all stressors associated with an operation; i.e., noise, lead, etc. Note: Any significant process changes constitute a new operation.

An exceedance is one or more high results (measurements above the current tiered approach of Action Level, TLV, and then PEL) associated with an operation. When no standard has been developed for an agent, another published occupational health standard will be agreed upon and utilized.

Action Level is defined as one-half of the 8-hour TWA, STEL, and CEILING limits for OSHA PELs and ACGIH TLVs, unless a different action level is specified by OSHA.

Types of measurements to be considered are: chemicals, gases, particulates, fibers, biological agents, physical agents such as noise, magnetic fields, non-ionizing radiation, and thermal stress. Note: bulk samples, swipe samples, drinking water samples, and indoor air quality measurements are not to be included.

Exposure measurements that result in an "exceedance", along with the corrective action taken, will be discussed in the Appendix F Quarterly Report.

Per OSHA definition, the Laboratory Standard (29 CFR 1910.1450) supercedes substance-specific sampling standards for laboratory operations. Therefore, only non-lab activities, such as shops and crafts, are subject to the substance-specific standards referenced in 29 CFR 1910.1001-1052.

Appendix F - Objective Standards of Performance

Outcome Measure reports demonstrate how results are used to drive improvement or maintain current best management practices.

The severity of events is to be considered in the evaluation. Higher severity events include (but are not limited to): imminent danger situations [as defined by the Occupational Safety and Health Administration (OSHA)], worker exposures above OSHA Permissible Exposure Limits, biological exposures above the OSHA medical removal levels, and substantial property damage or personal injury due to fire. Performance will consider all aspects of the program that enhance and promote program objectives and overall compliance.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good A list of operations with "high" or "medium" potential hazards is prepared by October 31, 2001. This list is developed from all Integrated Functional Appraisals conducted during FY01.

A list, specific to LBNL operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 2001.

All "substance-specific" exposure measurements are completed as required by 29 CFR 1910 during the contract period.

IH exposure measurements (and corrective action) are completed for 90% of operations with "high" potential hazards.

IH exposure measurements (and corrective action) are completed for 80% of operations with "medium" potential hazards.

Excellent IH exposure measurements (and corrective action) are completed for 95% of operations with "high" potential hazards.

IH exposure measurements (and corrective action) are completed for 90% of operations with "medium" potential hazards.

Outstanding IH exposure measurements (and corrective action) are completed for 100% of operations with "high" potential hazards.

IH exposure measurements (and corrective action) are completed for 100% of operations with "medium" potential hazards.

The results of the completed sampling plan/yearly monitoring (for both Integrated Functional Appraisal sampling and substance-specific sampling) are used to update the Integrated Functional Appraisal hazard assessments and the Substance-specific Annual Sampling Plan.

1.2.f Accident Prevention

The baseline period for comparison is CY 1997 data. The Lab's Severity and frequency (defined as Lost Workday Case Rate (LWC) and Total Recordable Case Rate (TRC) respectively) of accidents during the performance period will be compared to the baseline period. The number of Bureau of Labor Statistics reportable occurrences of these accidents will be tracked. A downward trend is expected as compared to the baseline year. The overall performance rating for this measure will factor in LWC and TRC rates and other accident prevention information identified below.

(Weight = 7.5%)

Appendix F - Objective Standards of Performance

Assumptions

Laboratory statistics will be collected for the baseline for all Lab incidents including subcontractors as reported to CAIRS.

For FY 2002 and future years, baseline assumptions will be reviewed and if appropriate updated by mutual agreement of the local DOE office and the Laboratory.

Subcontractor operations/personnel are included for all subcontractors whose injury data are reported to CAIRS. Subcontractors are excluded if they are "servicing" the Laboratory (e.g., copy machine vendors or other transient workers).

The Lab's 5 year goal for reduction of LWC and TRC is derived from industry best in class Benchmarking Study completed in 1998 and in agreement with DOE.

Consideration will be given to the Lab's rank for LWC and TRC within the best in class peer group.

Establishment and reporting of upper and lower control limits to determine the significance of accident rate variation (caused variation vs. random variation) will be examined.

Consideration will be given if any targeted/focused accident prevention program to a sub-population within the Lab demonstrates effective intervention and/or improvement in the combined LWC and TRC score.

Consideration will be given upon demonstration of quantifiable return of investment (ROI) from implementation of accident prevention program initiatives.

Consideration will be given to the rate of annual rate of reduction for LWC and TRC using best in class as the benchmark and 1997 as the baseline year.

Overall rating of accident performance should be weighted towards higher recognition and credit for managing and reducing severity (LWC) of DOE recordable cases, due to LBNL's efforts to develop and implement multiple accident prevention initiatives early in the performance contract period. Therefore, the LWC has a weighting factor of 2 to 1 in comparison to the TRC.

If the DOE CAIRS reporting system changes during the performance year, data reported under the new system will be used to after the effective date of the change. If the changes in the CAIRS system have an inequitable impact on this measure, the measure will be renegotiated at that time.

Progress toward reduction goals is evaluated using the following scoring system:

Performance Year FY2002:

TRC between 3.00 and 2.32 = 1 point
TRC between 2.32 and 1.72 = 2 points
TRC below 1.72 = 3 points

LWC between 1.54 and 1.14 = 2 points
LWC between 1.14 and 0.74 = 4 points
LWC below 0.74 = 6 points

Performance Year FY 2003:

TRC between 3.00 and 2.25 = 1 point
TRC between 2.25 and 1.50 = 2 points
TRC below 1.50 = 3 points

Appendix F - Objective Standards of Performance

LWC between 1.50 and 1.00 = 2 points

LWC between 1.0 and 0.50 = 4 points

LWC below 0.50 = 6 points

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good Performance for LWC and TRC is scored and then summed. The sum for this gradient is 2 to 4 points, with consideration for demonstrated achievements identified within the list of assumptions.

Excellent Performance for LWC and TRC is scored and then summed. The sum for this gradient is 5 to 7 points, with consideration for demonstrated achievements identified within the list of assumptions.

Outstanding Performance for LWC and TRC is scored and then summed. The sum for this gradient is 8 or more points, with consideration for demonstrated achievements identified within the list of assumptions.

1.2.g Tracking Environmental Incidents

The number of environmental incidents will be measured. Environmental incidents include:

- violations resulting from regulatory inspections or regulatory reporting
- reportable occurrences of environmental releases exceeding regulatory or permitted levels established by Federal, State or Local agencies (authorized by Federal or State agencies to implement Federal or State environmental statutes).

(Weight = 7.5%)

Assumptions

Audit is defined as an external review of a program that results in a formal report to the Laboratory, with any findings tracked by the appropriate organizational group (e.g., LBNL-OAA).

Environmental releases or excursions that remain within compliance limits will not be counted as incidents by this measure.

The Laboratory has the option to apply a weighting factor to each incident, depending on its severity and magnitude. All environmental incidents that are serious will be given a weighing factor of 1, on a scale of 0 to 1. A release or violation is considered serious unless an alternate weighting factor is proposed by Berkeley Lab. The Laboratory and DOE technical counterparts will jointly agree upon the assignment of an appropriate weighting factor for non-serious releases.

Percent increase is based upon comparisons made to the average of the 3 previous years.

When the number of incidents is less than or equal to 3, scoring will be based solely on this number.

Outcome Measure reports demonstrate how results are used to drive improvement or maintain current best management practices

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated, however results fall short of the expectations for the Good gradient.

Good More than 3 incidents and an increase in incidents by less than or equal to 50%

Excellent More than 1 and less than or equal to 3 incidents

Appendix F - Objective Standards of Performance

Outstanding 1 incident or less.

1.2.h Waste Reduction and Recycling

The Laboratory continues to progress towards meeting the DOE's pollution prevention goals for the year 2005.

(Weight = 7.5%)

Assumptions

By the year 2005, reduce sanitary, hazardous, low-level radioactive, and low-level mixed waste generation from routine operations by the following amounts, using 1993 as a baseline. The performance period is the DOE fiscal year (October 1-September 30).

Reduce sanitary waste by 67%. Parameter measured is routine sanitary waste sent to landfill (total minus recycled amount). Measured generation rate is adjusted annually for changes in the total LBNL operating budget. Includes low-level radioactive waste reclassified to sanitary waste after decay in place.

Reduce hazardous waste by 75%. Parameter measured is routine hazardous waste (RCRA and non-RCRA) shipped off site, regardless of destination. Includes secondary hazardous waste from decay in place of mixed waste or combined waste. Does not include TSCA, site restoration, site renovation, or other one-time wastes. Generation rates are adjusted annually for changes in the operating budgets of divisions or departments that generate routine hazardous waste.

Reduce low-level radioactive waste by 75%. Parameter measured is waste volumes/weights entering the HWHF, based on Shoebox reports. Excludes waste reclassified to sanitary after decay in place. Includes secondary radioactive waste from successful treatment of the hazardous constituents of low-level mixed wastes. Generation rates are adjusted annually for changes in the operating budgets of divisions or departments that generate routine low-level radioactive waste.

Reduce low-level mixed waste by 75%. Parameter measured is waste volumes/weights entering the HWHF, based on Shoebox reports. Excludes waste reclassified to hazardous after decay in place and waste reclassified to radioactive or combined after successful treatment to remove RCRA hazardous constituents. Generation rates are adjusted annually for changes in the operating budgets of divisions or departments that generate routine low-level mixed waste.

When a calendar year 2005 goal is met for any waste type, the new goal will be continuous improvement for that waste type.

Performance points will be awarded in the same fashion as for the FY1993-2000 Performance Measure, as shown in the charts below.

Outcome Measure reports demonstrate how results are used to drive improvement or maintain current best management practices.

Appendix F - Objective Standards of Performance

Progress toward reduction goals are evaluated by either using the following charts or progress on an agreed-to "waste type" reduction plan:

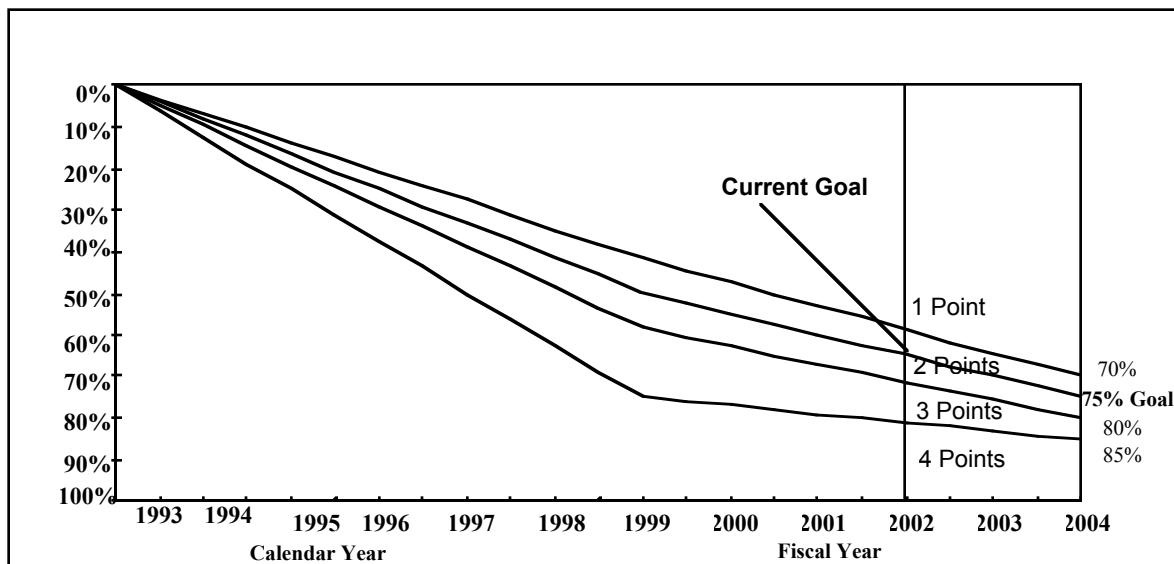


Figure 1. Chart to be used for routine hazardous, low-level radioactive, and low-level mixed waste reductions.

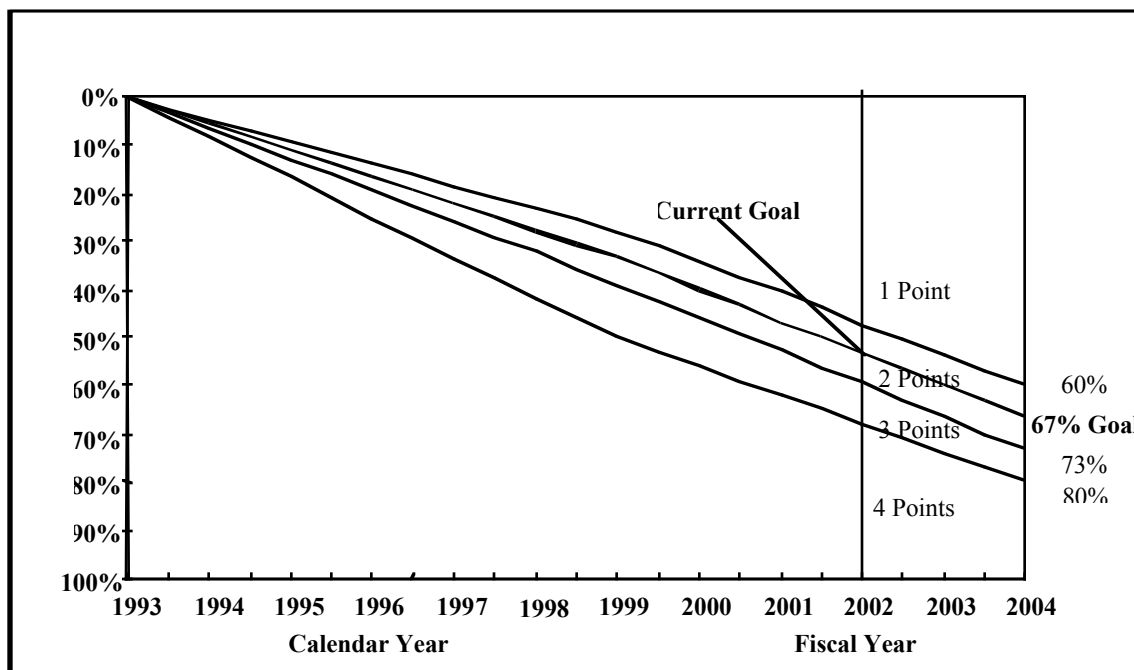


Figure 2. Chart to be used for routine sanitary waste reduction.

Appendix F - Objective Standards of Performance

Gradients

Unsatisfactory	Little or no effort has been demonstrated towards achievement of the performance measure.
Marginal	Some effort is demonstrated, however results fall short of the expectations for the Good gradient.
Good	A reduction in generation of each waste type is calculated and scored (1 to 4 points) then summed. The sum for the four waste types is 7, 8 or 9 points.
Excellent	A reduction in generation of each waste type is calculated and scored (1 to 4 points) then summed. The sum for the four waste types is greater than 9 points but less than 12.
Outstanding	A reduction in generation of each waste type is calculated and scored (1 to 4 points) then summed. The sum for the four waste types is equal to or greater than 12 points and less than 16. An annual increase in the types and amounts of wastes and materials recycled and/or reused onsite or offsite (after adjustment for source reduction).

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Section C - Performance Objectives, Criteria And Measures

3 Project/Facilities and Construction Management

The University of California, in partnership with the Department of Energy, shall plan, acquire, operate, maintain, lease, and dispose of physical assets as valuable national resources. The management of physical assets from acquisition through operations and disposition shall be an integrated and seamless process linking the various life cycle phases. Stewardship of these physical assets during all phases of their life cycle shall be accomplished in a safe and cost-effective manner to meet the DOE mission and to ensure protection of workers, the public and the environment. This management of physical assets shall incorporate industry standards, a graded approach and these performance objectives.

General Note: Plans, lists and milestones will be made a matter of record in the first month of the fiscal year. These plans, lists and milestones may be revised during the year by mutual agreement between the Laboratory and DOE Facility Functional Managers.

Performance Objective

1.0 Real Property Management

The Laboratory will effectively manage Real Property.

(Weight = 5%)

Criterion

1.1 Real Property Management

Real property is effectively managed consistent with mission, requirements, and DOE direction.

(Weight = 5%)

Performance Measure

1.1.a Program Implementation

Number of completed milestones/milestones scheduled for completion.

(Weight = 5%)

Assumptions

Intent is to measure the effectiveness, completeness, and timeliness of implementation of Real Property management actions. Milestones will be established in partnership with DOE and made a matter of record. Milestones may be established for Facilities Information Management System completeness, office space utilization, substandard building space conversion, real property leases, etc.

Gradients

Unsatisfactory less than 0.60

Marginal 0.60

Good 0.70

Excellent 0.80

Outstanding 0.90

Appendix F - Objective Standards of Performance

Performance Objective

2.0 Physical Assets Planning

The Comprehensive Integrated Planning Process should reflect current and future Laboratory needs.

(Weight = 14%)

Criterion

2.1 Comprehensive Integrated Planning Process

The Laboratory develops, documents, and maintains a comprehensive integrated planning process that is aligned with DOE mission needs.

(Weight = 14%)

Performance Measure

2.1.a Effectiveness of Planning Process

Assess how the planning process is implemented to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs.

(Weight = 14%)

Assumptions

The Laboratory will work with DOE counterparts in a cooperative effort to continuously evaluate the effectiveness of the comprehensive integrated planning process through the development of Laboratory specific planning elements/milestones. Site specific planning elements/milestones will be made a matter of record.

Gradients

Unsatisfactory less than 0.60

Marginal 0.60

Good 0.70

Excellent 0.80

Outstanding 0.90

Performance Objective

3.0 Project Management

The Laboratory will complete construction projects within approved budgets, schedules and scopes.

(Weight = 33%)

Criterion

3.1 Construction Project Performance

Construction projects greater than \$500K (regardless of type of funds) achieve project performance objectives.

(Weight = 20%)

Performance Measure

3.1.a Work Performed

Number of Objectives completed/number of objectives planned for completion.

(Weight = 20%)

Appendix F - Objective Standards of Performance

Assumptions

The intent is to measure actual progress against that planned for the fiscal year and for the Laboratory to execute projects and cost project funds in a timely manner. An objective list for all active projects will be negotiated with DOE and made a matter of record. Only meaningful objectives will be listed, but each active project will have at least one objective per year. By mutual agreement between the Laboratory and DOE, objectives may be weighted for project significance, for project size/cost, for late/early completion, for improved/diminished scope, etc. Negotiated objectives are not to be interpreted as baseline change approval.

Gradients

Unsatisfactory	less than 0.70
Marginal	0.70
Good	0.80
Excellent	0.90
Outstanding	1.00

Criterion

3.2 Construction Project Cost

Line-Item projects (including any project \$5000K and over regardless of type of funds) meet cost baselines.
(Weight = 13%)

Performance Measure

3.2.a Total Estimated Cost (TEC)

Estimated cost at completion for all active projects/performance measure baseline TEC for all active projects.
(Weight = 13%)

Assumptions

The intent is to measure Laboratory performance in executing projects within the approved TEC The performance measure baseline is the original approved baseline adjusted informally for allowed cost or work scope changes. The performance measure baseline may differ from the DOE formally approved baseline. DOE determines whether changes are allowed in the performance measure baseline. The method of calculating estimated cost at completion, including or excluding contingency, will be made a matter of record. Contingency and cost reductions will be reflected in the estimated cost at completion. The estimated cost at completion used for this performance measure will be determined by the Laboratory and confirmed by DOE. Disposition of pending Baseline Change Proposals, for the purposes of this measure, will be made by mutual agreement. By mutual agreement, projects may be weighted for significance.

Gradients

Unsatisfactory	greater than 1.01
Marginal	1.01
Good	1.00
Excellent	0.99 or current year and two preceding years at 1.00 or better
Outstanding	0.98 or current year and three preceding years at 1.00 or better

Appendix F - Objective Standards of Performance

Performance Objective

4.0 Maintenance

The Laboratory will maintain capital assets to ensure reliable operations in a safe and cost-effective manner.
(Weight = 33%)

Criterion

4.1 Facility Management

Facility operations and maintenance are effectively managed consistent with mission, risks, and costs.
(Weight = 13%)

Performance Measure

4.1.a Program Implementation

Sum of completion percentages for all milestones worked/milestones scheduled for completion.
(Weight = 13%)

Assumptions

Intent is to measure the effectiveness and timeliness of the Laboratory's facility maintenance program. A list of mutually agreed milestones will be made a matter of record. For multiple-facility milestones, completion percentage will be an average of the completion percentages for each facility included in the milestone. If no milestones are selected for the fiscal year, the weight of Performance Measure 4.1.a will be added to Performance Measure 4.2.a.

Gradients

Unsatisfactory	less than 60%
Marginal	60%
Good	70%
Excellent	80%
Outstanding	90%

Criterion

4.2 Maintenance Program

The facility maintenance program is effectively managed and performed.
(Weight = 20%)

Performance Measure

4.2.a Maintenance Index

Performance index based on selected Maintenance Performance Indicators.
(Weight = 20%)

Assumption

A composite index will be calculated using a weighted average for selected performance indicators. The list of performance indicators, and the calculation algorithm will be made a matter of record. Performance gradient calculations will consider Best-in-Class for comparable Energy Facility Contractors Group (EFCOG) benchmarking participants and the EFCOG average for comparable activities/sites.

Appendix F - Objective Standards of Performance

Gradients

Unsatisfactory	less than 0.60
Marginal	0.60
Good	0.70
Excellent	0.80
Outstanding	0.90

Performance Objective

5.0 Utilities/Energy Conservation

The Laboratory will maintain a reliable utility system and conserve energy.
(Weight = 15%)

Criterion

5.1 Reliable Utility Service

Maintain reliable utility service.
(Weight = 8%)

Performance Measure

5.1.a Electric Service

Total number of customer hours of electric service less the number of customer hours of unplanned outages/total customer hours.
(Weight = 8%)

Assumption

Unplanned outages that are caused by occurrences outside the boundary of the Laboratory's utility system may be excluded. A 12-month running average will be reported.

Gradients

Unsatisfactory	less than 99.974%
Marginal	99.974%
Good	99.982%
Excellent	99.990%
Outstanding	99.995%

Criterion

5.2 Energy Consumption

Effectively manage energy usage.
(Weight = 2%)

Performance Measure

5.2.a Building Energy

The reduction in energy usage from FY90 levels in BTUs per gross square feet of building expressed as a percent of FY90 energy usage.
(Weight = 2%)

Appendix F - Objective Standards of Performance

Assumption

Current year reduction goals interpolated from the DOE goal of a 20% reduction from FY90 levels by FY2005. Utility loads associated with experimental or industrial processes may be excluded from this measure by mutual agreement.

Gradients

Unsatisfactory	less than 14.7%
Marginal	14.7%
Good	16.0%
Excellent	17.3%
Outstanding	18.7%

Criterion

5.3 Energy Management

Energy initiatives are managed consistent with a comprehensive energy management plan.
(Weight = 5%)

Performance Measure

5.3.a Energy Goals

Energy goals accomplished/goals scheduled to be accomplished in accordance with the plan.
(Weight = 5%)

Assumption

The energy management plan will be made a matter of record.

Gradients

Unsatisfactory	less than 0.60
Marginal	0.60
Good	0.70
Excellent	0.80
Outstanding	0.90

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Section C - Performance Objectives, Criteria And Measures

4 Financial Management

Lawrence Berkeley National Laboratory (LBNL) will pilot the Financial Management Performance Assessment Plan (FMPAM) for Fiscal Year 2002. The Financial Management organization will finalize its final assessment plan with DOE and UC by October 1, 2001. This plan will cover performance thresholds, performance ranges, specific scoring criteria, and frequency of reporting.

In this Model, points are used to determine the score for each activity. Weights and the corresponding points are shown below at the Objective, Criteria, and Performance Measure Levels. Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity. The final rating will be based on the total activity points earned. The rating percentage will be calculated as a ratio of total points earned to total points possible (where a total weight of 100% is equal to 1,000 points).

General Note Regarding Gradients

All performance measures are rated as composites of numerous sub-measures described in the protocol document. Points are earned for each submeasure. The submeasure points earned are totaled for each associated performance measure. The resulting performance measure score will be calculated as a percentage of total points possible. The following table illustrates the appropriate adjectival rating associated with percentage of points earned.

<u>Percent of Points Earned</u>	<u>Rating</u>
90-100%	Outstanding
80-89%	Excellent
70-79%	Good
60-69%	Marginal
59% or less	Unsatisfactory

Performance Objective

1.0 Effective Accounting Practices

The Controller's Organization shall ensure the accounting practices are effective, efficient, and according to generally accepted standards and principles.

(Weight = 12% / Total Points = 120)

Criterion

1.1 Cash Management

The Controller's Organization shall have effective processes to disburse and collect government funds.

(Weight = 2% / Total Points = 20)

Performance Measures

1.1.a Effectiveness of Disbursements

The improvement trends for payment processes to vendors and employees will be measured.

(Weight = 1% / Total Points = 10)

Appendix F - Objective Standards of Performance

1.1.b Effectiveness of Collections

The improvement trends for collection of accounts receivable will be measured.

(Weight = 1% / Total Points = 10)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Criterion

1.2 Account Management

Ensure that the Controller's Organization effectively manages high risk accounts.

(Weight = 8% / Total Points = 80)

1.2.a Work For Others (WFO) Accounts - Use of UC Bridge Funding

The Controller's Organization shall demonstrate effective management of UC financing of WFO.

(Weight = 2.4% / Total Points = 24)

1.2.b High Risk Account Reconciliations

The Controller's Organization shall demonstrate effective accounting processes/results for high-risk account reconciliations.

(Weight = 3.2% / Total Points = 32)

1.2.c Asset Management

The Controller's Organization shall demonstrate effective accounting processes/results for asset management.

(Weight = 2.4% / Total Points = 24)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each.

Criterion

1.3 Cost Effective

Cycle times and/or costs of identified accounting processes shall be reduced.

(Weight = 2% / Total Points = 20)

Performance Measure

1.3.a Demonstrated Cost Effectiveness of Accounting Processes

Improvement trends for identified accounting processes shall be evaluated.

(Weight = 2% / Total Points = 20)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Performance Objective

2.0 Financial Stewardship

The Controller's Organization practices provide for financial stewardship, including compliance, data integrity and reporting.

(Weight = 30% / Total Points = 300)

Criterion

2.1 Financial Compliance

The Controller's Organization shall demonstrate stewardship and compliance with DOE and federal accounting standards and policies.

(Weight = 15% / Total Points = 150)

Performance Measures

2.1.a Audit Results and Resolution

The Controller's Organization will be measured on the audit results and resolution of audit findings.

(Weight = 1.8% / Total Points = 18)

2.1.b Internal Controls and Compliance on Subject Areas

The Controller's Organization will be measured on the adequacy of their internal controls environment.

(Weight = 3.6% / Total Points = 36)

2.1.c Cost Accounting Practices

The Controller's Organization compliance with Cost Accounting Standards will be measured.

Weight = 4.8% / Total Points = 48)

2.1.d Accuracy of DOE Financial Statements

Demonstrate effective accounting processes/results for accuracy of DOE financial statements.

(Weight = 4.8% / Total Points = 48)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Criterion

2.2 Financial Reporting

The Controller's Organization will demonstrate effective reporting of financial information.

(Weight = 10% / Total Points = 100)

Performance Measures

2.2.a Internal Financial Management Reporting

The Controller's Organization will be measured on the reporting of financial information to internal customers.

(Weight = 3.6% / Total Points = 36)

2.2.b DOE and Other External Laboratory Reporting

The Controller's Organization will be measured on the reporting of financial information to DOE and other external customers.

(Weight = 6.4% / Total Points = 64)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Criterion

2.3 Standards and Principles

The Controller's Organization shall have documented, effective internal controls and policies and procedures.

(Weight = 5% / Total Points = 50)

Appendix F - Objective Standards of Performance

2.3.a Financial Controls

The Controller's Organization shall demonstrate the effectiveness of internal controls in primary accounting processes as identified with DOE.

(Weight = 3% / Total Points = 30)

2.3.b Financial Policies and Procedures

The consistency, accuracy, completeness, and currency of financial policies and procedures will be measured.

(Weight = 2% / Total Points = 20)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Performance Objective

3.0 External Budget Products and Services

The Controller's Organization provides quality and appropriate budget formulation and execution products and services to external customers in support of their financial management systems, policies, and procedures.

(Weight = 20% / Total Points = 200)

Criterion

3.1 Budget Formulation and Validation

The Controller's Organization shall provide budget formulation and validation products and services that facilitate effective financial management and stewardship of resources.

(Weight = 5% / Total Points = 50)

Performance Measures

3.1.a DOE Budget Submission and Validation

The Laboratory's DOE budget submission and validation activities will be measured for proactiveness, timeliness, accuracy, completeness, and customer satisfaction.

(Weight = 5% / Total Points = 50)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Criterion

3.2 Budget Execution and Cost Management

The Controller's Organization shall provide budget execution products and services that facilitate effective financial management and stewardship of resources.

(Weight = 15% / Total Points = 150)

Performance Measures

3.2.a Control of Funds

The Laboratory's costs and commitments are controlled within established limits.

(Weight = 9% / Total Points = 90)

3.2.b Reports, Submissions, and Requests

The Controller's Organization's reporting of budget execution and cost management to DOE will be measured.

(Weight = 6% / Total Points = 60)

Basis for Rating

Appendix F - Objective Standards of Performance

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Performance Objective

4.0 Effective Decision Support

The Controller's Organization provides appropriate business information and intelligence, expertise, analysis, and reports that enable effective internal and external decision making processes and outcomes.

(Weight = 18% / Total Points = 180)

Criterion

4.1 Internal Planning, Reporting, and Analyses

The Controller's Organization shall provide effective planning, reporting, and analytical decision support to its internal customers.

(Weight = 18% / Total Points = 180)

Performance Measures

4.1.a Cost Plan Development

The Controller's Organization Cost Plan development activities will be measured.

(Weight = 9% / Total Points = 90)

4.1.b Institutional Distributed/Indirect Budget and Rate Management

The Controller's Organization institutional distributed/indirect budget and rate management activities will be measured.

(Weight = 9% / Total Points = 90)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Performance Objective

5.0 Effective Financial Management Systems

The Controller's Organization will provide proactive leadership in improving financial information systems and decision support tools, in support of DOE and Laboratory initiatives.

(Weight = 10% / Total Points = 100)

Criterion

5.1 Effective Internal Systems

The Controller's Organization will provide proactive leadership in improving financial information systems and decision support tools.

(Weight = 5% / Total Points = 50)

Performance Measure

5.1.a Evolving to Meet Technology Advances

The Controller's Organization will demonstrate the effectiveness of the Laboratory's financial information systems and decision support tools in support of internal customer's needs.

(Weight = 5% / Total Point = 50)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Criterion

5.2 Support for DOE Initiatives

The Controller's Organization shall provide support to DOE initiatives related to relevant DOE Councils and major financial information systems.

(Weight = 5% / Total Points = 50)

Performance Measure

5.2.a Effectiveness of Support of DOE Initiatives

The Controller's Organization shall demonstrate the effectiveness of the Laboratory's support to DOE management and information systems initiatives.

(Weight = 5% / Total Points = 50)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges , and point value for each activity.

Performance Objective

6.0 Organizational Vitality

The Controller's Organization shall manage the organization in a manner that ensures effective results and the work force is qualified and effective.

(Weight = 10% / Total Points = 100)

Criterion

6.1 Organizational Management

The Controller's Organization shall develop and maintain an effective Organization Management structure in support of Laboratory and DOE requirements.

(Weight = 5% / Total Points = 50)

Performance Measure

6.1.a Organization Management

The effectiveness of the Controller's Organization and processes shall be evaluated.

(Weight = 5% / Total Points = 50)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

Criterion

6.2 Work Force Development

The Controller's Organization shall develop and maintain an effective work force.

(Weight = 5% / Total Points = 50)

Performance Measure

6.2.a Controller's Organization Work Force Management

The effectiveness of the Controller's Organization work force and the ability to address work force expectations shall be evaluated.

(Weight = 3.6% / Total Points = 36)

Appendix F - Objective Standards of Performance

Performance Measure

6.2.b Laboratory Work Force Management

The effectiveness of the Controller's Organization in educating the Laboratory work force and the ability to address Laboratory work force expectations related to Finance shall be evaluated.

(Weight = 1.4% / Total Points = 14)

Basis for Rating

Exhibit I summarizes the activities to be measured, performance ranges, and point value for each activity.

EXHIBIT I
LBNL FINANCIAL MANAGEMENT
FY 2002 SUB-MEASURES

Note: Gauge gradients are scored based on results during the assessment year. A percentage of points, from 100% to 50%, are earned based upon these results. Below a certain performance level, zero points are earned. The summary gauge gradients below show the performance levels to earn 0%, 50%, 60%, 70%, 80%, and 90% of points.

MEASURE	ACTIVITY	GRADIENTS	POINT VALUE
1.1.a	Effectiveness of Disbursements		10
1.1.a.1	Discounts taken monthly and cumulative. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≤54.40/54.41/63.51/72.61/81.71/≥90.81	2
1.1.a.2	Vendor payments made on time. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≤59.99/60.00/68.00/76.00/84.00/≥92.00	2
1.1.a.3	% of payments made by Electronic Funds Transfer (EFT). (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≤13.49/13.50/16.00/18.50/21.00/≥23.50	2
1.1.a.4	% of employees using electronic payroll deposit. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≤66.89/66.90/71.90/76.90/81.90/≥86.90	2
1.1.a.5	Customer satisfaction results.	Meets/Does Not Meet	2
1.1.b	Effectiveness of Collections		10
1.1.b.1	Effective receivables process. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (Days)</i> ≥15.01/15.00/12.50/10.00/7.50/≤5.00	2
1.1.b.2	No delinquent non-federal receivables (>160 days).	Meets/Does Not Meet	4
1.1.b.3	No delinquent federal receivables (>160 days).	Meets/Does Not Meet	4
1.2.a	Work For Others (WFO) Accounts – Use of UC Bridge Funding		24
1.2.a.1	Average duration of projects using UC bridge funding. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (Months)</i> ≥9.10/9.09/8.09/7.09/6.09/≤5.09	8

MEASURE	ACTIVITY	GRADIENTS	POINT VALUE
1.2.a.2	Average % of UC bridge funding to total WFO invoicing. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≥2.26/2.25/2.05/1.85/1.65/≤1.45	8
1.2.a.3	The Laboratory provides UC with timely information on UC bridge funding.	Meets/Does Not Meet	4
1.2.a.4	The Laboratory provides DOE-OAK with timely information on UC bridge funding.	Meets/Does Not Meet	4
1.2.b	High Risk Account Reconciliations		3 2
1.2.b.1	Payroll bank account is reconciled within 20 workdays after receipt of the Account Reconciliation Report from the bank.	Meets/Does Not Meet	8
1.2.b.2	Payroll bank account - Controllable reconciling items over 60 days old will not exceed 25% of the total controllable reconciling items. The 60-day time period will begin from the date that the reconciliation is completed.	Meets/Does Not Meet	8
1.2.b.3	Vendor bank account is reconciled within 20 workdays after receipt of the Account Reconciliation Report from the bank.	Meets/Does Not Meet	8
1.2.b.4	Vendor bank account - Controllable reconciling items over 60 days old will not exceed 25% of the total reconciling items. The 60-day time period will begin from the date that the reconciliation is completed.	Meets/Does Not Meet	8
1.2.c	Asset Management		2 4
1.2.c.1	Capitalization of all completed capital construction projects no later than the next monthly accounting period after beneficial occupancy.	Meets/Does Not Meet	8
1.2.c.2	Review all funding determination requests (GPE & GPP) within 15 workdays.	Meets/Does Not Meet	8
1.2.c.3	Customer satisfaction results.	Meets/Does Not Meet	8
1.3.a	Demonstrated Cost Effectiveness of Accounting Processes		2 0
1.3.a.1	Accounts Payable - Costs as % of total procurement/receiving/payables process. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≥20.51//20.50/18.00/15.50/13.00/≤10.50	4
1.3.a.2	Payroll - Cost per employee (W2). (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (\$)</i> ≥62.56/62.55/57.35/52.15/46.95/≤41.75	3

Appendix F - Objective Standards of Performance

MEASURE	ACTIVITY	GRADIENTS	POINT VALUE
1.3.a.3	Accounts Receivable - Cost as % of Laboratory WFO revenue. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≥0.475/0.474/0.444/0.414/0.384/≤0.354	3
1.3.a.4	Travel - Unit cost per claim processed. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (\$)</i> ≥33.56/33.55/30.35/27.15/23.95/≤20.75	3
1.3.a.5	Travel – Average number of days to process claims. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (Days)</i> ≥7.75/7.74/6.24/4.74/3.24/≤1.74	3
1.3.a.6	Controller accounting process costs compared to total Laboratory indirect budget (i.e., general, procurement, and facilities use). (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≥3.76/3.75/3.55/3.35/3.15/≤2.95	4
2.1.a	Audit Results and Resolution		18
2.1.a.1	Appropriate targeting and resolution of findings. (Appropriate target dates were set for all audit findings. Points are assigned based on percentage of target resolution dates that were met.)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90/100 <i>Performance Level</i> <i>(% Target Resolution Dates Met)</i> ≤49/50/60/70/80/90/100	18
2.1.b	Internal Controls and Compliance on Subject Areas		36
2.1.b.1	Self-assessment reports and related documentation, as determined in conjunction with DOE-OAK. (DOE-OAK will determine if self-assessment reports and related documentation were complete.)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90/100 <i>Performance Level</i> <i>(% of Self-Assessment Reports and Related Documentation Requiring Additional Information)</i> ≥51/50/40/30/20/10/0	18
2.1.b.2	Appropriate targeting and resolution of self-assessment findings. (DOE-OAK will determine if appropriate target dates were set and met for all self-assessment findings.)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90/100 <i>Performance Level</i> <i>(% of Target Resolution Dates Not Met)</i> ≥51/50/40/30/20/10/0	18

MEASURE	ACTIVITY	GRADIENTS	POINT VALUE
2.1.c	Cost Accounting Practices		48
2.1.c.1	Indirect rate submissions are timely, accurate, complete, and in conformance with Cost Accounting Standards (CAS), as determined by DOE-OAK.	Meets/Does Not Meet	12
2.1.c.2	CAS change proposal submissions are timely, accurate, complete, and in conformance with the agreed upon requirements as determined by DOE-OAK.	Meets/Does Not Meet	12
2.1.c.3	CAS Disclosure Statement is current, accurate, and complete and in conformance with the agreed upon requirements as determined by DOE-OAK.	Meets/Does Not Meet	12
2.1.c.4	Internal customer information distribution process is in place. Information is distributed to customers on timely basis (i.e., within 10 workdays after notification of DOE approval).	Meets/Does Not Meet	12
2.1.d	Accuracy of DOE Financial Statements		48
2.1.d.1	DOE balance sheet codes reconciliations.	95% = Meets	16
2.1.d.2	The Laboratory is free of material GMRA audit findings.	Meets/Does Not Meet	16
2.1.d.3	Financial Statement reports address the information requirements specified in the appropriate Federal Accounting Standard and/or DOE guidance.	Meets/Does Not Meet	16
2.2.a	Internal Financial Management Reporting		36
2.2.a.1	Monthly and periodic financial management reports are accurate, complete and meet user needs	Meets/Does Not Meet	18
2.2.a.2	Monthly and periodic financial management reports are timely.	95% = Meets	18
2.2.b	DOE and Other External Laboratory Reporting		64
2.2.b.1	Timeliness of MARS transmission.	Meets/Does Not Meet	16
2.2.b.2	Monthly MARS transmissions pass DOE-OAK's local balancing and validation edits.	95% = Meets	16
2.2.b.3	MARS reporting requirement changes implemented as required by the DOE schedule (B&R recasts, OPI codes, etc.).	95% = Meets	16
2.2.b.4	Timeliness, accuracy and completeness of periodic and ad hoc DOE financial reports.	95% = Meets	16
2.3.a	Financial Controls		30
2.3.a.1	Licensing/Royalty collection and distribution.	Meets/Does Not Meet	10
2.3.a.2	WFO account management.	Meets/Does Not Meet	10
2.3.a.3	UCDRD account management.	Meets/Does Not Meet	10

MEASURE	ACTIVITY	GRADIENTS	POINT VALUE
2.3.b	Financial Policies and Procedures		20
2.3.b.1	Financial policies and procedures are accurate, consistent, complete, and current in areas assessed.	<i>Percentage of Points Earned</i> 0/50/60/70/80/90/100 <i>Performance Level</i> <i>(% of Financial Policies and Procedures Accurate, Consistent, Complete and Current)</i> ≤49/50/60/70/80/90/100	10
2.3.b.2	Financial policies and procedures are available to Laboratory organizations. Changes and/or updates are communicated in a timely manner (i.e., within 10 workdays of final publication).	Meets/Does Not Meet	10
3.1.a	DOE Budget Submission and Validation		50
3.1.a.1	Proactivity and customer satisfaction.	Meets/Does Not Meet	10
3.1.a.2	DOE field budget submission; timeliness, accuracy, and completeness.	Meets/Does Not Meet	20
3.1.a.3	DOE field budget estimates; timeliness, accuracy, and completeness.	Meets/Does Not Meet	20
3.2.a	Control of Funds		90
3.2.a.1	Laboratory costs are within cost control levels at the end of each monthly accounting period for DOE direct funding.	Three and one half points will be awarded for each month where there are no instances of costs exceeding available funds at the cost control level.	42
3.2.a.2	The sum of the Laboratory's DOE funded costs and commitments do not exceed available funds at the B&R Obligational Control Level (OCL) at year-end.	Meets/Does Not Meet	15
3.2.a.3	The Laboratory's Reimbursable WFO costs do not exceed available funds at the Reimbursable Work Order (RWO) Obligational Control Level (OCL) at year-end.	Meets/Does Not Meet	15
3.2.a.4	Laboratory Costs are within cost control levels for all DOE funding -throughout the year.	Nine additional points will be awarded at year-end if no instances of costs exceeding available funds at the cost control level occurred during the entire fiscal year.	9
3.2.a.5	Laboratory costs are within cost control levels for Reimbursable WFO funding throughout the year.	Nine additional points will be awarded at year-end if no instances of costs exceeding available funds at the cost control level occurred during the entire fiscal year.	9

Appendix F - Objective Standards of Performance

MEASURE	ACTIVITY	GRADIENTS	POINT VALUE
3.2.b	Reports, Submissions, and Requests		60
3.2.b.1	Functional Cost Report is timely, accurate, and complete as determined by DOE.	Meets/Does Not Meet	20
3.2.b.2	Uncosted Balance Reports are timely, accurate, and complete as determined by DOE.	Meets/Does Not Meet	20
3.2.b.3	Ad hoc and miscellaneous budget execution and cost management reports are timely, accurate, and complete as determined by DOE.	Meets/Does Not Meet	20
4.1.a	Cost Plan Development		90
4.1.a.1	Proactiveness.	Meets/Does Not Meet	15
4.1.a.2	Timeliness/frequency of updates.	Meets/Does Not Meet	25
4.1.a.3	Accuracy/completeness.	Meets/Does Not Meet	25
4.1.a.4	Monitoring systems in place.	Meets/Does Not Meet	25
4.1.b	Institutional Distributed/Indirect Budget and Rate Management		90
4.1.b.1	Proactiveness.	Meets/Does Not Meet	20
4.1.b.2	Timeliness.	Meets/Does Not Meet	25
4.1.b.3	Accuracy and completeness.	Meets/Does Not Meet	25
4.1.b.4	Customer satisfaction.	Meets/Does Not Meet	20
5.1.a	Evolving to Meet Technology Advances		50
5.1.a.1	Customer driven priorities.	Meets/Does Not Meet	8
5.1.a.2	Ease of use and accuracy of data.	Meets/Does Not Meet	6
5.1.a.3	Internal systems strategic planning.	Meets/Does Not Meet	6
5.1.a.4	Improvement of financial processes.	Meets/Does Not Meet	6
5.1.a.5	Commercial Off The Shelf (COTS) upgrades and implementations.	Meets/Does Not Meet	6
5.1.a.6	Software security effectiveness.	Meets/Does Not Meet	6
5.1.a.7	Effective use of Electronic Data Interchange (EDI) technology.	Meets/Does Not Meet	6
5.1.a.8	Timely use of current generation of technology.	Meets/Does Not Meet	6
5.2.a	Effectiveness of Support of DOE Initiatives		50
5.2.a.1	Support of Financial Management Systems Improvement Council (FMSIC).	Meets/Does Not Meet	6
5.2.a.2	Timeliness of Financial Management Systems (FMS) Plan submission.	Meets/Does Not Meet	8
5.2.a.3	DOE satisfaction with FMS Plan submission.	Meets/Does Not Meet	8
5.2.a.4	Support of Business Management Information System (BMIS).	Meets/Does Not Meet	8
5.2.a.5	Progress on long-term DOE systems initiatives.	Meets/Does Not Meet	8
5.2.a.6	Coordination of priorities with DOE.	Meets/Does Not Meet	6
5.2.a.7	DOE satisfaction with the Laboratory's support of DOE initiatives.	Meets/Does Not Meet	6

MEASURE	ACTIVITY	GRADIENTS	POINT VALUE
6.1.a	Organization Management		50
6.1.a.1	Controller's Organization cost trends. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≥1.59/1.58/1.38/1.20/1.00/≤0.80	8
6.1.a.2	Organization staffing trends. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≥1.98/1.97/1.77/1.57/1.37/≤1.17	8
6.1.a.3	Organization staffing mix. (Gauged Gradient)	<i>Percentage of Points Earned</i> 0/50/60/70/80/90 <i>Performance Level (%)</i> ≤23.99/24.00/34.00/44.00/54.00/≥64.00	8
6.1.a.4	Organization strategic plan is current and linked with Laboratory's.	Meets/Does Not Meet	6
6.1.a.5	Internal communication program.	Meets/Does Not Meet	6
6.1.a.6	Succession planning program.	Meets/Does Not Meet	4
6.1.a.7	Laboratory Management's satisfaction with Controller's Organization.	Meets/Does Not Meet	6
6.1.a.8	Performance management program.	Meets/Does Not Meet	4
6.2.a	Controller's Organization Work Force Management		36
6.2.a.1	Effective internal training provided. Organization meets established guidelines of an average of 20 hours per employee per year.	Meets/Does Not Meet	4
6.2.a.2	Cross-training systems exist.	Meets/Does Not Meet	4
6.2.a.3	Continuing education.	Meets/Does Not Meet	4
6.2.a.4	Employee satisfaction with training opportunities.	Meets/Does Not Meet	4
6.2.a.5	Employee recognition program.	Meets/Does Not Meet	4
6.2.a.6	Method for handling employee concerns.	Meets/Does Not Meet	4
6.2.a.7	Completion of performance appraisals and development plans.	Meets/Does Not Meet	4
6.2.a.8	ES&H program.	Meets/Does Not Meet	4
6.2.a.9	Effective work environment.	Meets/Does Not Meet	4
6.2.b	Laboratory Work Force Management		14
6.2.b.1	Financial training provided to the Laboratory.	Meets/Does Not Meet	6
6.2.b.2	Laboratory satisfaction with financial training.	Meets/Does Not Meet	4
6.2.b.3	External communications program.	Meets/Does Not Meet	4

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Section C - Performance Objectives, Criteria And Measures

5 Human Resources

Performance Objective

1.0 Effectiveness of HR Operations

Human resources programs, systems and processes support the Laboratory’s programmatic and business needs.
(Weight = 100%)

Criterion

1.1 Compensation Programs

Compensation programs support the objectives of the institution and are administered in a manner that takes into account market considerations and internal equity.
(Weight = 15%)

Performance Measure

1.1.a Cost Competitive Compensation

The Laboratory has a cost competitive compensation system which contributes to attracting and retaining a quality workforce.
(Weight = 15%)

Assumptions

Human Resources will continue the validation process begun in FY00. The process will continue by completing the mapover of targeted job families. (Note: Mapover is defined as the implementation of competitively priced, function specific salary structures, with all affected employees mapped from the current to the new pay structure. Components of function specific structures may include new or revised job titling and coding schemes, new or revised functional definitions and job leveling criteria, etc). If agreed to by senior management, HR will develop and execute a communications plan to educate affected workforces on these changes. Additionally, HR will initiate a process to identify and validate the competitiveness of remaining jobs or job families not already addressed as part of the initial validation process. (Note: This may include migration of certain S&E functional areas off the Davis curve.)

Gradients

Unsatisfactory Little or no effort has been demonstrated towards the achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the good gradient.

Good All mapovers for targeted job families validated in FY00 and FY01 are completed.

Excellent In addition to the good gradient, HR identifies and begins the process to validate the competitiveness of any remaining jobs or job families not already addressed as part of the initial validation process. HR, in collaboration with Division Management, executes a communication program in at least two functional areas.

Outstanding In addition to the excellent gradient, project plans or strategies are identified for new or improved programs, processes, or validation measures based on Laboratory needs. This may include, but not be limited to, validation of executive pay, developing a proposal for variable pay, migration of

certain S&E disciplines off the Davis Curve, obtaining and incorporating additional survey references, market tracking analyses, implementation of compensation software, etc.

Appendix F - Objective Standards of Performance

Criterion

1.2 Employment of Minorities and Women

Undertake good-faith recruitment efforts to improve the representation of minorities and/or women in the workforce.
(Weight = 10%)

Performance Measure

1.2.a Employment of Minorities and Women

An assessment of planning and implementation of good faith efforts designed to improve recruitment and selection of minorities and/or women in high priority underutilized job groups.
(Weight = 10%)

Assumptions

“High priority” underutilized groups will be selected at the beginning of the assessment period by each laboratory. The following factors may be utilized for the designation of “high priority” areas: underutilization levels, availability levels, projected placement opportunities and typical size and diversity of applicant pools.

The Laboratory will continue to implement the principles set forth in its General Plan for Targeted Recruitment. Also, the Laboratory will develop targeted recruitment plans for each high priority, underutilized group that are designed to enhance the Laboratory’s ability to recruit and select minorities and/or women in high priority, underutilized job groups.

Assessment Period: The assessment period for LBNL: for this Performance Measure will be July 1, 2001 through June 30, 2002. FY02 marks the transition of the assessment period from a fiscal year to a July to June timeframe. The quarterly analyses discussed in the outstanding gradient will be conducted for Q3 and Q4 during this transition year.

Targeting of High Priority Underutilized Groups: High priority underutilized groups for the Laboratory will be selected by the Laboratory no later than one month after availability data is available.

“Applicant” is defined as anyone who submits a resume and/or application that meets the minimum qualifications for any open high priority, underutilized position.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the Good gradient.

Good Targeted recruitment plans for each high priority, underutilized group(s) are developed.

Excellent Targeted recruitment plans were carried out substantially in the manner identified.

Outstanding In addition to Excellent gradient, the Laboratory will conduct quarterly analyses of applicant, offer, hire, and source data for the high priority underutilized job groups. The Laboratory will also conduct quarterly analyses of current representation vs. availability in conjunction with job openings. If applicable, the Laboratory will refine its targeted recruitment plans and/or high priority underutilized job groups.

Appendix F - Objective Standards of Performance

Criterion

1.3 HR Systems and Processes

Human resources systems and processes optimize the delivery of services with respect to quality and life-cycle costs.
(Weight = 15%)

Performance Measure

1.3.a Identify HR systems and/or processes for improvement and describe implementation results.
(Weight = 15%)

Assumptions

The laboratory will use a variety of approaches for identifying HR systems and processes for improvement. These approaches may include customer feedback, employee surveys, cost-benefit analysis, work flow analysis, process mapping and/or benchmarking, etc. The purpose of the measure is to improve existing systems and processes, or implement new initiatives. Results may include accomplishments made in multi-year projects.

An HR System is defined as being a program within a major HR functional area, e.g., within the functional area of Employee Relations there are a number of systems performance management, grievance resolution, etc. An HR Process is defined as being a series of specific steps and decision points which carry out the activities associated with an HR system. An HR System can also include automated approaches which support a major HR functional area and assist in the automation, either entirely or partially, of an HR Process, e. g., implementation of new systems.

The Laboratory will discuss with DOE/OAK the systems/processes identified for review.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the Good gradient.

Good Identify one or two major systems and/or processes for review; action is initiated; and there is measurable progress or action taken.

Excellent As a result of the above, efforts are undertaken to streamline, outsource, enhance, or eliminate systems and/or processes identified for review.

Outstanding In addition to the excellent gradient, significant improvements are achieved, such as completion ahead of schedule, or conclusion of unusually complex projects.

Appendix F - Objective Standards of Performance

Criterion

1.4 Labor Relations

The Laboratory has effective labor relations programs.
(Weight = 15%)

Performance Measure

1.4.a The Laboratory will timely process labor grievances and PERB complaints.
(Weight = 15%)

Assumptions

The following will be addressed in LBNL's self-assessment for this measure:

- Analysis of the timeliness of labor grievance and PERB complaint processing.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the Good gradient.

Good Timeframes for processing of grievances and PERB complaints are met at least 85% of the time.

Excellent In addition to the good gradient, there is an analysis of the processing and quality of these activities to determine the need, if any, for corrective action. If corrective action is necessary, it is effectively advocated.

Outstanding In addition to the excellent gradient, the Laboratory effectively concludes PERB cases and union grievances.

Appendix F - Objective Standards of Performance

Criterion

1.6 Workforce Excellence

Human resources contributes to the Laboratory's workforce excellence.

(Weight = 35%)

Performance Measure

1.6.a Workforce Planning/Staffing

HR provides the Laboratory with data about workforce demographics.

(Weight = 10%)

Assumptions

HR will collect data about workforce demographics (job classification, appointment status, gender, age, reported reasons for termination, and tenure by division/department) and analyze this data for current and potential turnover. This information will be given to Laboratory Management and the major programmatic divisions.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the Good gradient.

Good Workforce analyses are conducted on a semiannual basis for Scientific Divisions and Operations Divisions.

Excellent In addition to the good gradient, HR will partner with at least two Divisions to address issues identified as a result of the workforce analyses.

Outstanding In addition to the excellent gradient, the issues identified will be reflected in the Divisions' recruiting objectives.

1.6.b. Performance Management

The laboratory will have a performance management program that aligns with the culture and values of the organization. In addition, the program allows for employee feedback, counseling and development opportunities, and links employee contribution to pay.

(Weight = 15%)

Assumptions

HR will organize and facilitate a committee(s) of senior Division/Department management with the purpose of developing a new or revised performance management process.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards the achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the good gradient.

Appendix F - Objective Standards of Performance

- Good An analysis of the current performance management process is developed and presented to management for review and consideration. A project plan is developed to begin the design of new or revised performance management program.
- Excellent A model or variety of models for a new or revised performance program is developed and presented to management for review and approval. Action may or may not be taken based on the results of this process.
- Outstanding A new or revised performance management program is implemented in time for the FY03 review cycle.

1.6.c Training

The Laboratory has an effective system of tracking training costs.
Weight = 5%

Assumptions

The tracking system is intended to allow the Laboratory to enroll, track, analyze and report training costs of employees.

Definition of training: it does not include on-the-job, tuition reimbursement, or conference fees except in circumstances when attending the conference is part of maintaining professional certificates or licenses, e.g., medical doctor.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the Good gradient.

Good A plan is developed to implement a tracking system.

Excellent A framework is established for a tracking system that enables the Laboratory to culminate training costs paid through a variety of methods.

Outstanding In addition to the excellent gradient, the tracking system is fully implemented and capable of sorting costs and instances of training.

1.6.d Recruitment

HR contributes to the development and implementation of an effective recruitment program.
(Weight = 5%)

Assumptions

HR will develop a Communication and Training Plan in conjunction with the design and implementation of a new Recruitment system (as defined in 1.3.a). The Plan will define the roles and responsibilities of hiring managers, HR Field staff, HR Recruitment staff, and the Work Force Diversity Office as they pertain to the new Recruitment system's five major process steps: Open Position, Sourcing, Screening, Selection, and Placement.

Appendix F - Objective Standards of Performance

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the Good gradient.

Good A Communication and Training Plan is developed which adequately describes the roles and responsibilities of all participants in the recruitment process.

Excellent In addition to the good gradient, the plan is implemented as described and the training is initiated.

Outstanding

In addition to the excellent gradient, the effectiveness of the plan implementation and the training conducted is determined by having recruitment plans for no less than half of new openings that occur during the final quarter of FY2002.

Criterion

1.7 Employee Relations

The Laboratory has an effective employee relations program.

(Weight = 10%)

Performance Measure

1.7.a Employee Relations

The Laboratory has an effective approach to address employee relations cases.

(LBNL Weight = 10%)

Assumptions

Data on employee relations cases will be summarized and reported to management on a regular basis. HR staff will review and evaluate the information collected to determine whether problem areas exist and whether proactive interventions are required. Interventions including supervisory and management training and/or corrective action will be developed and implemented as appropriate.

The Laboratory will trend cases from employees by type of complaint and division/department, in order to identify the possibility of problem areas in need of corrective action. If statistically significant, the Lab will identify other demographic factors. Trending may include data from previous fiscal years for which data is available. Formal complaints include administrative reviews, grievances, formal mediation, litigation and external agency charges. It is acknowledged that formal complaints may result from multiple causes.

Gradients

Unsatisfactory Little or no effort has been demonstrated towards achievement of the performance measure.

Marginal Some effort is demonstrated however results fall short of the expectations for the Good gradient.

Good Summary and Trend Data is collected in a formal manner and presented to management.

Excellent The data will be analyzed for trends that may reflect problems, e.g., poor business practice, or liability exposure.

Outstanding Based on the trend analysis, feedback is provided to Lab Management, and if applicable, Division/Department Management. Also, if applicable, HR will develop a recommendation for corrective action.

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Section C - Performance Objectives, Criteria And Measures

6 Information Management

1.0 Information Management Program

The Laboratory manages information resources on a corporate basis to improve the quality of its products, to add value to scientific programs and customer services, and to improve the Laboratory’s work processes.
(Weight = 100%)

Criterion

1.1 Operational Effectiveness

The IM program provides cost-effective products and improved services.
(Weight = 30%)

Performance Measure

1.1a Operational Effectiveness

Evaluation of measurable improvements and cost-effective delivery of products and services.
(Weight = 30%)

Assumptions

Measurement deliverable - metrics indicating the information management program’s accomplishments which have resulted in measurable improvements in the provision of cost-effective products and services. Additional description may be accomplished through reference to accessible work products or other existing Laboratory documentation.

The agreed to Information Management areas to be addressed by this Performance Measure:

- CIS-Desktop Support (Weight =15%)
 - Average time to resolve/complete help requests (non-project calls) - Decreasing
 - Percentage of MPSG help requests resolved/completed in 3 days. - Increasing
- Telephone Services (Weight =15%)
 - The telephone system will be maintained at an operational level 99%
 - TSC will resolve 98% all repair calls on the first attempt
 - TSC will maintain 98% customer satisfaction
 - TSC will realize a cost savings/avoidance of \$400k
 - TSC will maintain a service order proficiency average of 1.5 hours per order and an average cost of \$75.00 per order

Gradients

Unsatisfactory No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure.

Marginal Results fall short of the expectations for the “good” gradient however some effort has been made to establish effective processes

Good Examples that demonstrate measurable improvement and cost-effective, IM services and products.

Appendix F - Objective Standards of Performance

Excellent	Demonstrated results that contribute to institutional cost-efficiencies, savings, and improved operations.
Outstanding	External recognition of operational effectiveness or benchmarking that indicates best-in-class performance.

Criterion

1.2 Customer Focus

IM products and services meet customer requirements.

(Weight = 30%)

Performance Measure

1.2a Level of Customer Service

Evaluation of customer service reviews and implementation of activities toward improvement.

(Weight = 30%)

Assumptions

Measurement deliverable: results of the customer service metrics.

The agreed to Information Management areas to be addressed by this Performance Measure:

- CIS-Desktop Support
 - Average satisfaction overall from Help Desk ticket survey – Stable above 9.0 out of 10 or increasing
 - % of tickets with response to any survey question of 5 or lower out of 10. - Decreasing
 - % of help tickets resolved by Help desk at "first touch" - Increasing

Gradients

Unsatisfactory	No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure.
Marginal	Results fall short of the expectations for the "good" gradient however some effort has been made to establish effective processes.
Good	A systematic approach to the measurement of customer service. Evidence of meeting commitments to customer's requirements.
Excellent	Cost effective and/or innovative approaches to measuring customer satisfaction, customer involvement throughout life cycle of information management activities, and evidence of improvement in customer service.
Outstanding	Sustained high level of customer service.

Criterion

1.3 IM Stewardship

The IM program manages compliance to requirements and negotiated commitments.

(Weight 20%)

Appendix F - Objective Standards of Performance

Performance Measure

1.3.a Effective Management of Compliance and Commitments.

Evaluation of effectiveness of compliance management for contractual, legal and regulatory requirements, operational practices and internal controls.

(Weight 20%)

Assumptions

Measurement Deliverable

Metrics demonstrating compliance with requirements of law, regulations, and applicable DOE directives.

The agreed to Information Management areas to be addressed by this Performance Measure:

- Unclassified Computer Security (Weight=15%)
Achieving expectations in completing all aspects of DOE required format for CSPPs.
 - Completing scans identified in the LBNL CSPP.
 - Completing corrective actions identified after conducting scans.

- Printing/Reproduction (Weight=3%)
 - % of total TEID jobs vended to GPO
 - % of total in-house duplicating on recycled paper
 - % of total in-house duplicating two-sided

- Records Management (Weight=2%)
 - % of total inactive R&D records stored at the Federal Records Center that have been reprocessed and rescheduled.
 - % of increase in total number of containers permanently removed from the Federal Records Center under authorized retention schedules.

Gradients

Unsatisfactory	No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure.
Marginal	Results fall short of the expectations for the "good" gradient however some effort has been made to establish effective processes.
Good	Management techniques are employed to assess the effectiveness of IM Focus Areas performance in support of programmatic and institutional information management needs including internal process controls. Objective evidence demonstrates progress in identifying and correcting performance and compliance issues. Previous deficiencies have been corrected or have corrective action plans in place.
Excellent	There is a sound, systematic approach responsive to the overall purpose of managing assessment processes and implementing corrective actions. Deficiencies in compliance and performance are self-identified and all corrective actions are completed or planned.
Outstanding	The Laboratory has institutionalized an evaluation process that effectively identifies performance and compliance issues and corrects weaknesses. Compliance and performance deficiencies are identified and corrected on schedule.

Appendix F - Objective Standards of Performance

Criterion

1.4 Strategic and Tactical Planning

IM plans and practices are aligned with Laboratory strategic and tactical requirements.

(Weight = 20%)

Performance Measure

1.4.a Planning Initiatives

Evaluation of evidence that Information Management is aligned with the Laboratory's missions.

(Weight = 20%)

Assumptions

Measurement deliverable: IM plans or descriptions of IM initiatives that support the mission and plans of the Laboratory. Reference may be made to accessible work products or other existing Laboratory documentation.

The agreed to Information Management areas to be addressed by this Performance Measure:

- Information Architecture
- Revised Long Range IM Strategic Plan for LBNL--Information Architecture defining the standards for information sharing, technology standards, and data security and protection for operational information.
- Measurement of progress toward meeting these objectives with particular emphasis on the most critical objectives.
- Methodologies for obtaining user and management input to the planning process to assure agreement with the needs and objectives of the Laboratory.
- Methodologies for establishing funding to assure optimum use of resources toward meeting the critical objectives.

Gradients

Unsatisfactory	No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure.
Marginal	Results fall short of the expectations for the "good" gradient however some effort has been made to establish effective processes
Good	Evidence of a planning process exists that drives IM practices to align with the Laboratory's missions.
Excellent	Objective evidence has been provided to demonstrate that IM activities provide effective support for the Laboratory's missions.
Outstanding	Evidence that the IM planning process can adapt to changing conditions, employs sophisticated methods or planning tools, and has received external recognition or benchmarking that indicates best-in-class performance.

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Section C - Performance Objectives, Criteria And Measures

7 Procurement

Performance Objective

1.0 Management of Internal Business Processes

The Laboratory shall have systems in place to ensure Procurement programs operate in accordance with policies and procedures approved by DOE and the requirements contained in Prime Contract Clause 8.1, Contractor Purchasing System.

(Weight = 65%)

Criterion

1.1 System Evaluation

The Laboratory conducts, documents, and reports, the results of a successful assessment of its purchasing system against established evaluation criteria.

(Weight = 30%)

Performance Measure

1.1.a Assessing System Operations

The Laboratory shall have a risk-based system evaluation plan (protocol) approved by DOE and UC no later than October 1, 2001. The procurement system shall be assessed against system evaluation criteria as identified in the plan. In addition, an aggressive, cost effective management plan for resolution of system deficiencies and opportunities for process improvement shall be developed. Management of the results of the system assessment shall be evaluated. System deficiencies will include those identified by the Laboratory, internal Laboratory organizations, and external organizations.

(Weight = 30%)

Gradients

Unsatisfactory	There is not an approach to the primary purpose of the system evaluation and there are major gaps in deployment of the assessment process. Cost benefit analyses and risk assessments are not accomplished and opportunities for improvement are not addressed. Leadership involvement is not evident.
Marginal	There is a basic approach to the primary purpose of the system evaluation. Cost benefit analyses and risk assessments are applied to some deficiencies and opportunities for improvement are generally addressed. Remedial actions are pursued and leadership involvement is evident in some cases.
Good	There is a sound, systematic approach, responsive to the primary purpose of the system evaluation. Cost benefit analyses and risk assessments are good when addressing deficiencies and/or opportunities for improvement. Remedial actions are appropriate and demonstrate responsible leadership in many to most cases.
Excellent	The requirements for a "Good" rating are met. In addition, the approach is responsive to the overall purpose of the system evaluation and cost benefit analyses and risk assessments are good to excellent when addressing deficiencies and/or opportunities for improvement. Remedial actions are sound and demonstrate responsible leadership in most cases.

Appendix F - Objective Standards of Performance

Outstanding The requirements for an "Excellent" rating are met. In addition, the approach is fully responsive to all the requirements of the system evaluation and cost benefit analyses and risk assessments are excellent when addressing deficiencies and/or opportunities for improvement. Remedial actions are sound and demonstrate strong leadership in most cases.

Criterion

1.2 Pursuing Best Practices

The Laboratory compares its operational effectiveness to benchmarking data and industry standards and establishes goals and gradients accordingly.

(Weight = 20%)

Performance Measure

1.2.a Measuring Effectiveness

The Laboratory will be measured against benchmarks and industry standards for cycle time results for transactions (i.e., new purchase orders, task orders, and subcontracts) > \$100,000 and utilization of rapid and alternative procurement approaches/techniques [e.g. Purchasing Cards, Verbal Orders, Just-in-Time (JIT) Contracts, Material Release System (MRS), Electronic Data Interchange (EDI), E-Commerce, Blanket Orders, Leveraged Buys, Integrated Contractor Purchasing Team (ICPT) National Agreements, Stores, and Low Value Purchases].

(Weight = 20%)

Assumptions

The Procurement organization will also provide in its annual self-assessment report, for information purposes only, overall average cycle time results and average cycle time results for transactions <= \$100,000. Such input will not be part of the rating process and will be used for Balanced Scorecard reporting purposes.

The following formula shall be applied to measure the utilization of rapid and alternative procurement approaches/techniques:

Utilization of Rapid and Alternative Procurement Approaches/Techniques =

$$\frac{\text{Number Of Transactions Using Rapid and Alternative Procurement Approaches/Techniques}}{\text{Total Number of Transactions}}$$

Gradients

Average Cycle Time - Transactions > \$100,000

(Weight = 10%)

Unsatisfactory > 45.0 Days

Marginal 40.0 – 45.0 Days

Good 35.0 – 39.9 Days

Excellent 30.0 – 34.9 Days

Outstanding < 30.0 Days

Appendix F - Objective Standards of Performance

Rapid and Alternative Procurement Approaches/Techniques
(Weight = 10%)

Unsatisfactory	< 80.0%
Marginal	80.0% – 84.9%
Good	85.0% – 89.9%
Excellent	90.0% – 92.9%
Outstanding	≥93.0%

Criterion

1.3 Supplier Performance

The Laboratory shall manage its suppliers in such a manner as to ensure that the goods and services provided meet the Laboratory's requirements.

(Weight = 15%)

Performance Measure

1.3.a Measuring Supplier Performance

The Laboratory shall measure the performance of its key suppliers. Supplier performance will be measured against goals and gradients agreed to below.

(Weight = 15%)

Gradients

The following formula shall be applied to measure and report quarterly, the percentage of on-time deliveries of purchased goods from key suppliers of commodities:

Percentage of On-Time Deliveries of Purchased Goods by Key Suppliers =

$$\frac{\text{Number of On-Time Deliveries of Purchased Goods by Key Suppliers}}{\text{Total Number of Deliveries of Purchased Goods by Key Suppliers}}$$

Year-end performance will be based on cumulative results.

Unsatisfactory	< 76.0%
Marginal	76.0% – 80.9%
Good	81.0% – 85.9%
Excellent	86.0% – 90.9%
Outstanding	≥ 91.0%

Criterion

1.4 Socioeconomic Subcontracting

The Laboratory shall support and promote socioeconomic subcontracting programs.

(Weight = 0%)

Performance Measure

1.4.a Meeting Socioeconomic Commitments

The Procurement organization will provide in its annual self-assessment report, for information purposes only, the percentage of actual subcontract dollar obligations (not subcontract face value) in the following five categories:

Small Business, Small Disadvantaged Business, Veteran-Owned Small Business, Women-Owned Small Business,

Appendix F - Objective Standards of Performance

and HUBZone Awards. Self-assessment reports will describe annual activities in support of the socioeconomic program. Such input will not be part of the rating process and will be used for Balanced Scorecard reporting purposes.

(Weight = 0%)

Assumptions

Obligations qualifying in more than one category may be counted in more than one category, e.g., Small Business and Small Disadvantaged Business. Lower tier subcontracts cannot be counted toward the primary goal, but may be goaled and reported separately.

The purchasing base for purposes of this measure is all obligations incurred during the fiscal year period, excluding: (1) Subcontracts with foreign corporations which will be performed entirely outside of the United States; (2) Utilities (gas, sewer, water, steam, electricity and regulated telecommunications services); (3) Federal Supply Schedule Orders and GSA Orders to large businesses when all terms of the GSA contract apply; (4) Agreements with DOE management and operating contractors and University campuses; (5) Federal government and DOE mandatory sources of supply; Federal prison industries, industries of the blind and handicapped; and (6) Procurement card purchases.

Gradients

In that this measure has zero weight, there is no gradient.

Performance Objective

2.0 Customer Satisfaction

The Laboratory shall assess the degree of satisfaction with Procurement's ability to meet customer needs in terms of timeliness, quality, and communications.

(Weight = 10%)

Criterion

2.1 Customer Feedback

As a continuous indicator of overall customer satisfaction, the Procurement function shall survey the needs and satisfaction of its Laboratory customers relative to its purchasing systems and methods.

(Weight = 10%)

Performance Measure

2.1.a Customer Satisfaction Rating

A customer satisfaction rating for the Procurement function shall be calculated from the results of transactional surveys. The customer satisfaction rating is to be tracked and trended. The Laboratory/UC/DOE will coordinate on the acceptability of the surveying process and contents.

(Weight = 10%)

Assumptions

Included in the evaluation will be a summary describing the activities that support the score achieved. Consideration will be given to activities/efforts taken to improve customer satisfaction.

The following formula shall be applied to measure customer satisfaction using transactional surveys:

$$\text{Customer Satisfaction Rating} = \frac{\text{Number of Satisfied Customers}}{\text{Total Number of Customers Responding to Survey}}$$

Appendix F - Objective Standards of Performance

Gradients

Unsatisfactory	< 62.0% of customers responding to survey are satisfied.
Marginal	62.0% - 71.9% of customers responding to survey are satisfied.
Good	72.0% - 81.9% of customers responding to survey are satisfied.
Excellent	82.0% - 91.9% of customers responding to survey are satisfied.
Outstanding	≥ 92.0% of customers responding to survey are satisfied.

Performance Objective

3.0 Learning and Growth

The Laboratory shall ensure that information and feedback mechanisms are available to procurement employees to enhance continued successful procurement operations.

(Weight = 15%)

Criterion

3.1 Employee Feedback

The Laboratory shall foster improvement of processes and performance by assessing and pursuing improvements in employee satisfaction.

(Weight = 5%)

Performance Measure

3.1.a Employee Satisfaction Rating

A Procurement employee satisfaction rating shall be calculated from the results of an employee survey. The employee satisfaction rating is to be tracked and trended. The Laboratory/UC/DOE will coordinate on the acceptability of the surveying process and contents.

(Weight = 5%)

Assumptions

Included in the evaluation will be a summary describing the activities that support the employee satisfaction rating achieved. Consideration will be given to activities/efforts taken to improve employee satisfaction.

The following formula shall be applied to measure employee satisfaction:

$$\text{Employee Satisfaction Rating} = \frac{\text{Number of Satisfied Employees}}{\text{Total Number of Employees Responding to Survey}}$$

The Procurement organization will provide in its annual self-assessment report, for information purposes only, percent of employees aligned. Such input will not be part of the rating process and will be used for Balanced Scorecard reporting purposes.

Gradients

Unsatisfactory	< 60.0% of employees responding to survey are satisfied.
Marginal	60.0% - 69.9% of employees responding to survey are satisfied.
Good	70.0% - 79.9% of employees responding to survey are satisfied.
Excellent	80.0% - 89.9% of employees responding to survey are satisfied.
Outstanding	≥ 90.0% of employees responding to survey are satisfied.

Appendix F - Objective Standards of Performance

Criterion

3.2 Information Availability

The Laboratory shall make readily available to its employees current information important to the successful performance of their procurement related functions.

(Weight = 10%)

Performance Measure

3.2.a Measuring Availability of Information

The Laboratory will track, trend, and report the level of information available to Procurement employees.

(Weight = 10%)

Assumptions

Information is considered available if it is current or requires only minor revision and the information is in compliance with Prime Contract requirements.

The following formula shall be applied to measure the level of information availability on a quarterly basis:

$$\text{Level of Information Availability} = \frac{\text{Number of Information Items Available (End of Quarter)}}{\text{Number of Information Items Needed (End of Quarter)}}$$

The following formula shall be applied to measure the level of information availability for year-end reporting:

$$\text{Level of Information Availability} = \frac{\text{Sum of Number of Reported Information Items Available (Four Quarters)}}{\text{Sum of Number of Reported Information Items Needed (Four Quarters)}}$$

Gradients (Year-End Reporting)

Unsatisfactory	< 85.0%
Marginal	85.0% - 87.9%
Good	88.0% - 90.9%
Excellent	91.0% - 93.9%
Outstanding	≥ 94.0%

Performance Objective

4.0 Managing Financial Aspects

The Laboratory shall ensure optimum cost efficiency of purchasing operations.

(Weight = 10%)

Criterion

4.1 Process Cost

The Laboratory compares its operating costs as a percentage of total procurement dollars obligated to benchmarking data and industry standards and establishes goals and gradients accordingly.

(Weight = 10%)

Performance Measure

4.1.a Cost to Spend Ratio

Operating costs as a percentage of total procurement dollars obligated will be computed. The Laboratory's operating costs (labor plus overhead) shall be divided by purchasing obligations.

(Weight = 10%)

Appendix F - Objective Standards of Performance

Assumptions

The following formula shall be applied to measure the cost to spend ratio:

$$\text{Cost to Spend Ratio} = \frac{\text{Purchasing Organization Cost}}{\text{Total Purchasing Obligations}}$$

Gradients

Unsatisfactory	> 2.50%
Marginal	2.21% – 2.50%
Good	1.96% – 2.20%
Excellent	1.70% – 1.95%
Outstanding	< 1.70%

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Section C - Performance Objectives, Criteria And Measures**8 Property**

Property Management will employ the Property Performance Assessment Model (PPAM) for Fiscal Year 2002. The Property Management organization will finalize its final assessment plan with DOE and UC by October 1, 2001. This plan will cover performance thresholds, performance ranges (gradients), specific scoring criteria, and frequency of reporting.

In this Model, points are used to determine the score for each activity. Weights and the corresponding points are shown below at the Objective, Criteria, and Performance Measure levels. At the Basis for Rating level, the total possible points for each activity are shown. Overall ratings will be based on the following (where a total weight of 100% is equal to 500 points):

- < 352 Unsatisfactory
- >= 352 Marginal
- >= 400 Good
- >= 450 Excellent
- >= 475 Outstanding

The Adjectival Rating and Contractual Score will be assigned using the following scoring table:

**Property Management
Scoring Table**

PPAM Points Earned	Translation to Appendix F Contractual Scoring	Adjectival Rating
304-319	52	Unsatisfactory
320-335	55	
336-351	58	
352-367	62	Marginal
368-383	65	
384-399	68	
400-416	72	Good
417-432	75	
433-449	78	
450-459	82	Excellent
460-468	85	
469-474	88	
475-483	92	Outstanding
484-492	95	
493-500	98	

Appendix F - Objective Standards of Performance

Performance Objective

1.0 Accountability for Equipment and Sensitive Property and for Precious Metals

The Laboratory shall ensure accountability for equipment and sensitive personal property and for precious metals.
(Weight = 50% / Total Points = 250)

Criterion

1.1 Accountability for Equipment and Sensitive Property and for Precious Metals

The Laboratory shall conduct successful personal property and precious metal inventories as established in its inventory planning.
(Weight = 35% / Total Points = 175)

Performance Measure

1.1.a Property and Precious Metals Accounted For

The percentage of personal property and precious metals accounted for, as described in the inventory plans approved by DOE, will be measured.
(Weight = 35% / Total Points = 175)

Basis for Rating

Exhibit I provides the activities to be measured, point value for each activity, and performance ranges (gradients).

Criterion

1.2 Identification of Items Subject to Inventory

The Laboratory will ensure personal property items that are subject to inventory are accurately identified.
(Weight = 15% / Total Points = 75)

Performance Measure

1.2.a Accuracy of Identification

The percentage of items accurately identified in the property database will be measured.
(Weight = 15% / Total Points = 75)

Basis for Rating

Exhibit I provides the activities to be measured, point value for each activity, and performance ranges (gradients).

Performance Objective

2.0 Stewardship Over Personal Property

The Laboratory shall ensure that both stewardship and custodianship for personal property is maintained.
(Weight = 20% / Total Points = 100)

Criterion

2.1 Organizational Stewardship and Individual Accountability

The Laboratory will ensure organizational and individual accountability (stewardship and custodianship, respectively) for property.
(Weight = 20% / Total Points = 100)

Appendix F - Objective Standards of Performance

Performance Measure

2.1.a Timeliness of Assignment

The accountable individual is identified for equipment and sensitive property, and the timeliness of such identification is measured.

(Weight = 20% / Total Points = 100)

Basis for Rating

Exhibit I provides the activities to be measured, point value for each activity, and performance ranges (gradients).

Performance Objective

3.0 Vehicle Utilization

The Laboratory shall have a program to manage its vehicle fleet.

(Weight = 5% / Total Points = 25)

Criterion

3.1 Fleet Management

The Laboratory shall manage its fleet to ensure appropriate vehicle utilization.

(Weight = 5% / Total Points = 25)

Performance Measure

3.1.a Vehicle Utilization

The Laboratory shall measure the percentage of utilization for each vehicle classification measured.

(Weight = 5% / Total Points = 25)

Basis for Rating

Exhibit I provides the activities to be measured, point value for each activity, and performance ranges (gradients).

Performance Objective

4.0 Information to Improve/Maintain Processes (Systems Evaluation)

The Laboratory ensures that Property Management programs are consistent with policies and procedures approved by DOE.

(Weight = 10% / Total Points = 50)

Criterion

4.1 Self-Assessment of Policies and Procedures

The Laboratory shall plan, conduct, document, and report annually, the results of a successful property management system evaluation.

(Weight = 10% / Total Points = 50)

Performance Measure

4.1.a Assessing Support Processes

Selected property activities/support processes shall be assessed against identified system evaluation criteria.

(Weight = 10% / Total Points = 50)

Assumptions

The Laboratory will develop scoresheets that identify activities/support processes to be assessed to ensure that Property Management programs are consistent with policies and procedures approved by DOE. Elements to be evaluated and

Appendix F - Objective Standards of Performance

evaluation criteria will be submitted to and approved by DOE as part of the annual Personal Property PPAM finalization process.

Basis for Rating

Exhibit I provides the activities to be measured, point value for each activity, and performance ranges.

Performance Objective

5.0 Customer Alignment

The Laboratory shall ensure that there is a property management program for identifying and evaluating customer needs and for building and maintaining positive customer relations.

(Weight = 5% / Total Points = 25)

Criterion

5.1 Monitoring Customer Alignment

The Property Management organization shall ensure that the property management programs are responsive to customer expectations.

(Weight = 5% / Total Points = 25)

Performance Measure

5.1.a Aligning Customer Expectations

The Laboratory will have processes in place to monitor customer expectations of property management tools and products with regard to ease of use, timeliness, accuracy, and certainty.

(Weight = 5% / Total Points = 25)

Basis for Rating

Exhibit I provides the activities to be measured, point value for each activity, and performance ranges.

Performance Objective

6.0 Balancing Performance and Cost

The Laboratory ensures that property is managed appropriately to balance performance and cost.

(Weight = 5% / Total Points = 25)

Criterion

6.1 Balancing Performance/Cost Ratios

The Laboratory shall ensure that property processes/products are provided in the most cost efficient manner while maintaining desired levels of performance.

(Weight = 5% / Total Points = 25)

Performance Measure

6.1.a Measuring Cost Efficiency/ Effectiveness

The Laboratory shall measure its ability to effectively balance property management costs and performance.

(Weight = 5% / Total Points = 25)

Assumptions

Where properly justified and approved by DOE, the Laboratory may elect to establish a measure that extends over multiple evaluation periods. The first year the Laboratory will submit a plan outlining the approach to be employed in establishing an appropriate baseline and developing the gradients for the following evaluation period. Approach and deployment of the

Appendix F - Objective Standards of Performance

plan will be evaluated the first year. The final milestone of the plan will be to develop gradients for results desired by the end of the final year. These gradients will be the basis for evaluation in the subsequent evaluation periods.

Basis for Rating

Exhibit I provides the activities to be measured, point value for each activity, and performance ranges.

Appendix F - Objective Standards of Performance

Performance Objective

7.0 Organizational Vitality

The Laboratory shall ensure that there is a program for achieving and maintaining organizational vitality in the property management organization.

(Weight = 5% / Total Points = 25)

Criterion

7.1 Evaluation of Organizational Agility and Employee Alignment

The Laboratory will foster organizational agility and employee alignment in its property management organization.

(Weight = 5% / Total Points = 25)

Performance Measure

7.1.a Measuring Organizational Agility and Employee Alignment

The Laboratory will have a process in place to measure organizational vitality as well as to understand and address workforce expectations.

(Weight = 5% / Total Points = 25)

Assumptions

Organizational vitality is the alignment of organizational performance goals and workforce skills (both current and future). The Laboratory will develop score sheets to evaluate elements determined necessary to ensure its workforce is ready for current and future operations and projected challenges. Elements to be evaluated and scored will be submitted to and approved by DOE as part of the annual PPAM finalization process.

Basis for Rating

Exhibit I provides the activities to be measured, point value for each activity, and performance ranges.

EXHIBIT I**LBNL PROPERTY SUB-GAUGES – FY 2002**

Measured Activities/Sub-Gauges Activity/Support Process	Gradient 60/70/80/90/100	Value of Activity
Product Goodness		
1.1.a Property and Precious Metals Accounted For		
1.1.a.1 The Laboratory will inventory sensitive assets.	<98.0/98.0/98.7/99.2/99.5	60
1.1.a.2 The Laboratory will inventory equipment assets.	<98.0/98.0/98.7/99.2/99.5	90
1.1.a.3 The Laboratory will account for precious metals.	<98.0/98.0/99.0/99.6/99.8	25
1.2.a Accuracy of Identification		
1.2.a.1 Receiving will tag new assets when received.	<85.0/85.0/90.0/95.5/98.0	25
1.2.a.2 Property will tag assets requiring field tagging within 15 days.	<85.0/85.0/90.0/95.5/98.0	25
1.2.a.3 Property will verify if in-service assets are recorded in database.	<85.0/85.0/90.0/95.5/98.0	25
2.1.a Timeliness of Assignment		
2.1.a.1 Property will verify if assets are accurately assigned to custodians by Divisions.	<85.0/85.0/90.0/95.5/98.0	60
2.1.a.2 Property will verify if new assets are assigned to a custodian within 60 days.	<85.0/85.0/90.0/95.5/98.0	40
3.1.a Vehicle Utilization		
3.1.a.1 Do discretionary vehicles meet utilization criteria?	<85.0/85.0/90.0/95.5/98.0	13
3.1.a.2 Do essential vehicles meet utilization criteria?	<85.0/85.0/90.0/95.5/98.0	12
Process Goodness		
4.1.a Assessing Support Processes		
4.1.a.1 Property will assure that property policies and procedures are properly implemented.	Scoresheet*	50
5.1.a Aligning Customer Expectations		
5.1.a.1 Property will assure customers are satisfied with property management services.	Per Protocol*	25
6.1.a Measuring Cost Efficiency/Effectiveness		
6.1.a.1 Property will reengineer precious metals processing to determine if any benefits resulted from reengineering tasks.	Per Protocol*	25

Measured Activities/Sub-Gauges Activity/Support Process	Gradient 60/70/80/90/100	Value of Activity
Workplace Goodness		
7.1.a Measuring Organizational Agility and Employee Alignment		
7.1.a.1 Property Management will establish a training and development environment for the Laboratory community and Laboratory management.	Per Protocol*	25

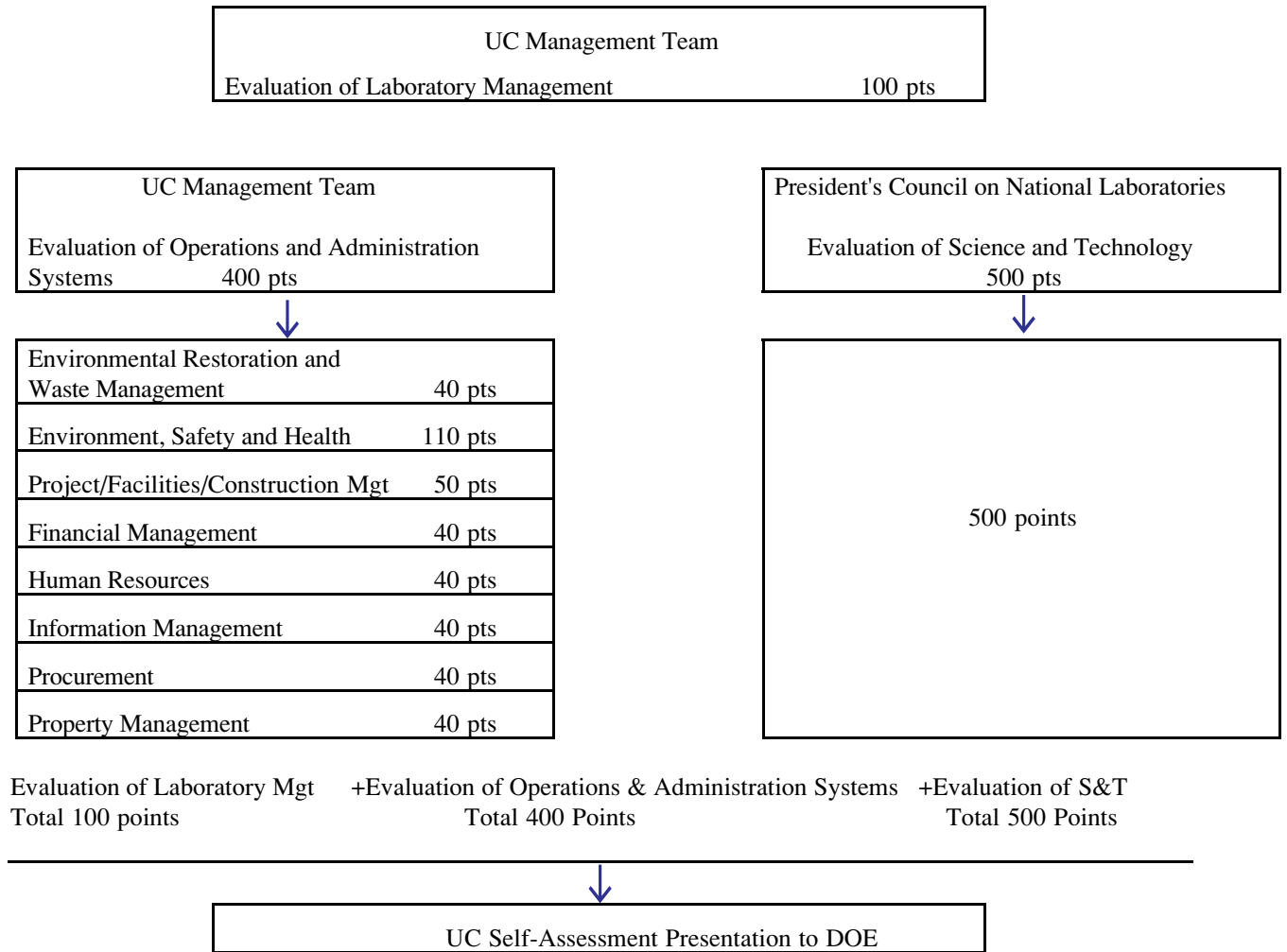
* This measure is point scored rather than being adjectivally rated. Points earned at the performance measure level contribute to the overall point total for Property Management. The overall point total is used to arrive at a final numerical score and adjectival rating based on the Property Management Scoring Table included in Appendix F of the Prime Contract.

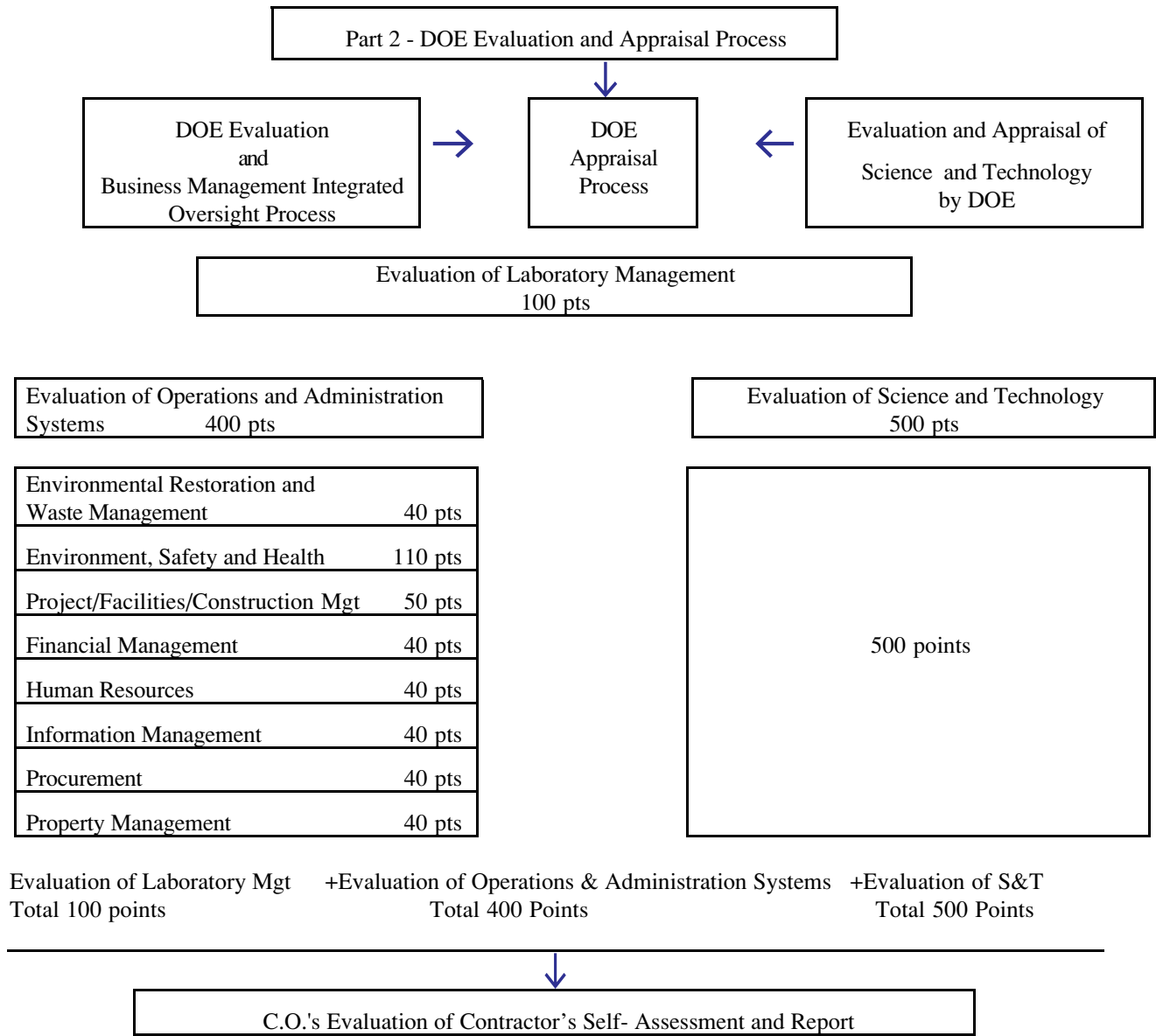
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Section D - Assessment And Appraisal

Part 1 - UC Self-Assessment and Rating Process

- A comprehensive and balanced peer review process will be conducted by the Contractor for the Laboratory through the University President's Council on National Laboratories.
- The UC Management team evaluates Laboratory Management and operations and administration systems for each Laboratory in each functional area (Environment Restoration and Waste Management, Environment, Safety & Health, Facilities Management, Financial Management, Human Resources, Information Management, Procurement, and Property Management) on the basis of established performance measures.
- Weighting of points for each area is established at the beginning of each annual evaluation cycle. Numerical scores expressed as percentages are assigned to each functional area based upon the performance assessment ratings listed below. These percentages multiplied by the maximum points allocated for each functional area result in the total points for that area. UC establishes an aggregate "rating" for each Laboratory based on evaluation of Laboratory Management; Science and Technology; and each functional area in Operations and Administration Systems that are averaged together.





Part 3 - Performance Appraisal

Example

	Rating (*See Table 1)	% x	Max pts =	Pt Score
Laboratory Management	Excellent	85% x	100 =	85 pts
Total of Laboratory Management				85 pts
Science & Technology	Excellent	85%	500 =	425 pts
Total of Science and Technology				425 pts
 Operations & Administration Systems				
Environmental Restoration and Waste Management	Good	75% x	40 =	30 pts
Environment, Safety & Health	Good	75% x	110 =	82 pts
Project/Facilities/Construction Mgt	Good	75% x	50 =	38 pts
Financial Management	Good	75% x	40 =	30 pts
Human Resources	Excellent	85% x	40 =	34 pts
Information Management	Good	75% x	40 =	30 pts
Procurement	Outstanding	95% x	40 =	38 pts
Property Management	Good	75% x	40 =	30 pts
Total of Operations and Administration Systems				312 pts
Total of Laboratory Management, Science & Technology and Operations & Administration Systems				822 pts

Table 1 - Adjectival Rating/Points Conversion

Adjectival Rating	Total Points
Outstanding	900 - 1000 points
Excellent	800 - 899 points
Good	700 - 799 points
Marginal	600 - 699 points
Unsatisfactory	0 - 599 points

Table 2 - DOE - UC Rating Adjectives

Numerical Range	Adjectival Description	Definition
< 60	Unsatisfactory	Significantly below the standard of performance; deficiencies are serious, and may affect overall results, immediate senior management attention, and prompt corrective action is required.
69- 60	Marginal	Below the standard of performance; deficiencies are such that management attention and corrective action are required.
79 - 70	Good	Meets the standard of performance; assigned tasks are carried out in an acceptable manner - timely, efficiently, and economically. Deficiencies do not substantively affect performance.
89-80	Excellent	Exceeds the standard of performance; although there may be room for improvement in some elements, better performance in all other elements offset this
100-90	Outstanding	Significantly exceeds the standard of performance; achieves noteworthy results; accomplishes very difficult tasks in a timely manner