

# Brookhaven National Laboratory

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**Fiscal Year 2005**



## First Quarter Performance Summary

**Policy Council**

**February 18, 2005**

**M. Bebon**



# Acronyms

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ALD	Associate Laboratory Director	ITD	Information Technology Division
BES	Basic Energy Science	KPI	Key Performance Indicators
BGRR	Brookhaven Graphite Research Reactor	LDRD	Laboratory Directed Research and Development
BHSO	Brookhaven Site Office	LIPA	Long Island Power Authority
BNL	Brookhaven National Laboratory	MII	Maintenance Investment Index
BSA	Brookhaven Science Associates	NSF	National Science Foundation
C-AD	Collider-Accelerator Department	NYPA	New York Power Authority
CD	Critical Decision	OA	DOE Office of Independent Oversight and Performance Assurance
CFN	Center for Functional Nanomaterials	OHSAS	Occupational Health and Safety Assessment Series
DART	Days Away, Restricted, or Transferred	ORPS	Occurrence Reporting and Processing System
DOE	Department of Energy	PAAA	Price Anderson Amendment Act
DOE/HQ	DOE/Headquarters	PPE	Personal Protective Equipment
ESB	Energy Sciences Building	PPM	Procurement and Property Management
ESD	Explanation of Significant Difference	RFP	Request for Proposal
ESDC	Empire State Development Corporation	RHIC	Relativistic Heavy Ion Collider
ESH&Q	Environmental, Safety, Health, and Quality	RI	Infrastructure Reliability Index
EPA	United States Environmental Protection Agency	ROD	Record of Decision
ESR	Electrical System Reliability	RSVP	Rare Symmetry Violating Processes
FY	Fiscal Year	S&T	Science and Technology
G&A	General and Administrative	SC	DOE Office of Science
GPP	DOE General Plant Projects	SLAC	Stanford Linear Accelerator Center
HR	Human Resources	SOW	Scope of Work
HRP	Housing Reconstruction Project	TRC	Total Recordable Case
ICPT	Integrated Contracting Purchasing Team	WP	Work Package

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# Agenda

1-

## **Contractual Performance Measures**

- Measure Owners
- Summary of Performance Measure
- Status of Metric
- Influencing Factors
- Plans
- Partnership Items

2-

## **Management System Performance**

- Current Condition
- Plans & Status

3-

## **Institutional Performance**

**Event Data Analysis**  
ORPS  
PAAA  
Assessment Tracking

## BSA and BHSO Objective and Measure Owners

Critical Outcomes, Objectives, and Measures	BNL Owner	BHSO Owner
<b>1.0 Science and Technology</b>	<b>P. Bond</b>	<b>F. Crescenzo</b>
Objective 1.1 Quality of Science and Technology	P. Bond	F. Crescenzo
Objective 1.2 Relevance to DOE Mission	P. Bond	F. Crescenzo
Objective 1.3 Success in Constructing & Operating Research Facilities	P. Bond	F. Crescenzo
Objective 1.4 Research Program Management	P. Bond	F. Crescenzo
Objective 1.5 New Science and Technology Initiatives	P. Bond	F. Crescenzo
Measure 1.5.1 Center for Functional Nanomaterials (CFN)	R. Hwang	J. Eng
Measure 1.5.1.1 Preliminary Organizational Activities	R. Hwang	J. Eng
Measure 1.5.1.2 CFN Scientific Activities	R. Hwang	J. Eng
Measure 1.5.1.3 CFN Construction	R. Hwang	J. Eng
<b>2.0 Environmental Management</b>	<b>M. Bebon</b>	<b>R. Rimando</b>
Objective 2.1 Execution of Program Activities	L. Hill	R. Rimando
Measure 2.1.1 Project Completions and Other Key Milestones	L. Hill	R. Rimando

## BSA and BHSO Objective and Measure Owners

Critical Outcomes, Objectives, and Measures	BNL Owner	BHSO Owner
<b>3.0 Laboratory Management and Operations</b>	<b>M. Bebon</b>	<b>F. Crescenzo</b>
<b>Objective 3.1 Corporate Leadership</b>	<b>G. Fess</b>	<b>F. Crescenzo / R. Gordon</b>
Measure 3.1.1 Strategic Partnership	G. Fess	F. Crescenzo / R. Gordon
Measure 3.1.2 Laboratory Leadership	G. Fess	F. Crescenzo / R. Gordon
Measure 3.1.3 Diversity	S. Kendall	P. Palladino
<b>Objective 3.2 Business Processes</b>	<b>M. Bebon</b>	<b>R. Gordon</b>
Measure 3.2.1 Phase IV of Benchmarking Study	J. Hauser	J. DaSilva
Measure 3.2.2 Cyber Security	T. Schlagel	D. Diem
<b>Objective 3.3 Management System Planning, Assessment and Improvement</b>	<b>J. Tarpinian</b>	<b>F. Crescenzo</b>
Measure 3.3.1 Management System Maturity Determinations	R. Lebel	F. Crescenzo / J. DaSilva
Measure 3.3.2 Third Party Assessment of Program	R. Lebel	F. Crescenzo / J. DaSilva
<b>Objective 3.4 Improved ESH&amp;Q - Operations Services</b>	<b>J. Tarpinian</b>	<b>R. Desmarais</b>
Measure 3.4.1 OSHA Reportable Injury Management	P. Williams	P. Kelley

## BSA and BHSO Objective and Measure Owners

Critical Outcomes, Objectives, and Measures	BNL Owner	BHSO Owner
<b>3.0 Laboratory Management and Operations (Continued)</b>	<b>M. Bebon</b>	<b>F. Crescenzo</b>
<b>Objective 3.4 Improved ESH&amp;Q - Operations Services (Continued)</b>	<b>J. Tarpinian</b>	<b>R. Desmarais</b>
Measure 3.4.1.1 Days Away, Restricted, or Transferred Rate	P. Williams	P. Kelley
Measure 3.4.1.2 Total Reportable Case Rate	P. Williams	P. Kelley
<b>Objective 3.5 Site Infrastructure, Facilities, Operations and Security</b>	<b>A. McNerney</b>	<b>R. Desmarais</b>
Measure 3.5.1 Alternative Financing (AF)	E. Murphy	N. Narain
Measure 3.5.1.1 BNL Housing Reconstruction Project (HRP)	E. Murphy	N. Narain
Measure 3.5.1.2 Energy Science Building (ESB)	E. Murphy	N. Narain
Measure 3.5.2 Project Management	E. Murphy	J. Eng
Measure 3.5.3 Maintenance Investment Index (MII)	E. Murphy	J. Eng
Measure 3.5.4 Energy Contract	E. Murphy	J. Eng / E. Landini
Measure 3.5.5 Infrastructure Reliability (RI)	E. Murphy	J. Eng
<b>Objective 3.6 Communications and Trust</b>	<b>M. Lynch</b>	<b>J. Carter</b>
Measure 3.6.1 Community, Education, Government and Public Affairs Management	M. Lynch	J. Carter

## BSA and BHSO Objective and Measure Owners

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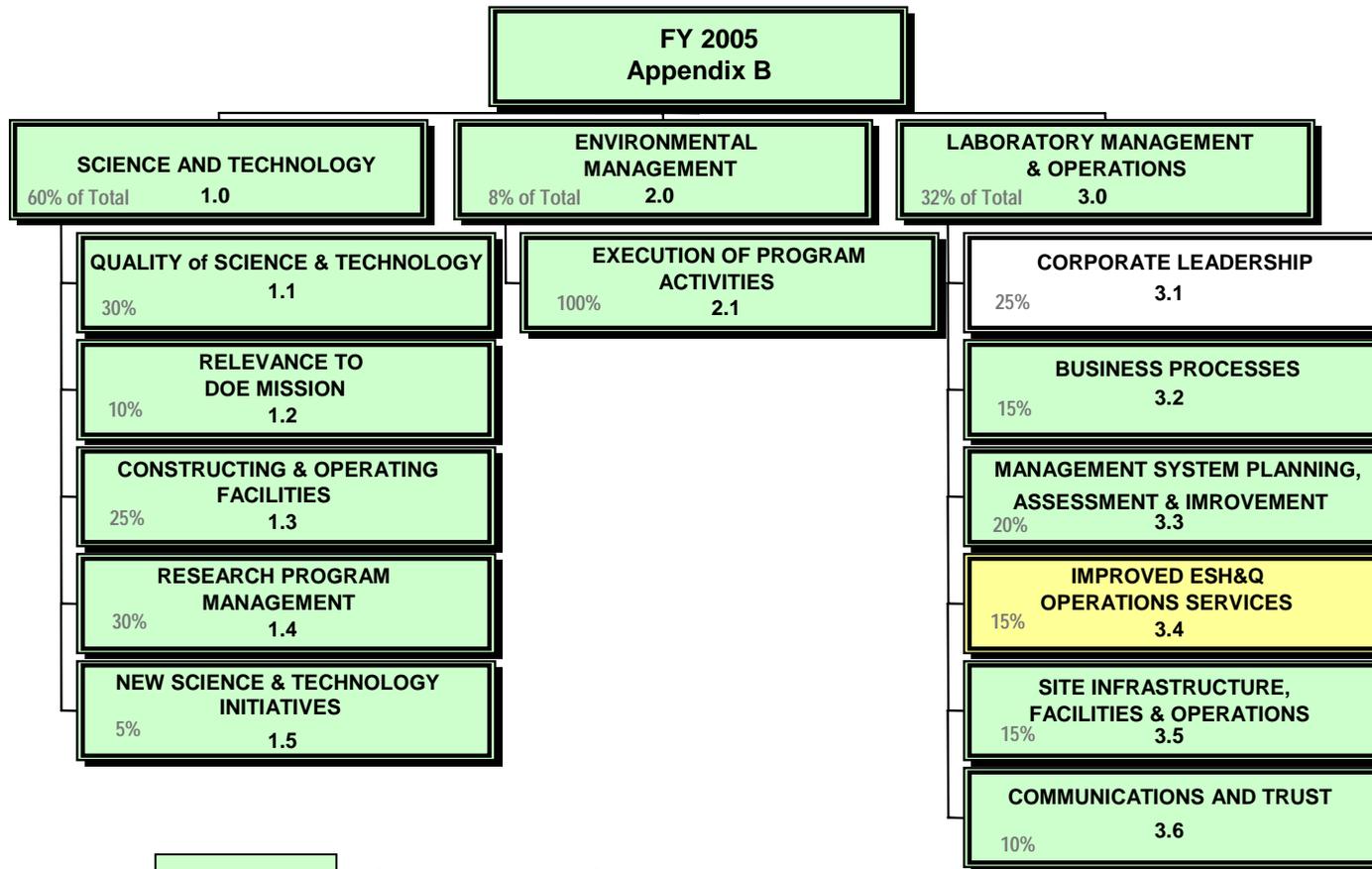
Critical Outcomes, Objectives, and Measures	BNL Owner	BHSO Owner
3.0 Laboratory Management and Operations (Continued)	M. Bebon	F. Crescenzo
Objective 3.6 Communications and Trust (Continued)	M. Lynch	J. Carter
Measure 3.6.1.1 Promoting Scientific Initiatives, Accomplishments and Operations Priorities	M. Lynch	J. Carter
Measure 3.6.1.2 Expanding Partnership Opportunities	M. Lynch	J. Carter
Measure 3.6.1.3 Internal Communications and Involvement	M. Lynch	J. Carter

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# Contractual Performance Measures

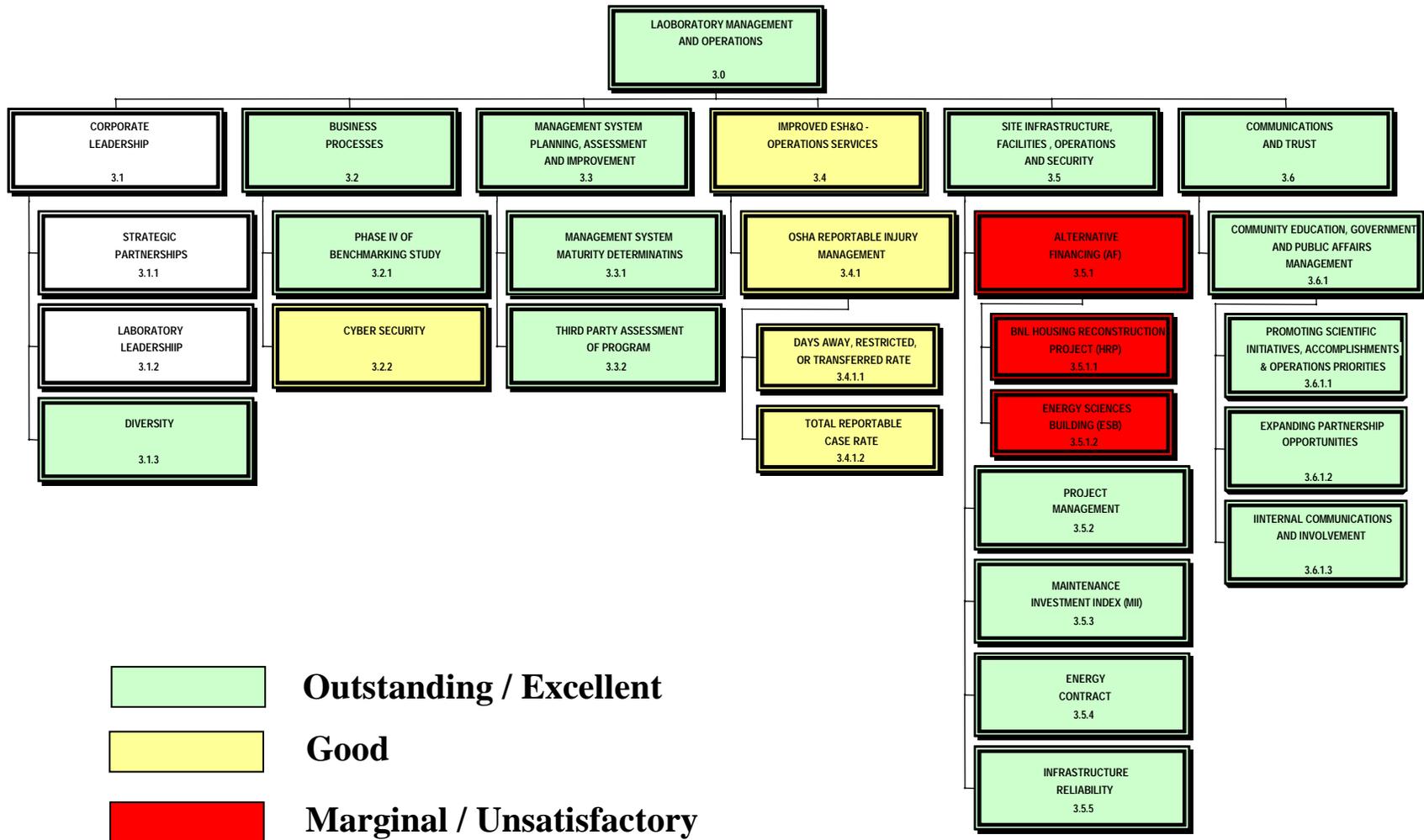
## Status

# FY 2005 BSA APPENDIX B STRUCTURE



- Outstanding/ Excellent
- Good
- Marginal / Unsatisfactory

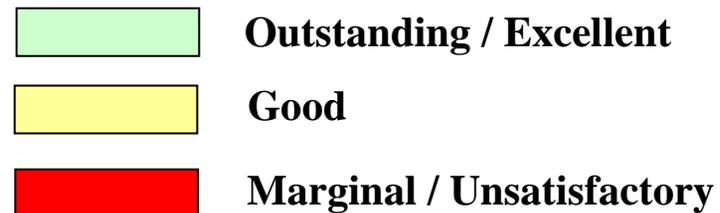
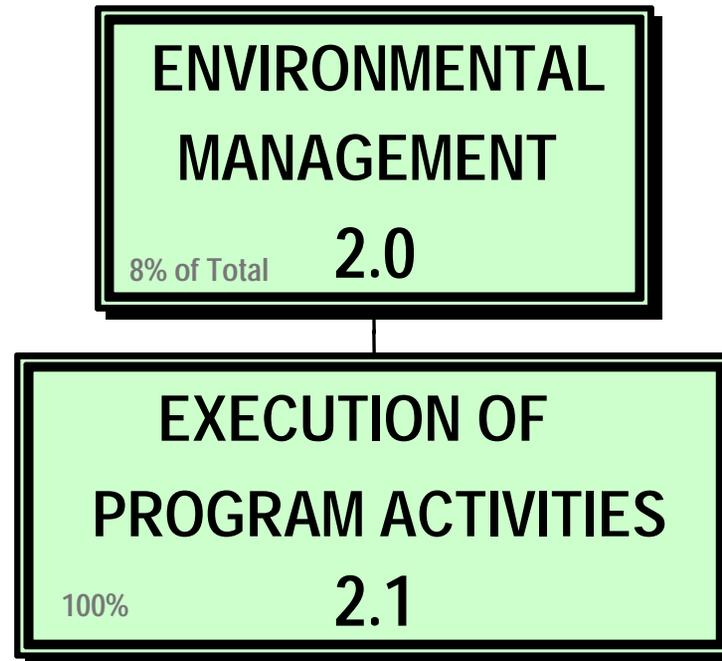
# 3.0 Laboratory Management and Operations Structure



## 2.0 ENVIRONMENTAL MANAGEMENT (8%)

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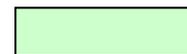
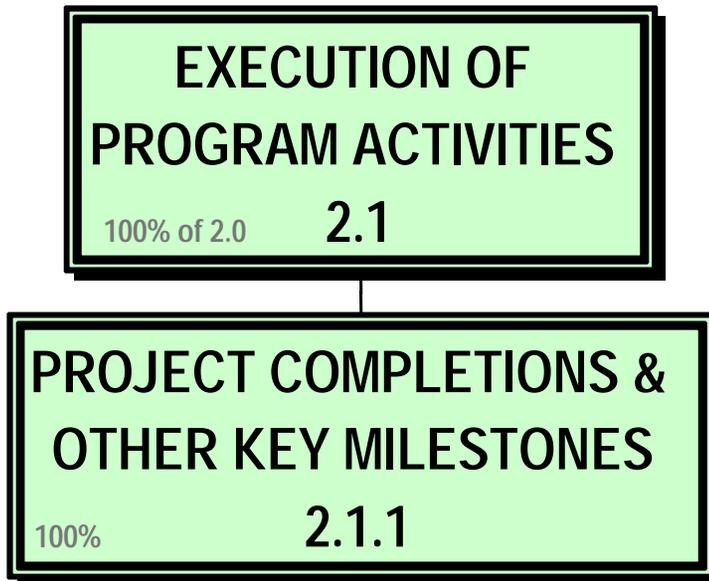
Outstanding



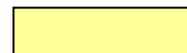
## 2.1 EXECUTION OF PROGRAM ACTIVITIES (100%)

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Outstanding



**Outstanding/ Excellent**



**Good**



**Marginal / Unsatisfactory**

# MEASURE 2.1.1 Project Completions and Other Key Milestones

Score – 4.0

## Summary of Performance Measure

*BSA will be evaluated on quality of work planning and schedule management via project completions, key milestones, and completion of work packages.*

## Specific Status of Metric

All working schedules support the FY05 completion of ER. Highlights as follows:

- OU V (WP 117) ROD with EPA lawyers prior to final approval. All on-site excavation complete (currently working Area P off-site). Soils shipments to commence.
- Have incorporated regulatory comments into BGRR ROD. Preparing for final submittals/approval. Preparing to execute final BGRR removal/excavation(WP 182).
- Excavation complete for Bldg 96 (WP 110). All USTs removed and shipped to Envirocare (WP 101).

## Influencing Factors

- Approval of the Action Memo for the BGRR Canal and Deep Pocket Soil Removal is needed prior to initiating the physical work.
- Lack of approval of the ESD is impacting finalization of the final groundwater treatment systems.

## Objectives for Next Quarter

- Approval of the ESD.
- Approval of the Action Memo for the BGRR Canal and Deep Pocket Soil Removal.

## Partnership Items

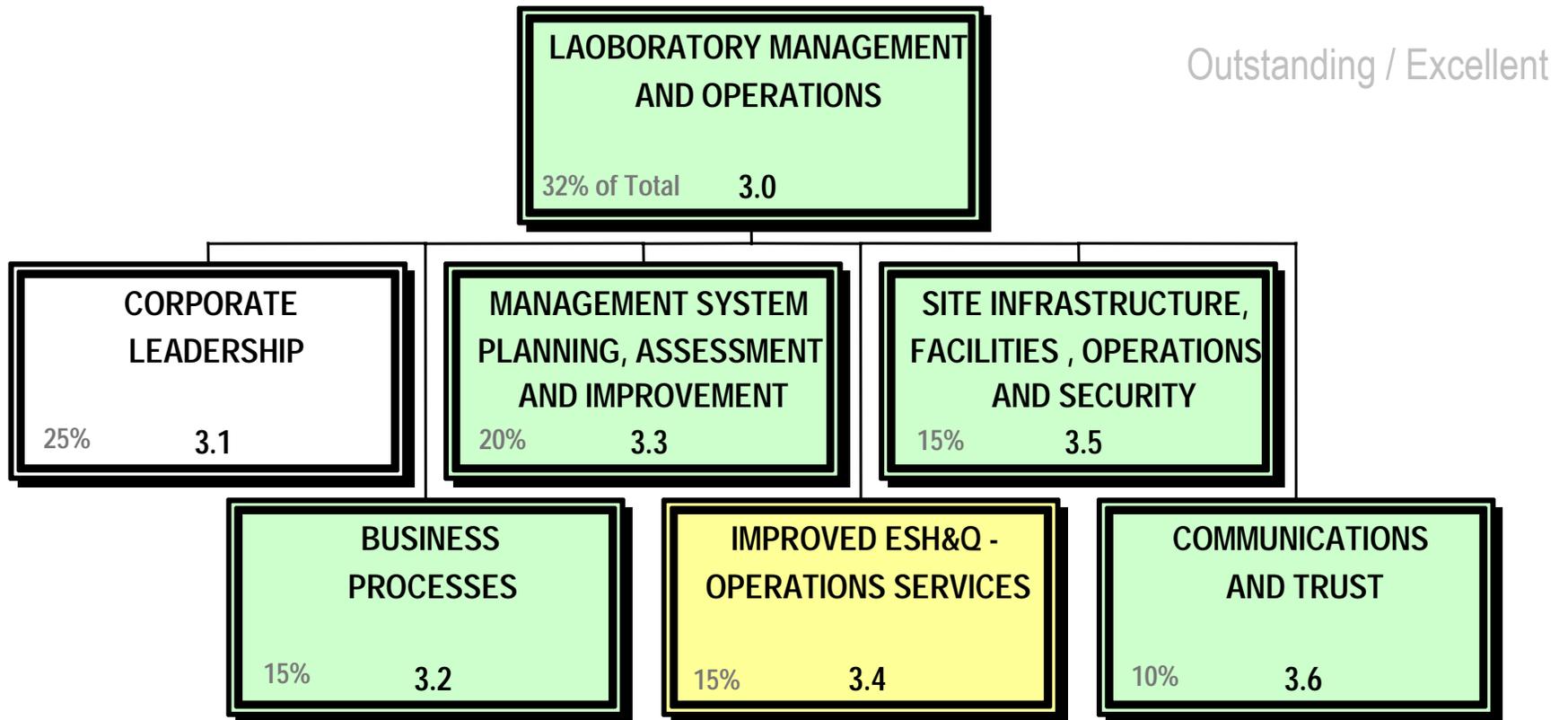
- Performance during period of Continuing Resolution was outstanding. Project controls metrics and indicators need to more accurately reflect project performance and projection.
- Alternate disposition paths need to be examined and proposed to DOE for waste streams and articles hampered by the inaccessibility of Hanford and Los Alamos National Laboratory.

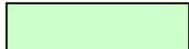
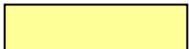
## Performance Metric

*Outstanding*

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

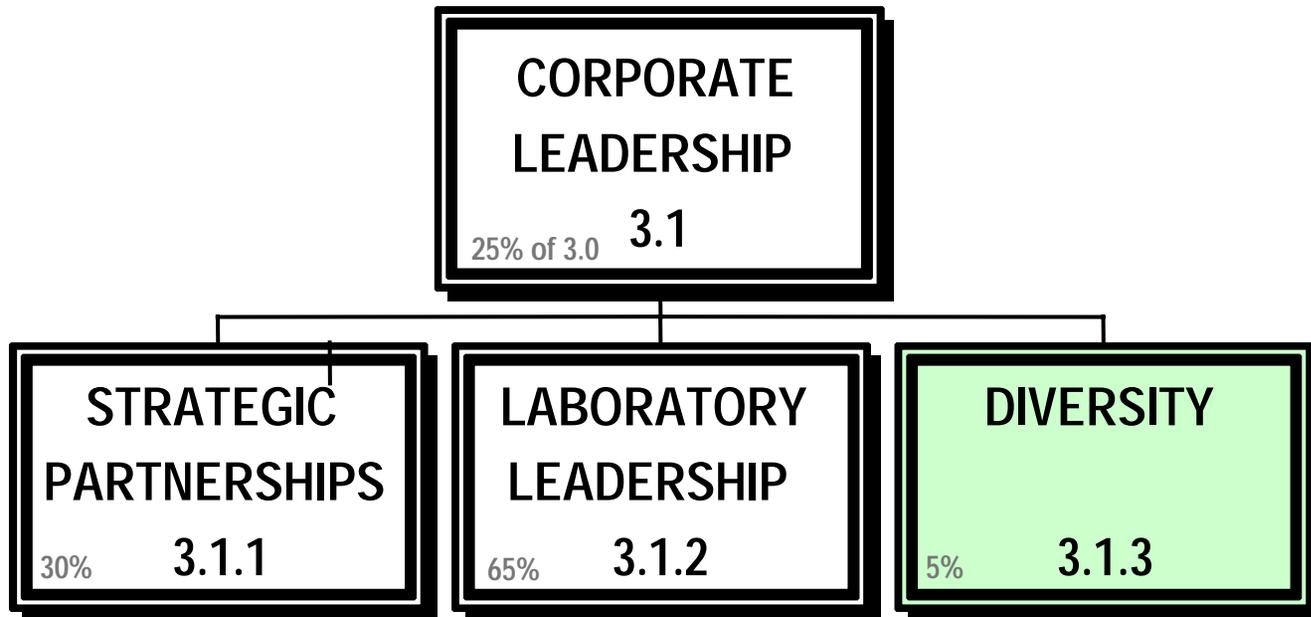
# CRITICAL OUTCOME 3.0: LABORATORY MANAGEMENT & OPERATIONS (32%)

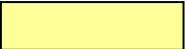


-  Outstanding / Excellent
-  Good
-  Marginal / Unsatisfactory

# 3.1 CORPORATE LEADERSHIP (25%)

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-  Outstanding / Excellent
-  Good
-  Marginal / Unsatisfactory

# MEASURE 3.1.1 Strategic Partnerships

Score -

## Summary of Performance Measure

*BSA will endeavor to establish partnerships or programs that result in sponsorship or enhanced financing from non-DOE entities to support research programs.*

## Specific Status of Metric

- No report this quarter.

## Influencing Factors

- 

## Objectives for Next Quarter

- 

## Partnership Items

## Performance Metric

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

# MEASURE 3.1.2 Laboratory Leadership

Score -

## Summary of Performance Measure

*BSA will demonstrate active corporate involvement in seven defined activities.*

## Specific Status of Metric

- No report this quarter.

## Influencing Factors

- 

## Objectives for Next Quarter

- 

## Partnership Items

## Performance Metric

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

# MEASURE 3.1.3 Diversity

Score – 3.2

## Summary of Performance Measure

*BSA will strive for Best Practices in managing diversity programs linked to recruitment and diversity educational awareness activities.*

## Specific Status of Metric

- Diversity Office aligned BNL recruitment activity with HR to focus on S&T strategic goals and to maximize exposure to science and operations opportunities.
- Assessment of 2001 Hewitt Diversity Emphasis Study was completed and prioritized. Timeline will be established with next quarterly period.
- Diversity Office conducted diversity communication, sexual harassment, mentoring and religious awareness training for employees in BES Division.
- Diversity Manager distributed Diversity Engagement Practices check to Level I & II Managers to improve diversity awareness and accountability linked to performance.

## Performance Metric

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

## Influencing Factors

- To be effective, diversity educational awareness training is conducted in small groups of less than 100. Additional resources are required to increase training delivery.
- Limited employment opportunities decrease return-on-investment for recruitment activities. Early identification of targeted opportunities would enhance recruitment.

## Objectives for Next Quarter

- Conduct Phase II of diversity education awareness training with BES personnel and to a lesser extent, across the Lab in the area of religious awareness training.
- Continue to meet with Level I & II Managers to discuss their diversity practices.

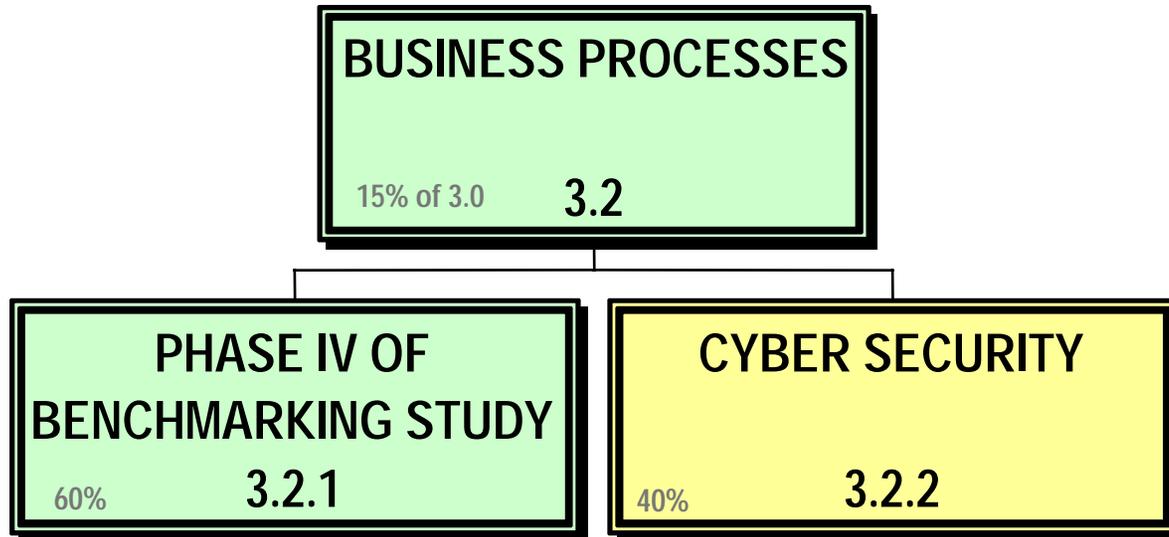
## Partnership Items

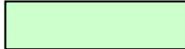
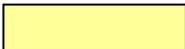
- Results reported to BHSO; no feedback was provided back to BNL.

## 3.2 BUSINESS PROCESSES (15%)

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Excellent



-  Outstanding / Excellent
-  Good
-  Marginal / Unsatisfactory

## MEASURE 3.2.1 Phase IV of Benchmarking Study

Score – 4.0

### Summary of Performance Measure

*Implement FY 2005 activities in accordance with the Implementation Plan (2004) resulting from Hackett Benchmarking study.*

### Specific Status of Metric

- PPM worked with the Business System Division and drafted the eProcurement Implementation Plan. The final version will be completed by 1/31/05.
- PPM selected the first catalog-based vendor for eProcurement, which is a DOE ICPT vendor. A second vendor is under evaluation to supply laboratory animals.
- The Budget Office has been utilizing a Financial Dashboard to report the financial status of the Laboratory at various management meetings.
- Historic data was collected on the LDRD program for evaluation of the program.

### Performance Metric

Percentage of recommendations being addressed

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

### Influencing Factors

- None.

### Objectives for Next Quarter

- Complete eProcurement Implementation Plan. Work on implementation of the PeopleSoft eSettlement module and Peoplesoft Supply Chain Portal Pack.
- Provide an analysis of the LDRD data to the Integrated Planning Office.

### Partnership Items

- No feedback was received.

# MEASURE 3.2.2 Cyber Security

Score – 2.5

## Summary of Performance Measure

*Track performance through the DOE Cyber Security Review, Information Technology Division (ITD) development of corrective action plan, and ITD progress towards meeting corrective action plan FY 2005 milestones.*

## Specific Status of Metric

- DOE's Office of Independent Oversight (OA) reviewed BNL's Unclassified Cyber Security program in November 2004.
- BNL's Unclassified Cyber Security program received a rating of "Significant Weakness."
- BNL's response to OA's draft report submitted to Michael Holland on 1/6/05.

## Performance Metric

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

## Influencing Factors

- None.

## Objectives for Next Quarter

- ITD will develop a corrective action plan with timelines and milestones to address the OA findings within 60 days of BNL receiving the final DOE OA report.

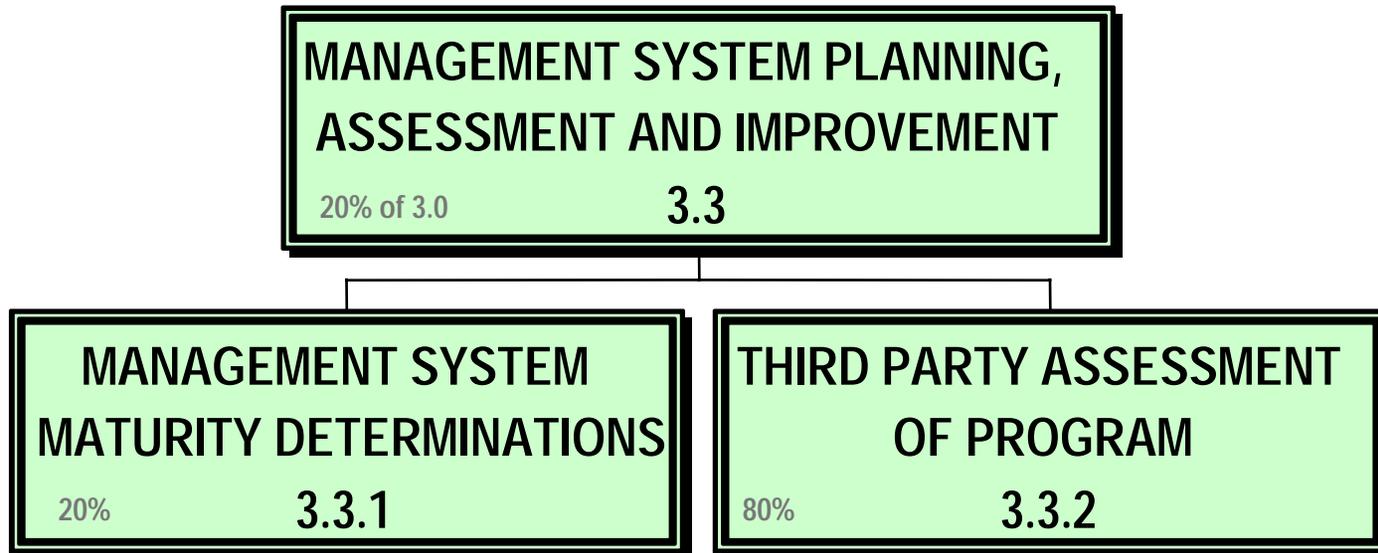
## Partnership Items

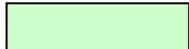
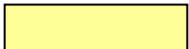
- Although the OA rated the BNL Unclassified Cyber program as having "Significant Weakness" in the past year numerous improvements were implemented towards enhancing the program.
- To address the rating, senior BNL management need to strongly focus on corrective actions across the Laboratory (outside of ITD) that will bring a defense in depth to Cyber Security.

### 3.3 MGMT. SYSTEM PLANNING, ASSESSMENT AND IMPROVEMENT (20%)

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Excellent



-  Outstanding / Excellent
-  Good
-  Marginal / Unsatisfactory

## MEASURE 3.3.1 Management System Assessment Planning

Score – 3.0

### Summary of Performance Measure

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

### Specific Status of Metric

- Preparation of guidance for Management Systems self-assessment process and inter-relations with the corporate assurance process is underway.
- Consolidation and integration of the assessment schedule was completed and an on-line Laboratory Assessment schedule is available to organizations on the BNL web site.

### Performance Metric

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

### Influencing Factors

- The Integrated Assessment Program is being restructured to incorporate the corporate assurance processes.

### Objectives for Next Quarter

- Finalize the schedule for the Maturity Determinations or comprehensive Independent Assessments for the second and third quarters.

### Partnership Items

- The schedule for the Maturity Determinations or comprehensive Independent Assessments will be coordinated with BHSO.

## MEASURE 3.3.2 Third Party Assessment of Program

Score – 3.0

### Summary of Performance Measure

*Modify the evaluation protocol and using a Third-Party Team, evaluate the management systems planning and assessment activities.*

### Specific Status of Metric

- Prepared a draft scope of work (SOW) for the Third Party Team. The draft SOW will be submitted to DOE for review in January 2005.
- BNL proposed the same Third Party Team for FY05, based on the positive feedback received from BNL senior management and BSHO on the FY04 Third- Party Team performance.
- Formed a working group consisting of BNL senior management and line organizations to strategize implementation methods and actions to address the FY04 recommendations.

### Performance Metric

As determined by the criteria and Third Party evaluation.

*Excellent*

### Influencing Factors

- None.

### Objectives for Next Quarter

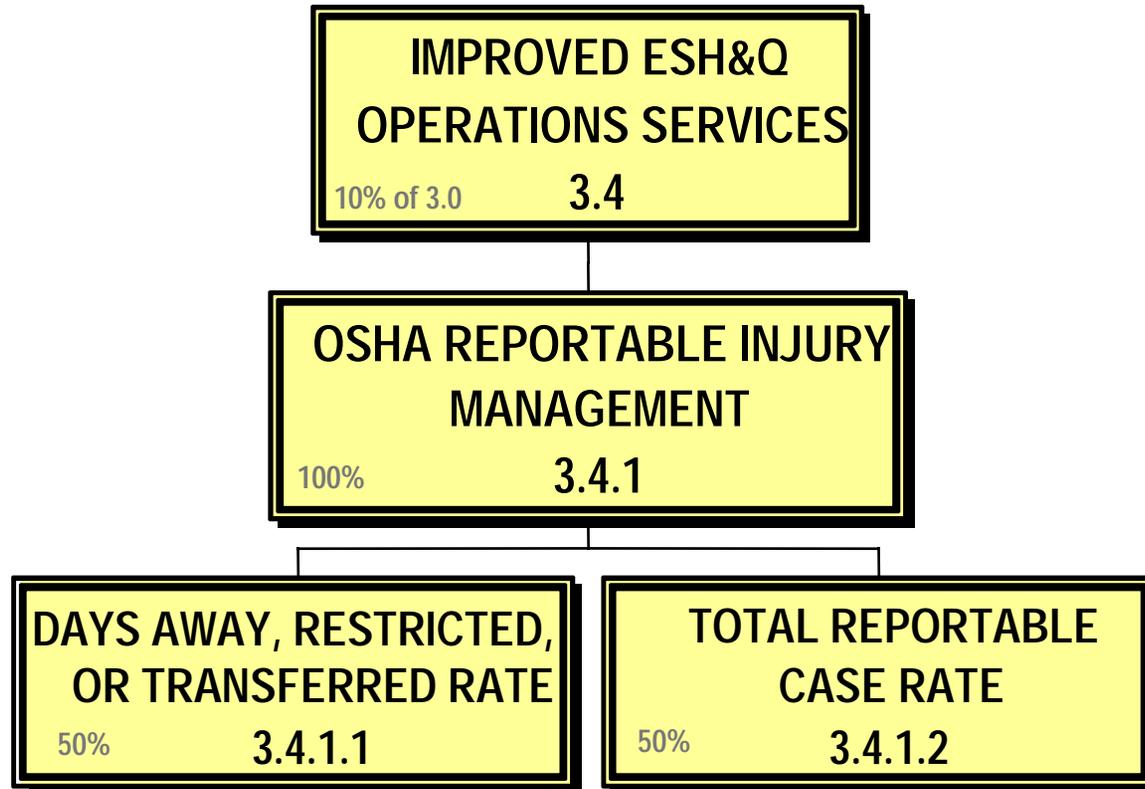
- Award the Third-Party Team contracts with DOE and contractor personnel and finalize the scope and the assessment schedule.
- Revise the Third Party Protocol and define the inter-relations with the corporate assurance process.
- Third Party Team will evaluate the approach phase (plans) of the Management Systems.

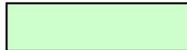
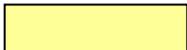
### Partnership Items

- Held a meeting 1/20/05 with BSHO counterparts to discuss Third Party Team scope of work and schedule and solicit feedback for the measure.
- BSHO provided expectations for the Third-Party review.

# 3.4 IMPROVED ESH&Q – OPERATIONS SERVICES (15%)

Good



-  Outstanding / Excellent
-  Good
-  Marginal / Unsatisfactory

## MEASURE 3.4.1. OSHA Reportable Injury Management

Score – 4.0

### Summary of Performance Measure

*BSA will increase commitment to achieve excellence in workplace safety and health protection and will track progress through improvement in the Days Away, Restricted, or Transferred (DART) rate and Total Recordable Case (TRC) rate.*

### Specific Status of Metric

- The Laboratory has been working diligently to improve the safety culture. Specific safety metrics have been included in Level I and II Manager's FY 05 performance goals.
- Safety Partnership Week was held during the week of 11/29/04. Employees and guests actively participated in identifying and fixing safety issues. Follow-up activities are underway.
- Ten organizations from five directorates are participating in Phase II of the OHSAS 18001 registration process. Risk assessments of routine work are on-going.
- An Executive Safety Leadership Workshop was conducted on 12/16/04, by DuPont. The attendees included Laboratory ALDs, Department Chairs, Division Managers, and BHSO Managers.

### Performance Metric

Outstanding

The metric is a roll-up of Measures 3.4.1.1 and 3.4.1.2.

### Influencing Factors

- Resources necessary to conduct the risk assessments are limited, therefore priorities need to be managed to ensure the focus remains on tasks required to achieve registration.
- Ability to address Partnership Items.

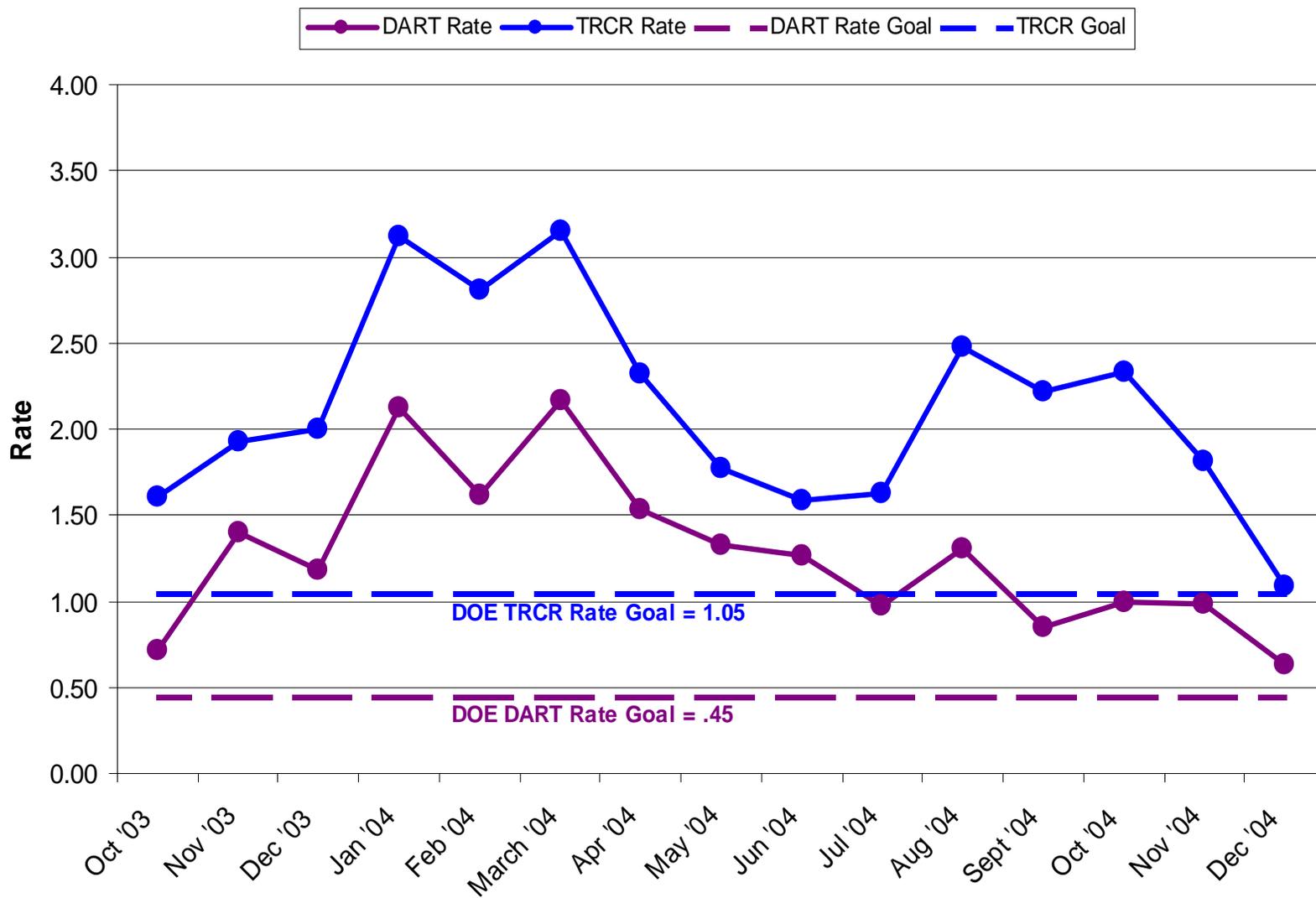
### Objectives for Next Quarter

- Standard injury/illness analyses will be conducted at the Laboratory-level to identify significant trends and problem areas. Resources will be focused on addressing significant issues.

### Partnership Items

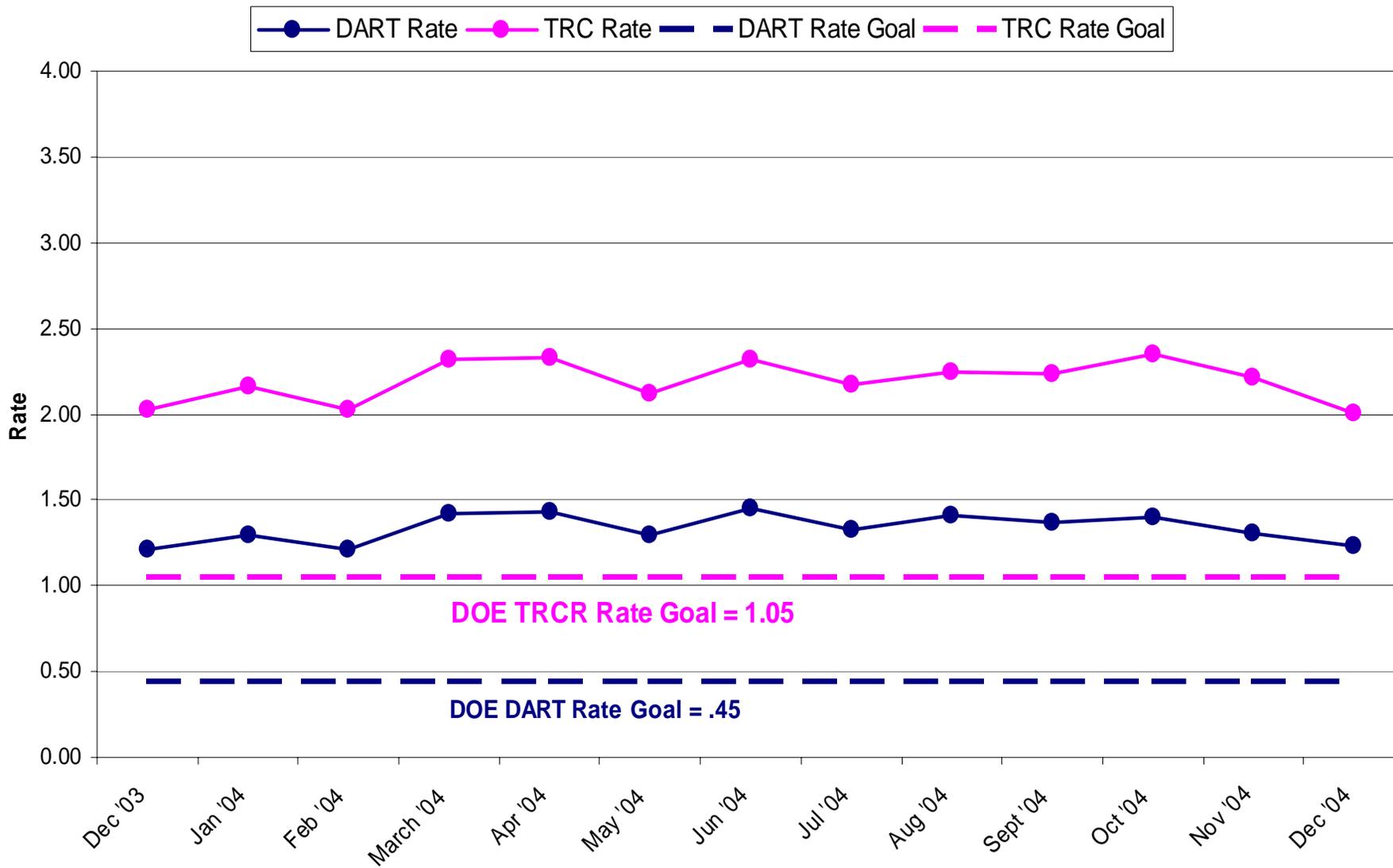
- The OHSAS 18001 Registration process doesn't address all the problems:
  - The event management process at BNL doesn't seem robust enough.
  - Alignment with the Work Planning and Control Management System needs to be ensured.
  - Ensure skill-of-the-craft work is reviewed and authorized.

# Three Month Rolling Average



Date 27

# Twelve Month Rolling Average



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

Score – 4.0

### Summary of Performance Measure

*BSA will track progress through improvement in the Days Away, Restricted, or Transferred (DART) rate.*

### Specific Status of Metric

- As of 12/31/04, there were 4 DART cases. An outstanding rating can be achieved if there are 7 or less additional DART cases, for the remainder of the year.
- Routine communication through ESH&Q monthly summaries, Monday Morning Memo, and the Main Gate's electronic sign, increases employee awareness on issues that impact their safety.
- BNL has awarded a snow removal contract to enable Plant Engineering to augment its workforce during severe snow storms and improve its ability to effectively clear the site.
- During Safety Partnership week, all employees actively participated in making the workplace safer. It is expected that this effort will continue throughout the year.

### Performance Metric

Outstanding	BNL Dart $\leq 0.45$
Excellent	$> 0.45$ and $\leq 0.60$
Good	$> 0.60$ and $\leq 0.80$
Marginal	$> 0.80$ and $\leq 0.90$
Unsatisfactory	$> 0.90$

### Influencing Factors

- Inclement weather can impact the number of slips and falls.
- Injuries have been related to employee awareness of work environment and actions they take, such as paying attention to where they are walking or wearing PPE provided to them.

### Objectives for Next Quarter

- Perform risk assessments of routine work in departments and divisions working toward OHSAS 18001 registration.
- Implement recommendations from Safety Partnership Week that require short-term actions.

### Partnership Items

- See Partnership Items in Measure 3.4.1.

## MEASURE 3.4.1.2 Total Recordable Case Rate

Score – 4.0

### Summary of Performance Measure

*BSA will track progress through improvement in the Total Recordable Case (TRC) rate.*

### Specific Status of Metric

- As of 12/31/04, there were 7 recordable cases. An outstanding rating can be achieved if there are 19 or less additional recordable cases, for the remainder of the year.
- Lessons Learned from incidents at BNL and other SC Labs have been circulated to employees for their use in evaluating their work and take actions to prevent similar occurrences.
- During Safety Partnership Week, the focus was on individuals identifying and fixing routine/housekeeping safety deficiencies - not walking by the problem.

### Performance Metric

Outstanding	BNL TRC $\leq 1.05$
Excellent	$> 1.05$ and $\leq 1.25$
Good	$> 1.25$ and $\leq 1.55$
Marginal	$> 1.55$ and $\leq 1.85$
Unsatisfactory	$> 1.85$

### Influencing Factors

- Injuries have been related to employee awareness of work environment and actions they take, such as paying attention to where they are walking or wearing PPE provided to them.

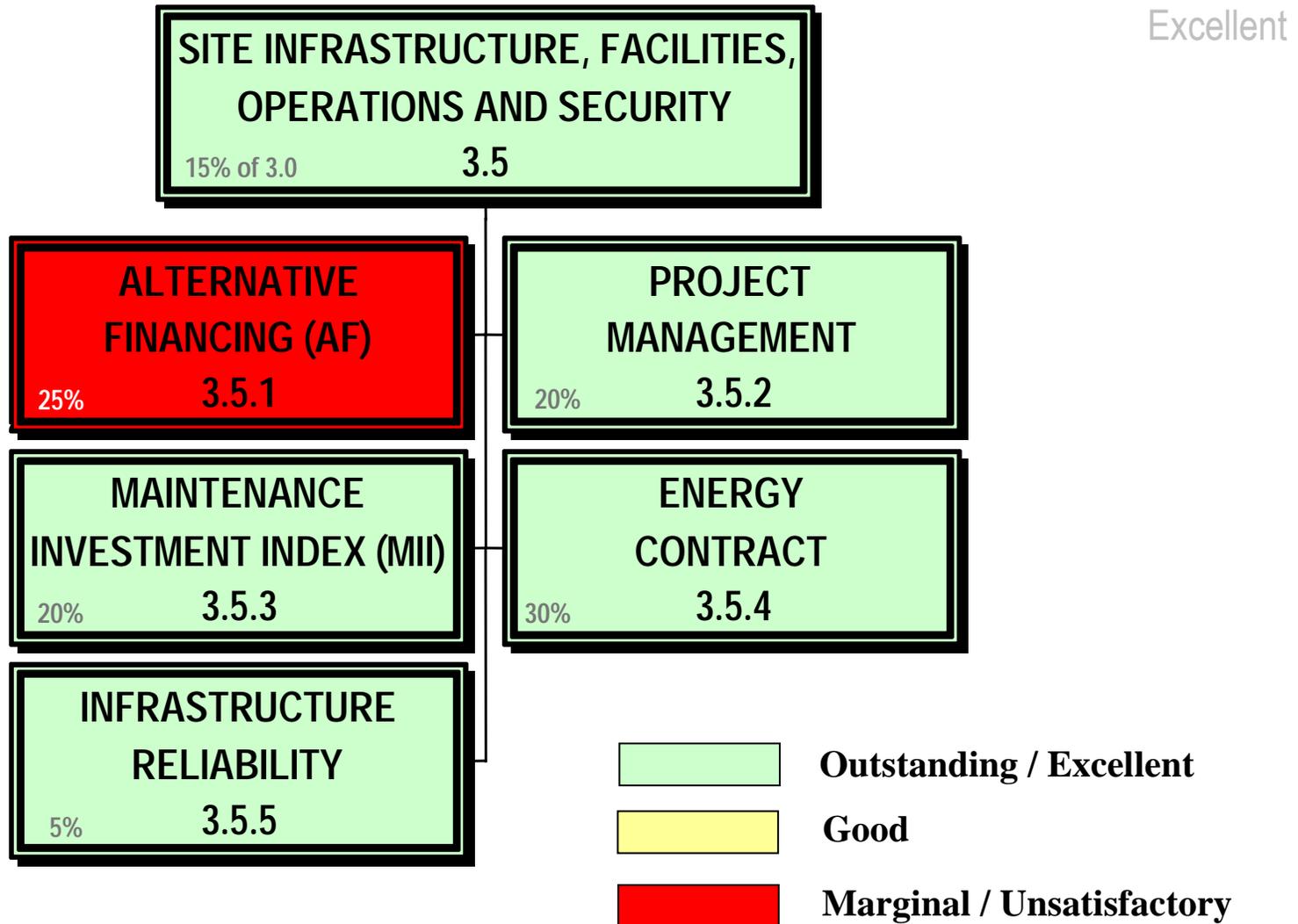
### Objectives for Next Quarter

- Focus on electrical safety and lessons learned from SLAC accident to ensure that conditions that could cause a similar event at BNL are identified and corrected.
- A Laboratory-level standard method of performing injury/illness analysis will be developed by 3/31/05.

### Partnership Items

- See Partnership Items in Measure 3.4.1.

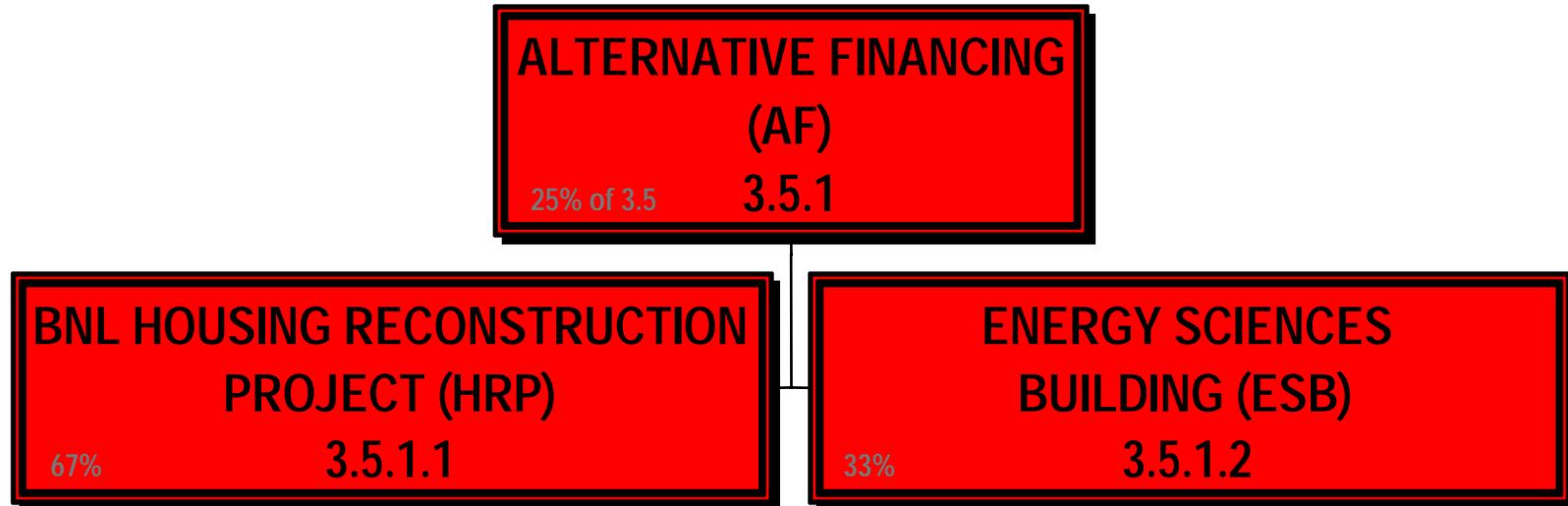
## 3.5 SITE INFRASTRUCTURE, FACILITIES AND OPERATIONS (15%)

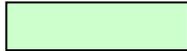
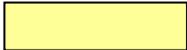


## 3.5.1 ALTERNATIVE FINANCING (AF) (25%)

---

Marginal



-  Outstanding / Excellent
-  Good
-  Marginal / Unsatisfactory

## MEASURE 3.5.1 Alternative Financing (AF)

Score – 1.5

### Summary of Performance Measure

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

### Specific Status of Metric

- The Acquisition Strategy document for the Housing Reconstruction Project (HRP) was submitted to BHSO for review. BHSO provided comments on the document to BNL in January. BNL will resolve comments and re-submit the document for approval.
- Work on Energy Sciences Building (ESB) was minimal pending HRP progress. The ESB is not a viable option because there is no revenue stream for this building.

### Performance Metric

*Marginal*

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

$$AF = 0.67 * HRP + 0.33 * ESB$$

### Influencing Factors

- Resolution of the A-11/economic analysis was not obtained in FY04 from DOE. The FY05 measures are contingent on a favorable resolution of the A11/economic analysis.
- DOE guidelines regarding Alternately Financed projects have not yet been published.
- The ESB project will not have a revenue stream and will require funding entirely by G&A/space taxes.

### Objectives for Next Quarter

- Re-submittal of the Acquisition Strategy document and continuation of CD-1 approval process for the HRP.
- DOE approval of a contract change modification to revise the HRP metrics and remove the ESB measure from Appendix B.

### Partnership Items

- BHSO and BNL are currently re-negotiating the metrics for the HRP measure. A contract change modification was drafted for submittal to BHSO.
- BHSO and BNL have an agreement, in principle, to remove the ESB measure from Appendix B. A contract change modification was drafted for submittal to BHSO.

# MEASURE 3.5.1.1 BNL Housing Reconstruction Project (HRP)

Score – 1.5

## Summary of Performance Measure

*Proceed with the development process of the alternately financed Housing Reconstruction Project.*

## Specific Status of Metric

- The Acquisition Strategy document was submitted to DOE.
- BHSO provided comments to BNL in January 2005 and a meeting has been scheduled in February to resolve comments.

## Performance Metric

Outstanding	Contractor/Developer selected*
Excellent	Issue RFP to Contractors/Developers*
Good	Issue RFP to PPM*
Marginal	Submittal of Acquisition Strategy to DOE for approval
Unsatisfactory	No further progress after September 30, 2004

\* Contingent upon receipt of DOE authorization to proceed no later than 12/15/04.

## Influencing Factors

- Resolution of the A-11/economic analysis was not obtained in FY04 from DOE. The FY05 measures are contingent on a favorable resolution of the A11/economic analysis.
- DOE guidelines regarding Alternately Financed projects have not yet been published.
- DOE indicated that if Davis-Bacon requirements apply to an Alternately Financed project, it can not qualify as an Operating Lease project.

## Objectives for Next Quarter

- Re-submittal of the Acquisition Strategy and continuation of CD-1 approval process.
- Explore other avenues for funding such as NY State, County, or other Federal agencies. while still pursuing approval through DOE-authorized Alternative Financing channels.

## Partnership Items

- BHSO and BNL are currently re-negotiating the metrics for this measure. A contract change modification was drafted for submittal to BHSO.

## MEASURE 3.5.1.2 Energy Sciences Building (ESB)

Score – 1.5

### Summary of Performance Measure

*Proceed with the development process of the alternately financed Energy Sciences Building Project.*

### Specific Status of Metric

- Difficulty resolving the Housing Reconstruction Project, and current and on-going funding constraints, makes this project not viable.

### Performance Metric

Outstanding	RFP and CD-0 ( if required) to DOE for review
Excellent	Submittal of Acquisition Strategy to DOE for approval
Good	Mission Need Statement (MNS) to DOE
Marginal	Finalize Performance Specification
Unsatisfactory	No further progress after September 30, 2004

### Influencing Factors

- The Housing Reconstruction Project is not proceeding as anticipated due in large part to DOE's concerns regarding the requirements for an Operating Lease.
- This project will not have a revenue stream and will require funding entirely by G&A/space taxes.

### Objectives for Next Quarter

- DOE approval of a contract change modification to remove this measure from Appendix B.

### Partnership Items

- BHSO and BNL have an agreement, in principle, to remove this measure from Appendix B. A contract change modification was drafted for submittal to BHSO.

# Request for Revision of Critical Outcome Performance Measures

---

Critical Outcome: 3.0 – Laboratory Management & Operations

Objective: 3.5.1 – Alternative Financing

$$AF=0.67*HRP + 0.33*ESB$$

Existing Measure: 3.5.1.1 BNL Housing Reconstruction Project (HRP)

The weight of this element is 67%

Outstanding	Contractor/Developer selected*
Excellent	Issue RFP to Contractors/Developers*
Good	Issue RFP to PPM*
Marginal	Submittal of Acquisition Strategy to DOE for approval
Unsatisfactory	No further progress after September 30, 2004

\*Contingent upon receipt of DOE authorization to proceed no later than 12/15/04

Existing Measure: 3.5.1.2 Energy Sciences Building (ESB)

The weight of this element is 33%

*This building is no longer being supported by the Laboratory Director and will not be pursued.  
3.5.1.2 should be deleted as a Performance Measure*

# Request for Revision of Critical Outcome Performance Measures

## Requested Revision

New Measure: 3.5.1.1 BNL Housing Reconstruction Project (HRP)  
AF=100% HRP

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

Justification: DOE authorization to proceed was not received by the stated dated of 12/15/04.  
The Laboratory Director will not pursue the construction of an Energy Science Building at this time.  
DOE has not yet published a policy document on Alternative Financing

Submitted By: \_\_\_\_\_ Date  
Measure Steward

Approved By: \_\_\_\_\_ Date  
Critical Outcome Steward

# MEASURE 3.5.2 Project Management

Score – 4.0

## Summary of Performance Measure

*Manage construction and construction-like projects to ensure scope, schedule, and cost objectives are met.*

## Specific Status of Metric

- The full metric has not been established yet since the FY05 GPP program has not been approved. This should be resolved in the second quarter.
- The on-going prior year GPP projects are progressing well but have experienced cost pressure due to the steep construction material cost increases in FY04.
- The Research Support Building received CD-3, successful bids, and will start construction in the second quarter.
- CD-3 for the CFN may be administratively delayed by DOE; however, this would qualify as a directed baseline change.

## Influencing Factors

- DOE has taken a non-traditional approach for the CFN by requesting the construction contract be bid prior to issuing CD-3.

## Objectives for Next Quarter

- Receive approval of the FY05 GPP program and prepare complete FY05 performance measure metric.
- Award contract and begin construction of the RSB
- Receive successful bids for the CFN and receive CD-3.

## Partnership Items

- Results reported to BHSO, no feedback was provided back to BNL.

## Performance Metric

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

## MEASURE 3.5.3 Maintenance Investment Index (MII)

Score – 4.0

### Summary of Performance Measure

*This measure tracks operating expensed maintenance investment on active conventional facilities against DOE maintenance investment goals.*

### Specific Status of Metric

- First quarter target met and reported back to DOE.
- Identified some non-Plant Engineering maintenance of real property from Staff Services, Emergency Management and Environmental Management.

### Performance Metric

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

### Influencing Factors

- Competition for indirect funding for ES&H issues and removal of environmental legacies.
- Uncertainties in programmatic direct funding of maintenance. FY05 estimates based on FY04 spending. No budget data available to more accurately estimate.

### Objectives for Next Quarter

- Meet MII target.
- Continue to identify non-Plant Engineering real property maintenance, which can be included.

### Partnership Items

- Results reported to BHSO, no feedback was provided back to BNL.

# MEASURE 3.5.4 Energy Contract

Score – 3.0

## Summary of Performance Measure

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

## Specific Status of Metric

- Numerous meetings with various public officials to further support for extension of low-cost electric power contract.
- Employed services of a consultant to assist with evaluating options.
- Completion of Utility Options Study and Cogeneration Feasibility Study to identify all options and issues.
- Numerous discussions, correspondence, and meetings with high level officials of LIPA, NYPA, the Empire State Development Corporation, and the Governor's Office have taken place.

## Performance Metric

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

## Influencing Factors

- De-regulation of the electric industry in New York State has imposed various rules and requirements that can not be avoided, and will increase power costs substantially.
- Inability on the part of NYPA to supply low-cost power to their customers on Long Island resulting from various issues, as well as de-regulation.

## Objectives for Next Quarter

- Continue meetings and negotiations with the various parties (LIPA, NYPA, ESDC).
- Anticipate a proposal for a short-term contract extension (2 years) by end of next quarter.

## Partnership Items

- BNL and DOE actively working together to achieve objectives.

# MEASURE 3.5.5 Infrastructure Reliability (RI)

Score – 4.0

## Summary of Performance Measure

*The measure tracks maintenance effectiveness using the Infrastructure Reliability Index (RI) and Electrical System Reliability (ESR).*

## Specific Status of Metric

- Maintenance Investment Index (MII) funding will help this measure maintain high performance ratings.
- Continue to fund transformer oil analysis as a predictive means of identifying problems early while corrective measures can be taken.

## Influencing Factors

- MII funds did not turn out to be as much as originally expected.

## Objectives for Next Quarter

- Maximo (new computerized maintenance management system) will be brought on-line. It has the capacity to generate KPIs (key performance indicators) within the software.

## Partnership Items

- Results reported to BHS; no feedback was provided back to BNL.

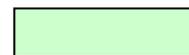
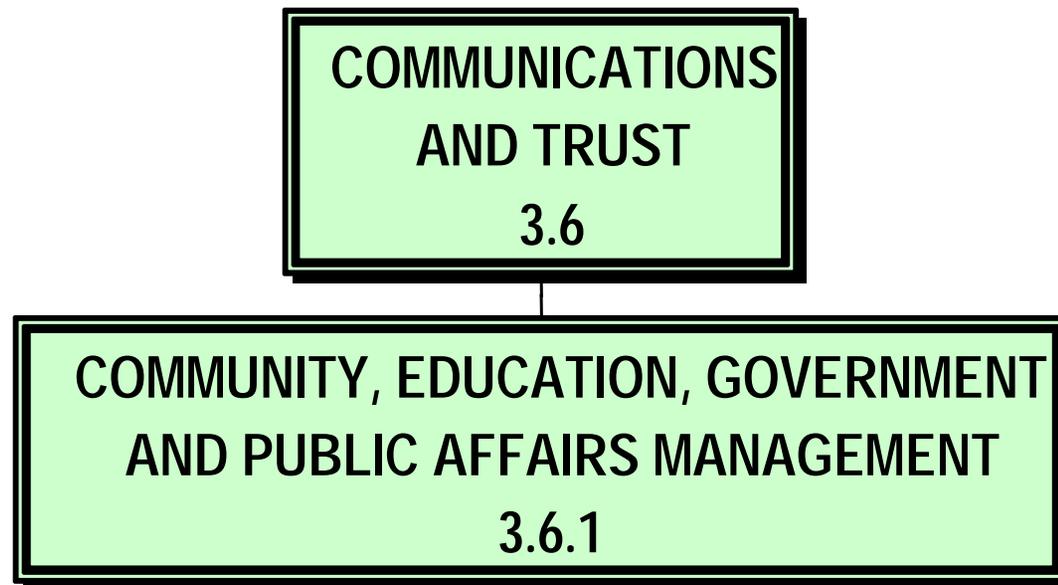
## Performance Metric

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

## 3.6 COMMUNICATIONS AND TRUST (10%)

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Outstanding



**Outstanding / Excellent**



**Good**

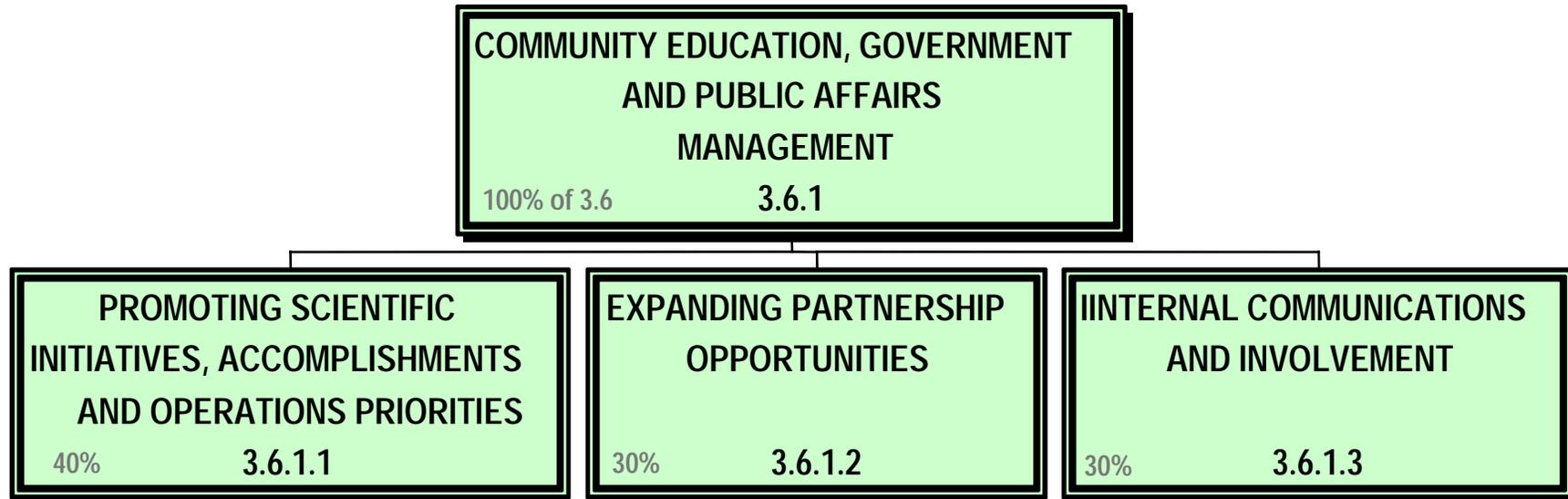


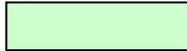
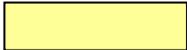
**Marginal / Unsatisfactory**

### 3.6.1 COMMUNITY EDUCATION, GOVERNMENT AND PUBLIC AFFAIRS MANAGEMENT (100%)

---

Outstanding



-  Outstanding / Excellent
-  Good
-  Marginal / Unsatisfactory

# MEASURE 3.6.1 Community, Education, Government and Public Affairs

Score – 3.8

## Summary of Performance Measure

*The Laboratory is committed to ensuring that its community relations, education, government and public affairs (CEGPA) programs are aligned with its and DOE's short and long-range science and operational priorities, and continue to meet best industry, government and academic practices and standards.*

## Specific Status of Metric

- Implemented RHIC plan with a focus on continued media coverage in prominent publications, integration with World Year of Physics events and relationship management.
- Implemented CFN plan with focus on groundbreaking event scheduled in May.
- Drafted a safety communications and involvement plan that includes employee input, currently under internal review.
- Initiated development of a plan for the Research Support Building groundbreaking event scheduled for March.
- Initiated identification of key stakeholder relationships to be developed to help support a future brain imaging center.

## Performance Metric

*Outstanding*

An independent third-party review team, the Communications and Trust Advisory Panel, will evaluate the results of meeting the objective 3.6. The individuals on the panel are recognized as experts in the fields of public affairs, community, communications and web design.

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

## Influencing Factors

- None.

## Objectives for Next Quarter

- Finalize Safety Plan and begin implementation.
- Develop a Natural Resources Management Communications and Involvement Plan.
- Finalize and implement plan for Research Support Building groundbreaking event.

## Partnership Items

- Results reported to BHSO; no feedback was provided back to BNL.

# MEASURE 3.6.1.1 Promoting Scientific Initiatives, Accomplishments...

Score – 3.8

## Summary of Performance Measure

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

## Specific Status of Metric

- News coverage of RHIC in prominent publications such as Popular Science, Science, New Scientist and New York Times.
- Wide media focus on addiction research: Newsday, Dateline, ScienCentral, Reuters Health and Yahoo News. Information on patient advocacy websites noted DOE support.
- Initiated development of communications/activity checklist to be used when communicating DOE's mission and its role in BNL research.

## Performance Metric

*Outstanding*

An independent third-party review team, the Communications and Trust Advisory Panel, will evaluate the results of meeting the objective 3.6. The individuals on the panel are recognized as experts in the fields of public affairs, community, communications and web design.

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

## Influencing Factors

- None.

## Objectives for Next Quarter

- Implement use of checklist to help leverage DOE's placement in media coverage and to ensure appropriate DOE branding is included in all planned events.
- Continue promoting scientific initiatives and accomplishments; continue discussions with DOE HQ about quark-gluon plasma announcement.

## Partnership Items

- Results reported to BHSO; no feedback was provided back to BNL.

## MEASURE 3.6.1.2 Expanding Partnership Opportunities

Score – 3.75

### **Summary of Performance Measure**

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

### **Specific Status of Metric**

- Established a partnership with New York Science and Technology Academic Research to conduct middle school teacher training slated for Spring 2005.
- Planned a pilot educational program in collaboration with New York University for teachers utilizing video conferencing techniques in support of the RSVP project.
- Targeted and joined the policy board of the Mid-East Suffolk Teachers Association to establish a relationship and new opportunities to collaborate in presenting teacher workshops and in-service teacher programs.
- Initiated discussions between Howard University nanotechnology faculty and BNL nanoresearchers to identify collaborative research opportunities and student placement options.

### **Performance Metric**

*Outstanding*

An independent third-party review team, the Communications and Trust Advisory Panel, will evaluate the results of meeting the objective 3.6. The individuals on the panel are recognized as experts in the fields of public affairs, community, communications and web design.

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

### **Influencing Factors**

- None.

### **Objectives for Next Quarter**

- Host up to sixteen City University of New York NSF funded Bridges to Doctorate students at BNL to identify potential researchers for mentors.
- Conduct Science Bowl Competition sponsored by the U.S. DOE.
- Conduct the College Mini-Semester Program targeting schools with NSF-funded student populations.

### **Partnership Items**

- Results reported to BHSO; no feedback was provided back to BNL.

## MEASURE 3.6.1.3 Internal Communications and Involvement

Score - 3.75

### Summary of Performance Measure

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

### Specific Status of Metric

- Formed Internal Working Group subcommittee to review Community Involvement policy, plan and process as basis for developing internal communications and involvement process.
- Obtained input from Internal Working Group on communicating effectively regarding budget, vision, and safety.
- Incorporated budget and vision input for FY05 rollout and all-employee meeting.
- Rolled out standards-compliant web template which is currently propagated throughout the upper-levels of the BNL website and adopted by C-AD, Medical and RHIC-II.

### Performance Metric

*Outstanding*

An independent third-party review team, the Communications and Trust Advisory Panel, will evaluate the results of meeting the objective 3.6. The individuals on the panel are recognized as experts in the fields of public affairs, community, communications and web design.

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

### Influencing Factors

- None.

### Objectives for Next Quarter

- Produce draft Internal Communications policy and plan and present to working group for review and comment.
- Add online opinion poll to internal homepage to solicit important employee feedback on topics of importance to Laboratory management and employees.

### Partnership Items

- Results reported to BHSO; no feedback was provided back to BNL.

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# Management System Performance

## Dashboard Conditions

### GREEN = MS is complete:

- Functions/processes up and running
- Documentation complete and current – SBMS and other – no legacy
- Good, consistent implementation
- Performance indicators and assessment results indicate a well functioning, compliant system, with only minor improvements needed

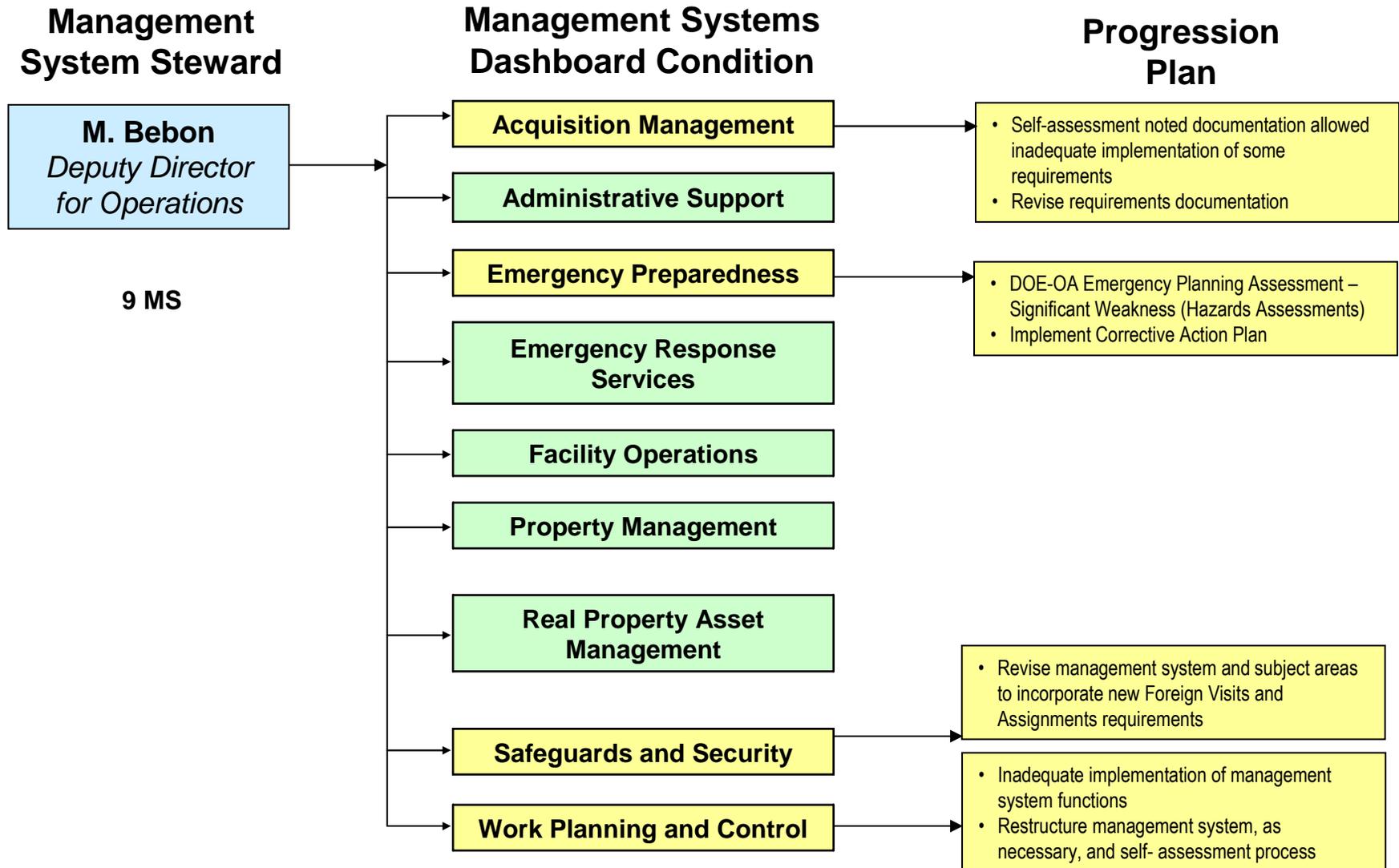
### YELLOW = MS is somewhere between Red and Green:

- Some functions/processes in place, others to be established
- All functions processes in place but inadequate implementation
- Documentation not complete, or out-of-date
- Performance indicators and assessment results indicate need for improvement

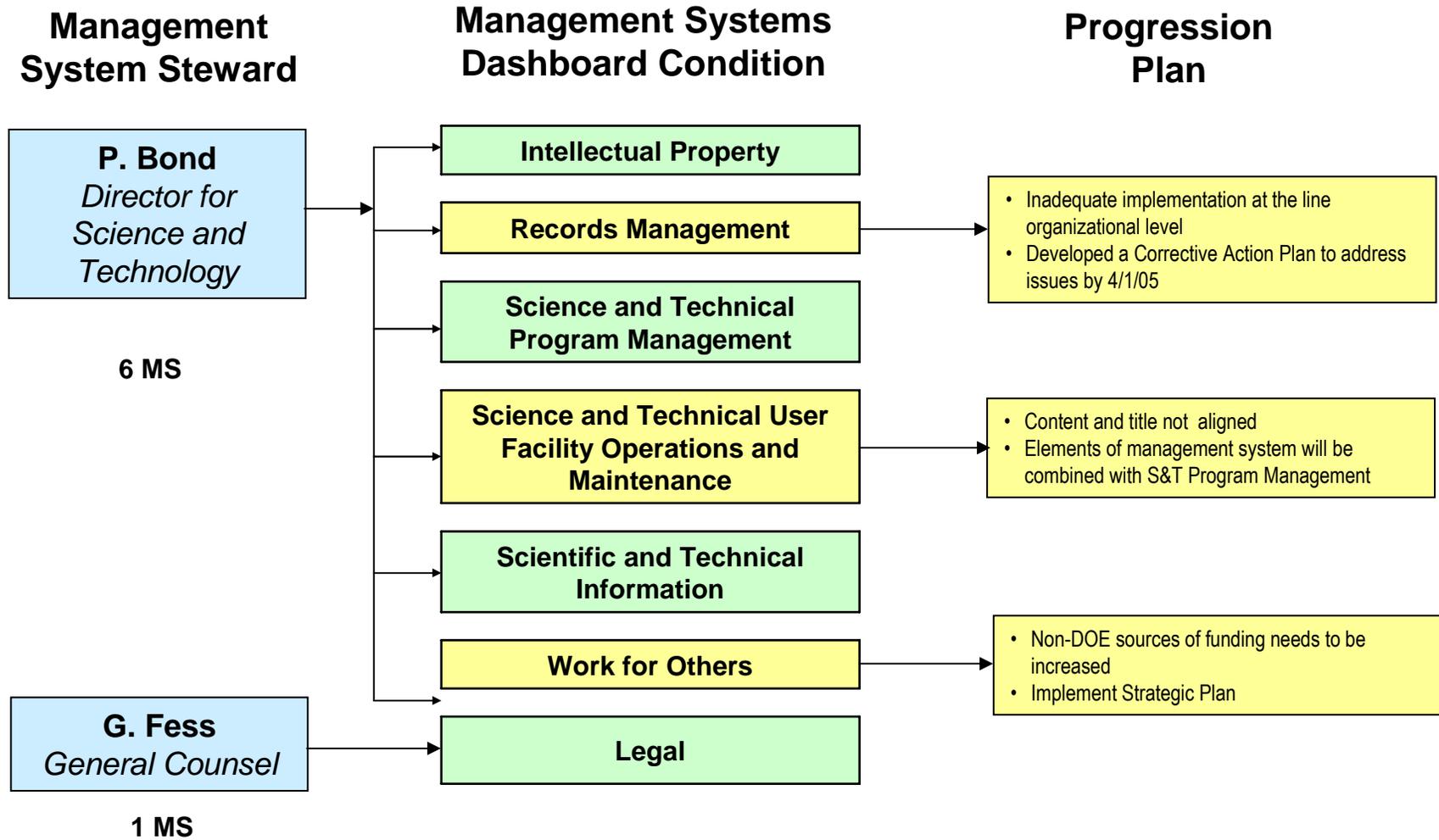
### RED = MS is incomplete:

- SBMS and other documentation not complete, or out-of-date
- Minimal implementation
- Poor performance indicators/assessment results
- Functions/processes not established
- Systematic non-compliance issues

# FY05 Management System Performance

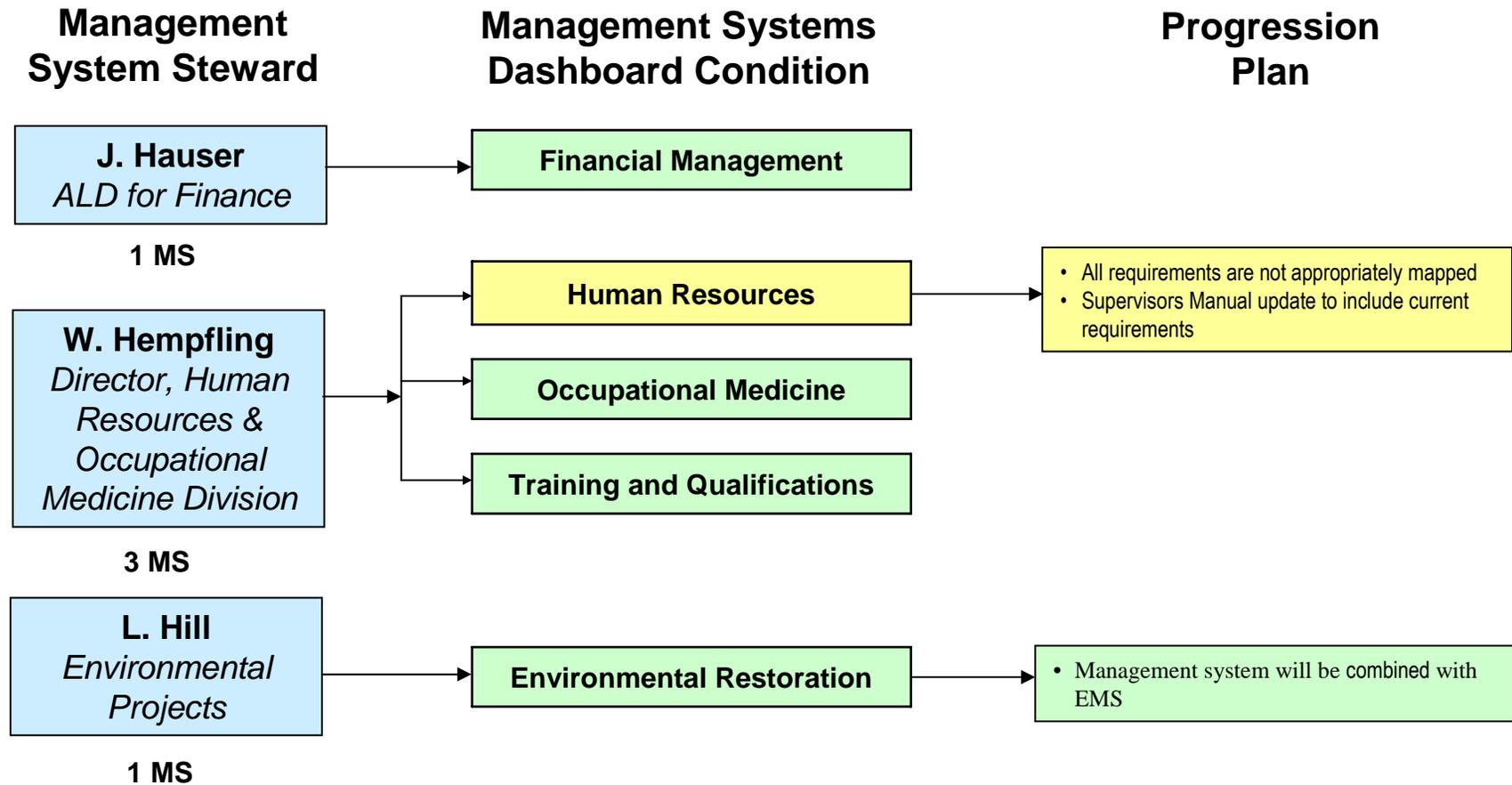


# FY05 Management System Performance



# FY05 Management System Performance

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# FY05 Management System Performance

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## Management System Steward

**M. Lynch**  
*ALD*  
*CEG&PA*

3 MS

**S. Ozaki**  
*Integrated*  
*Planning Office*

1 MS

**T. Schlagel**  
*Information*  
*Technology*  
*Division*

1 MS

## Management Systems Dashboard Condition

Educational Programs

External Communications

Internal Communications

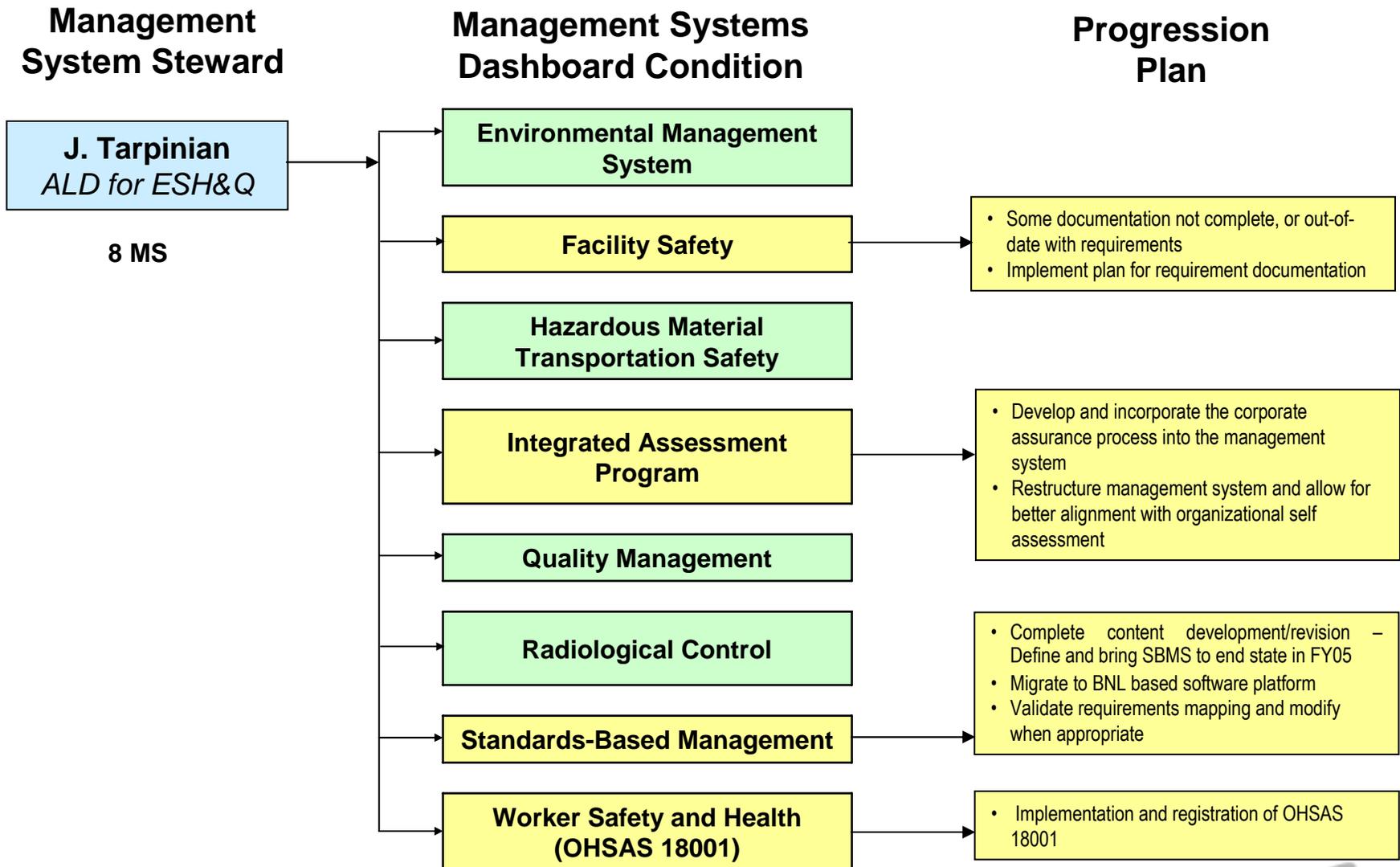
Integrated Planning

Information Resource Management

## Progression Plan

- DOE-OA Unclassified Cyber Security Assessment – Significant Weakness Rating
- Develop and implement Corrective Action Plan

# FY05 Management System Performance



# Acquisition Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Procurement of Goods and Services by PO/Contract
- Credit Card Program
- Subcontracting Program Administration

## Contract Measure(s)

- None

## Institutional Measure(s)

- Balanced Scorecard
  - Customer: Internal and DOE Customer Satisfaction
  - Internal Business Processes: Effective Internal Controls, Effective Supplier Management, and Good Corporate Citizenship
  - Staff Learning and Growth: Employee Satisfaction Index and Training & Education, and Information Availability

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway

## Management System Initiative(s)

### PPM documentation project

- Implementation of new subject areas
- Internal Procurement and Property Management (PPM) procedures to replace the Procurement Operations Manual
- Project schedule was developed and communicated with PPM staff

### E-Procurement

- Implementation of the PeopleSoft module to direct commodity acquisitions to competitively awarded contract suppliers with minimal buyer interventions required
- Project schedule was developed and communicated with BSD and PPM staff

## Requirements Status

- Policy Flash regarding Discretionary Set-Aside Authority dated 9/17/04 - BNL mechanisms to comply are covered in current documentation (Internal to PPM)

## Assessment Status

- Internal Audit Report No. 04-05-09, Allowable Cost Audit: Transaction Testing – Cash Vouchers Interim Report for Fiscal Year 2004 –2 issues were noted with milestone payments, and 2 issues were noted with change order authorization; corrective actions include revising internal procedures

## Quarter 2 Assessment(s)

- Pre-Award File Surveillance

## Progression Plan

- Documentation project to replace Procurement Operations Manual
- Implement eProcurement
- Monitor credit card program

# Emergency Preparedness Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Emergency Plan
- EP Hazard Survey
- EP Hazards Assessment

## Contract Measure(s)

- None

## Institutional Measure(s)

- Complete corrective actions on schedule

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway

## Management System Initiative(s)

- Corrective Action Plan
  - Completed 17 of 30 corrective actions
  - Provided Local Emergency Coordinator Training

## Requirements Status

- DOE Order 151.1B Comprehensive Emergency Management System to be revised

## Assessment Status

- Shelter In Place Table Top Review – 12/15/04

## Quarter 2 Assessment(s)

- None
- BHSO Independent Emergency Management Assessment – 3<sup>rd</sup> Quarter

## Progression Plan

- Implement Corrective Action Plan
- Closeout ATS and NTS corrective actions
- DOE-Office of Science/BHSO verification of completion of corrective actions

# Facility Safety Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Documentation not complete, or out-of-date with requirements.

## Contract Measure(s)

- None

## Institutional Measure(s)

- None

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway.

## Management System Initiative(s)

- Revision of legacy documents and preparation of new subject areas

## Requirements Status

- Notice of Proposed Rulemaking, 10 CFR Part 851, Worker Safety and Health

## Assessment Status

- Review Construction Safety – CFN/Research Support Building

## Quarter 2 Assessment(s)

- Machine Shop Safety – SSHSD
- Machine Guarding – F&OD

## Progression Plan

- Developed a schedule for preparing and updating documentation

# Information Resource Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Cyber Security

## Contract Measure(s)

- Track performance through DOE-OA Cyber Security Review, ITD development of corrective action plan, and ITD progress toward completing the FY05 milestones in the corrective action plan
  - DOE-OA Unclassified Cyber Security Program review resulted in “Significant Weakness” Rating
  - Corrective Action Plan to be developed

## Institutional Measure(s)

- None

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway

## Management System Initiative(s)

- Develop and submit Corrective Action Plan to DOE
- Implement approved Corrective Action Plan

## Requirements Status

- None

## Assessment Status

- DOE-OA Unclassified Cyber Security Program – *Significant Weakness Rating*

## Quarter 2 Assessment(s)

- None planned

## Progression Plan

- Develop and submit Corrective Action Plan to DOE
- Implement approved Corrective Action Plan

# Integrated Assessment Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Corporate assurance requirements will be included in the management system

## Contract Measure(s)

- Maturity Determination of (6) Management Systems
  - Preparation of guidance for Management Systems' self-assessment process and inter-relations with the corporate assurance process is underway
- Third Party Review of Management Systems
  - Prepared a draft scope of work (SOW) for the Third-Party Team. The draft SOW will be submitted to DOE for review in January 2005.
  - BNL proposed the same Third-Party Team for FY05, based on the positive feedback received from BNL senior management and BSHO on the FY04 Third Party Team performance.
  - Formed a working group consisting of BNL senior management and line organizations to strategize implementation methods and actions to address the FY04 recommendations.

## Institutional Measure(s)

- None.

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway.

## Management System Initiative(s)

- Restructure management system and organizational self-assessment
- Incorporate corporate assurance into management system

## Requirements Status

- Update the Management System to include the corporate assurance requirements from the contract modification.

## Assessment Status

- There were no assessments this quarter

## Quarter 2 Assessment(s)

- Third-Party Evaluation - Review of approach phase of Management System self-assessment plans

## Progression Plan

- Revise the Management System Description and Subject Area to include the corporate assurance process
- Third-Party Team will evaluate the approach phase (plans) of the Management Systems

# Records Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Implementation at the line organization level is inconsistent

## Contract Measure(s)

- None

## Institutional Measure(s)

- None

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway.

## Management System Initiative(s)

## Requirements Status

## Assessment Status

## Quarter 2 Assessment(s)

## Progression Plan

- Developed Corrective Action Plan to address weaknesses, completion planned for 4/1/05

# Safeguards and Security Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Foreign Visits and Assignments – New requirement, update documentation

## Contract Measure(s)

- None

## Institutional Measure(s)

- None

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway.

## Management System Initiative(s)

- Revised SPI for Foreign Visits and Assignments requirements, develop subject area
- Prepare OPSEC Subject Area
  - Include “Official Use Only” subject matter
- Implement ISSM Program
- Building security vulnerability analysis

## Requirements Status

- DOE Order 142.1 Classified Visits Involving Foreign Nationals

## Assessment Status

- Safeguards and Security FY04 Self Assessment Report issued in 12/04

## Quarter 2 Assessment(s)

- Property Protection Areas – 2<sup>nd</sup>/3<sup>rd</sup> Quarter
- IA&O Effectiveness of Integrated Safeguards Security Management System – 4<sup>th</sup> Quarter

## Progression Plan

- Revise Foreign Visits and Assignments documentation to incorporate new requirements.

## Scientific and Technical User Facility Operations and Maintenance Management System

Key Functions/Services and Processes which Support Dashboard Condition

Requirements Status

Contract Measure(s)

Assessment Status

Institutional Measure(s)

Quarter 2 Assessment(s)

Assurance Initiative(s)

Progression Plan

- High-risk evaluation and barrier process identification underway.

Management System Initiative(s)

# Standards Based Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Assessment in March 04 identified the following areas for improvement:
  - Establish project approach for achieving the “Next State” and “End State” for each Management System
    - Underway since August 2004. Continuing to work with MS Stewards and POCs regarding content needs
  - Improve the Requirements management process by completing the mapping of contract requirements to MS
    - Staffing reductions and changes have impeded progress in this area through the first quarter of FY05. Rate of progress will increase in the next quarter.
  - Replace current software system
    - Anticipate roll out of SBMS on new software by mid FY

## Contract Measure(s)

- None

## Institutional Measure(s)

- Complete SBMS content development/revision by 09/30/05

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway

## Management System Initiative(s)

- Complete requirements mapping
- Complete content development/revision
- Migrate to BNL-based software platform

## Requirements Status

- No changes

## Assessment Status

- None

## Quarter 2 Assessment(s)

- None

## Progression Plan

- Complete requirements mapping
- Complete content development/revision
- Migrate to BNL-based software platform

# Work for Others Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Increase Funding from Non-DOE Sources

## Contract Measure(s)

- None

## Institutional Measure(s)

- None

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway.

## Management System Initiative(s)

- Strategic Plan for BNL Work for Others Federal Agency Program
  - Implemented a Sponsored-Research Program Website
  - Offer proposal writing services, assistance, and consultation
  - Involved in the National Council University Research Administration
  - Offer proposal writing workshops before Federal Agency deadlines

## Requirements Status

- None

## Assessment Status

- None

## Quarter 2 Assessment(s)

- None

## Progression Plan

- Implement Strategic Plan

# Worker Safety & Health Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Hazard Prevention and Control
- Accident Response and Investigations

## Contract Measure(s)

### 3.4.1.1 DART Rate = 0.63 (Good)

- (4) reportable cases in quarter 1, rating of "Outstanding" can be achieved if there are < 7 DART cases in remainder of year

### 3.4.1.2 TRC Rate = 1.10 (Excellent)

- (7) reportable cases in quarter 1, rating of "Outstanding" can be achieved if there are < 19 reportable cases in remainder of year

## Institutional Measure(s)

- Reduce occupation injuries, as measured by the DART Rate and TRC Rate; see above
- OSHA Compliance: Addressed >50% of OSHA findings, on schedule for completion by 02/28/06
- 18001 OHSAS Registration: Formed Phase II Project Teams, began preparation of job risk assessments, and on schedule for registration by 11/30/05

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway

## Management System Initiative(s)

- Implementing Two-Year Action Plan for addressing OSHA findings
- Proceeding with Phase II OHSAS registration

## Requirements Status

- No changes

## Assessment Status

- Internal Self-Assessment; Industrial Hygiene Multiple Topics
- IA&O Sr. Mgmt. Work Observation: Ops. within a Confined Space
- External BAO/BNL Injury/Illness Reporting Assessment: *Good, four findings, Corrective Action Plan under review*
- Internal Lab. ES&H Comm. RF Survey, Static Magnetic Fields, ATF VISA Bolometer Assessment

## Quarter 2 Assessment(s)

- IA&O Assessment: Construction Safety/CFN
- DOE SC Type A "Type" Electrical Investigation
- DOE SC Electrical Safety Review
- BHSO Collaborative Assessment: Machine Guarding

## Progression Plan

- Preparation of new subject areas and conversion of legacy documents into subject areas

# Work Planning & Control Management System

## Key Functions/Services and Processes which Support Dashboard Condition

- Experimental Safety Review
- Work Planning and Control for Operations
- Standard Operating Procedures
- Skill of the Worker

## Contract Measure(s)

- None

## Institutional Measure(s)

- Reduce number of ORPS with Work Planning and Controls (WP&C) indicators:
  - Radiation Work Permit & Transportation Safety Violation
  - Occupational Injury at Building 701 - Sealand lid toppled over and struck a worker

## Assurance Initiative(s)

- High-risk evaluation and barrier process identification underway

## Management System Initiative(s)

- Restructure Work Planning and Control MS self-assessment process (Third-Party Recommendation)- Prepared scope of work for team
- WP&C Manager Meeting - Provided orientation and expectations to the Managers, Coordinators, and Building Managers
- WP&C Manager Survey - Evaluated information from WP&C Managers on assurance of implementation

## Requirements Status

- Controlled Substances – Move to Science and Technical Program Management System (Administrative)
- DOE Order 420.2B Safety of Accelerator Facilities, dated 7/23/04 - to go into contract with the March 05 Modification

## Assessment Status

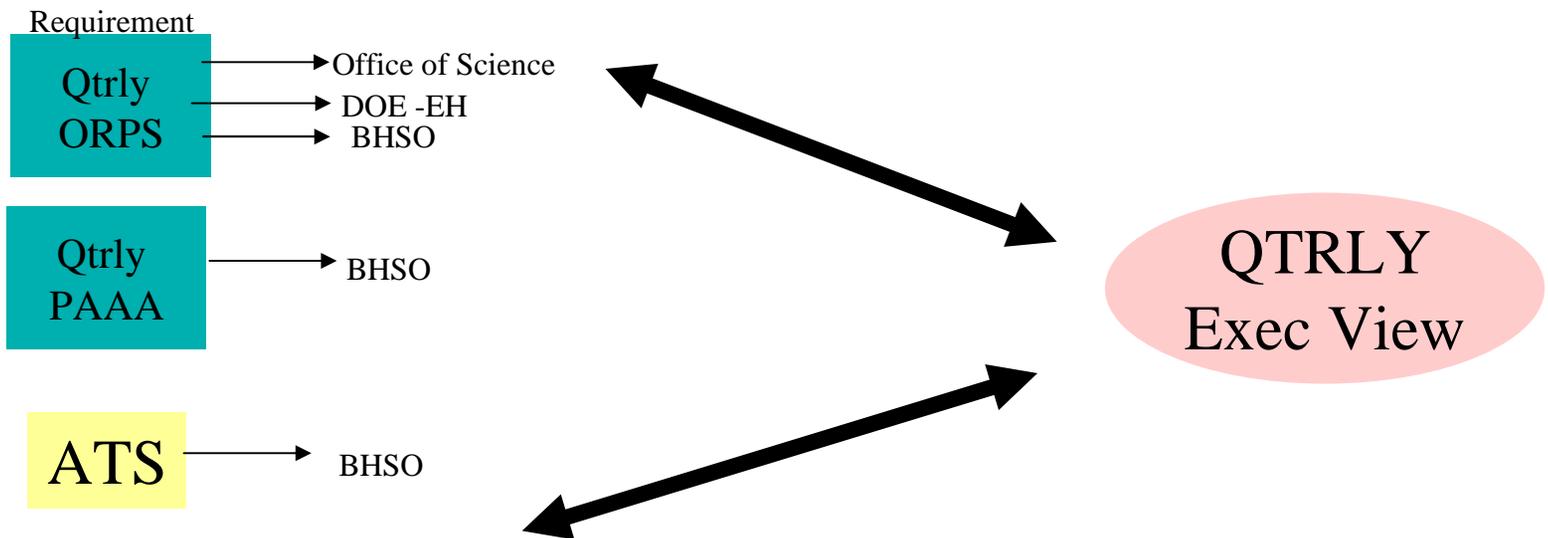
- Independent Oversight (IO) Investigations and Special Studies: Work Planning at C-AD – *Good*
- IA&O Sr. Mgmt. Work Observation: Ops. within a Confined Space -
- WP&C Manager Survey - Marginal

## Quarter 2 Assessment(s)

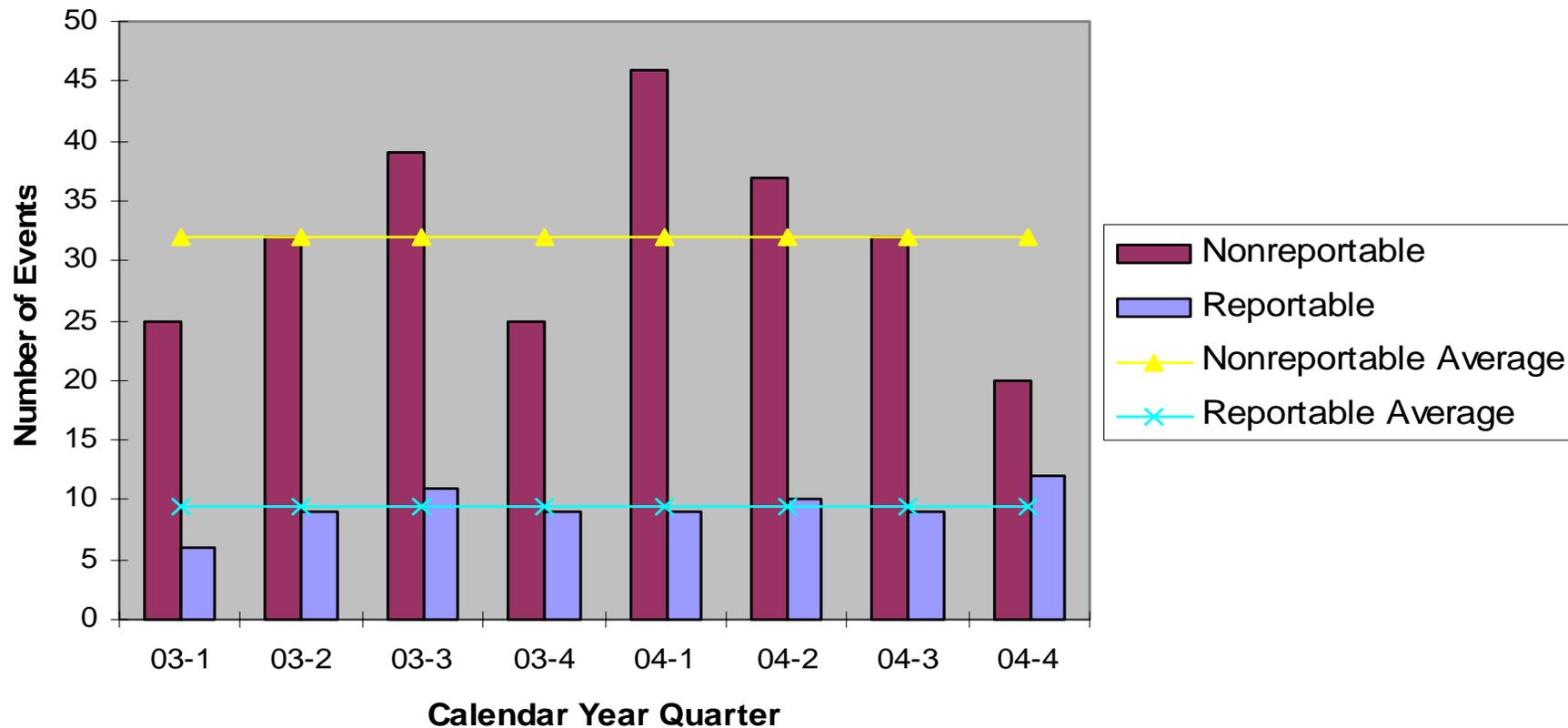
- P&C Manager Survey - A procedure survey will be given to the WP&C Managers
- Re-structuring of WP&C MS
- Magnet Division WP&C Assessment
- Progression Plan
- Work Control Managers Meetings
- WP&C POC assessments and training
- Independent review of WP&C and development of improvement plan (Restructure WP&C)

# Institutional Performance

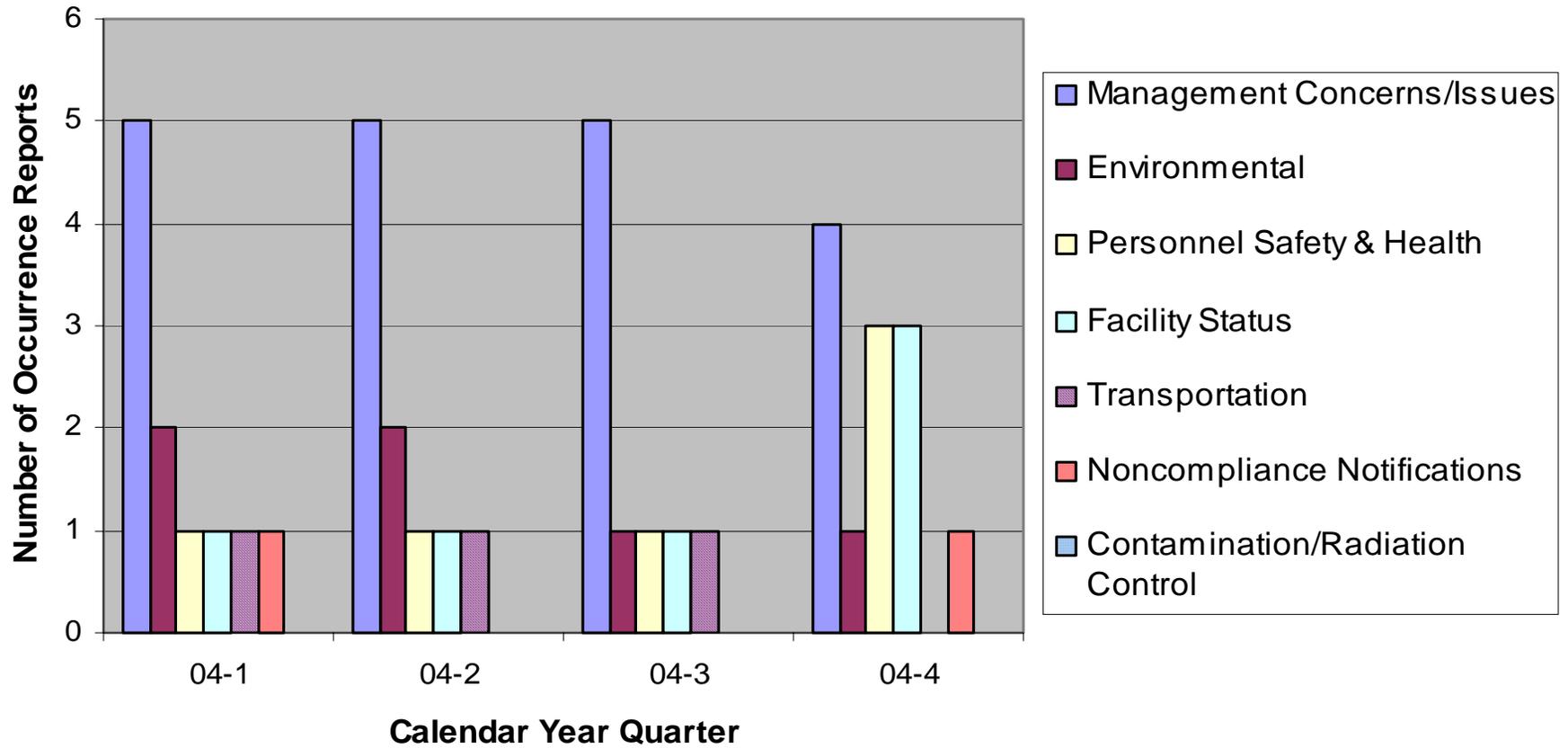
Event Data Analysis  
ORPS, PAAA, Assessment CA Tracking



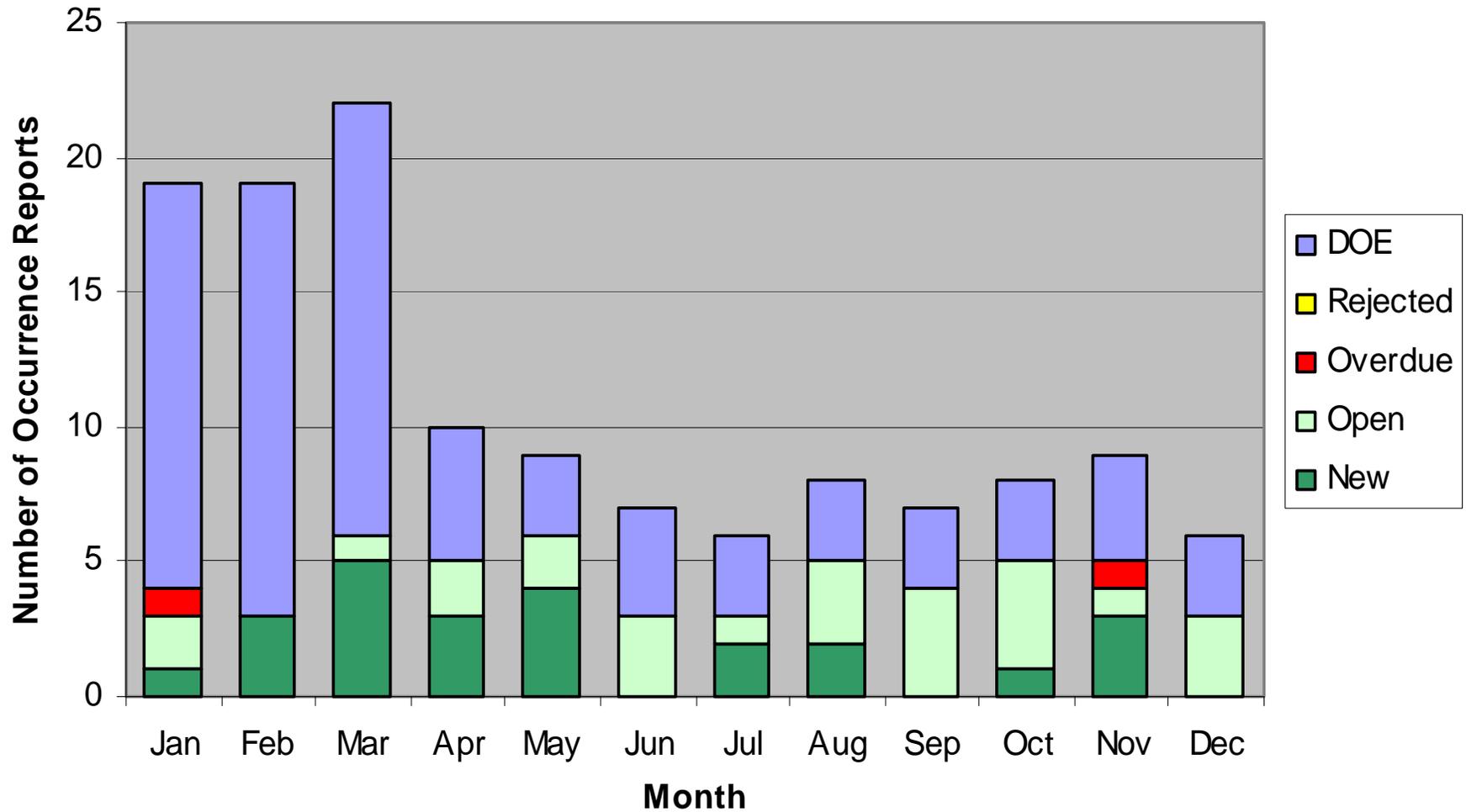
### ORPS Reportable and ORPS Nonreportable Events



## Distribution of ORPS Reports by Reporting Criteria



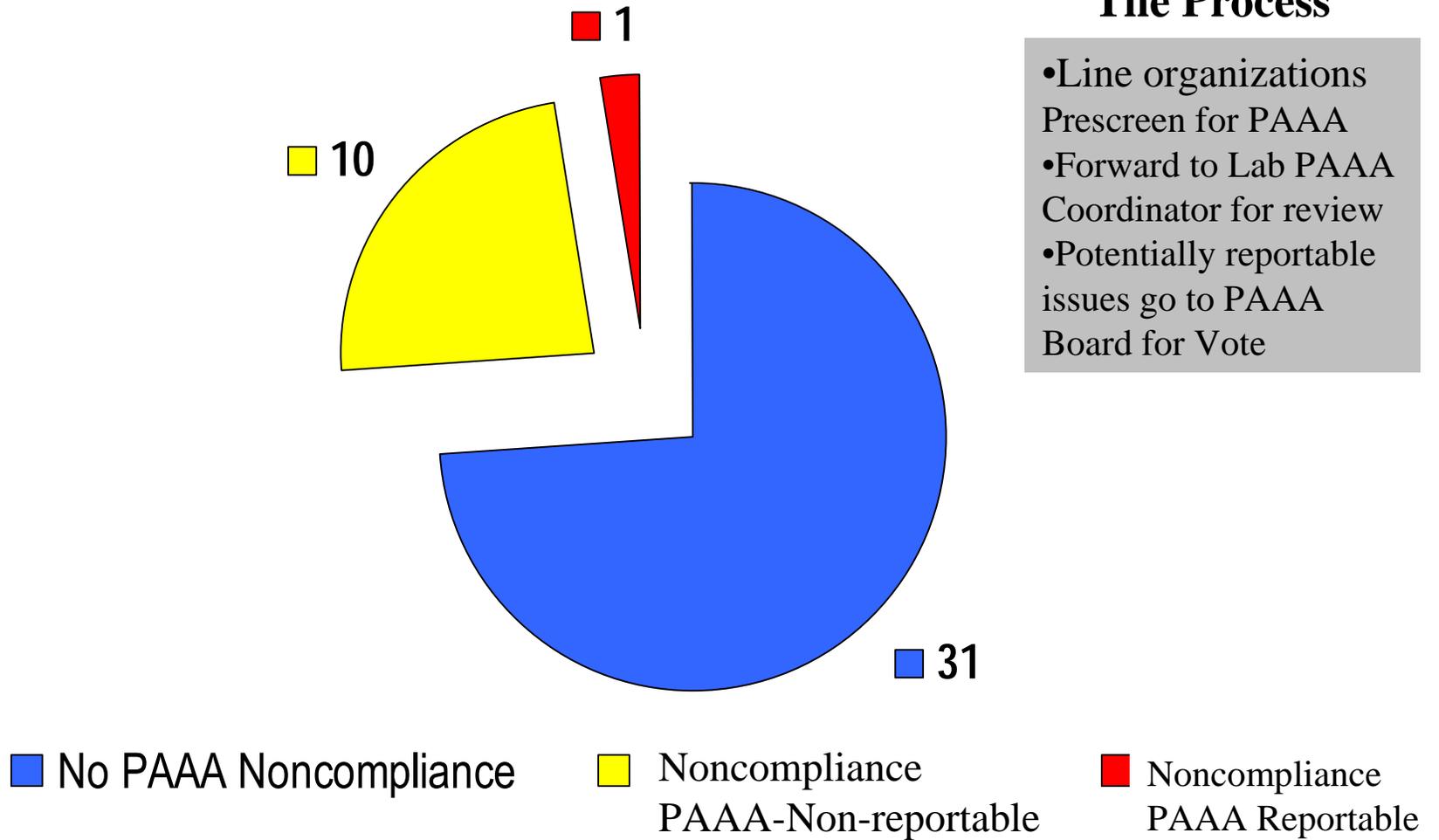
# BNL ORPS Report Status



# PAAA Review Results – 4<sup>th</sup> Q 2004

## The Process

- Line organizations Prescreen for PAAA
- Forward to Lab PAAA Coordinator for review
- Potentially reportable issues go to PAAA Board for Vote



70

## 4th Quarter 2004 - PAAA – Non-compliances

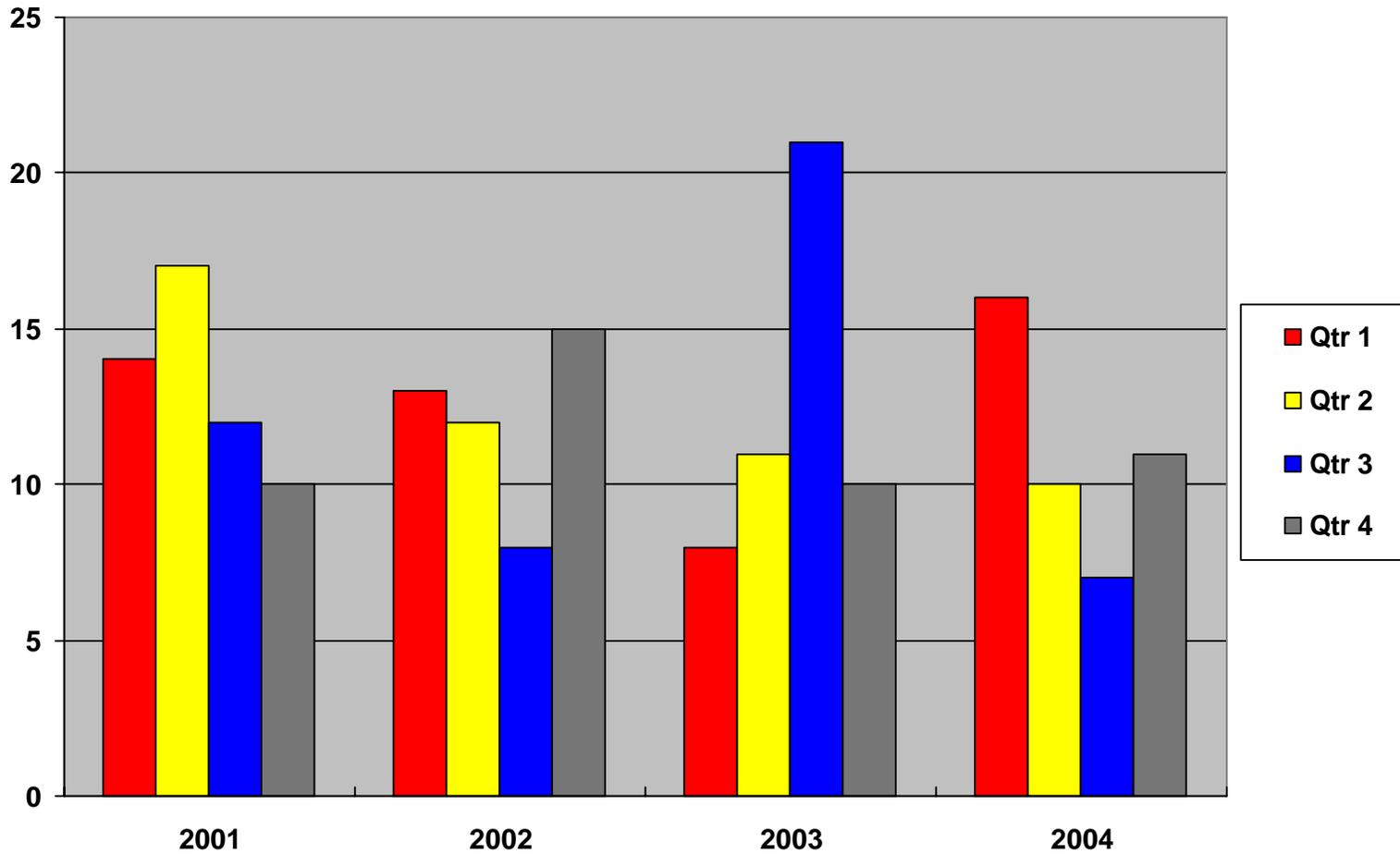
PAAA Docket No.	Date Reviewed	Report Title	PAAA Status	Status	Review Summary
PA04-082	11/2/2004	RAR Report #0409-16, Incorrect Usage of TLD Badge	Nonreportable PAAA	Closed	Nonreportable noncompliance with 10CFR835.401(a), Monitoring of Individuals and Areas. The individual was not familiar with TLD usage requirements and as a result utilized temporary TLDs not specifically assigned to him. Investigation of the reason for the yellow tape covering the "Do Not Use" sticker on the badge board was inconclusive.
PA04-083	11/5/2004	RAR Report #0409-17, Nonconformance with Delivery Procedure	Nonreportable PAAA	Closed	Nonreportable noncompliance with 830.122(e)(1) Work Processes. Subject Area requires rad materials shipments to BNL be addressed and shipped to Bldg T-100. Issue does not meet NTS reportability criteria.
PA04-090	11/9/2004	RAR Report #0410-18, Procurement of TLD Reader in Noncompliance with BNL Site-wide Procedure HP-SOP-026	Nonreportable PAAA	Open	Nonreportable noncompliance with 10CFR835.104, Written Procedures. Web Req. was not completed in accordance with procedure due to requisitioner's unfamiliarity with applicable Subject Areas: Procurement & Use of Radioactive Materials.
PA04-091	10/25/2004	DOE-CH Assessment of BNL's Integrated Safety Management System	NTS	Open	This assessment identifies issue consistent with those previously reported in NTS-CH-BH-BNL-BNL-2004-0002, as well as some new concerns regarding material handling (see docket PA04-024). NTS-CH-BH-BNL-BNL-2004-0002 has been updated to capture the issues identified in this assessment.
PA04-092	11/9/2004	BNL Self-Assessment (BAO Observation) of the BNL Industrial Hygiene Service Provider's Internal Control Documentation Programs Final Report	Nonreportable PAAA	Open	Nonreportable noncompliance with 10CFR835.103, Education, Training and Skills and 10CFR835.104, Written Procedures. The report identified 2 RCD SOPs that exceeded their 3 year review cycle. Also noted cases in which training was expired. Issue does not meet NTS reportability criteria.
PA04-098	11/9/2004	ORPS Report # CH-BH-BNL-BNL-2004-0023, Radiation Work Permit and Transportation Safety Violations	Nonreportable PAAA	Open	Nonreportable noncompliance with 830.122(e)(1) Work Processes and 10CFR835.1101(a), Radioactive Contamination Control. Potentially contaminated water was released without the radiological survey required by the RWP. Issue does not meet NTS reportability criteria.

## 4th Quarter 2004 - PAAA – Non-compliances

PAAA Docket No.	Date Reviewed	Report Title	PAAA Status	Status	Review Summary
PA04-108	12/14/2004	RAR Report #0408-20, PET Carbon-11 radiotracer production hood released radioactivity into room in Bldg. 901, GMP Lab	Nonreportable PAAA	Open	Nonreportable noncompliance with 10CFR830.122(e) (1), Work Processes and 835.104, Written Procedures. The release was a result of failure to follow administrative controls included in written procedures intended to prevent the simultaneous operation of both hoods thus creating a turbulent condition and spread of contamination in the room.
PA04-110	11/9/2004	RAR Report #0410-21, RWP Violation - Potentially Contaminated Water Disposed in Sanitary System Sink (see docket PA04-098)	Nonreportable PAAA	Open	See PA04-098
PA04-116	12/3/2004	Nonconformance Report (NCR) #WM-04-003 (EWMSD), Violation of SBMS Subject Area, Purchase Requisition Review for Quality-Related Requirements.	Nonreportable PAAA	Open	Nonreportable noncompliance with 10CFR830.122(g)(3), Procurement. Several purchase requisitions processed by the same individual did not receive the required QA review for items over \$25K. These were requisitions to add funding to existing BOAs which had received the required QA review.
PA04-121	12/21/2004	IA&O Independent Assessment IO 04-08, Work Planning and Control (WP&C) for Operations in the Collider-Accelerator Department	Nonreportable PAAA	Open	Nonreportable noncompliance with 10CFR830.122(d)(1) Documents and Records. Assessment noted that in some cases Work Permits were not properly completed and that the current version of the Work Permit form is not always used. Issue does not meet NTS reportability criteria.
PA04-123	12/21/2004	EWMS Nonconformance Report, WM-04-002, Incorrect quantity specified on Radioactive Waste Control Form #45686	Nonreportable PAAA	Closed	Nonreportable noncompliance with 10CFR835.1201 Sealed Sources Control. Although the source was properly labeled, the error on radwaste control form could have resulted in improper handling and disposal of the source. Issue does not meet NTS reportability criteria.

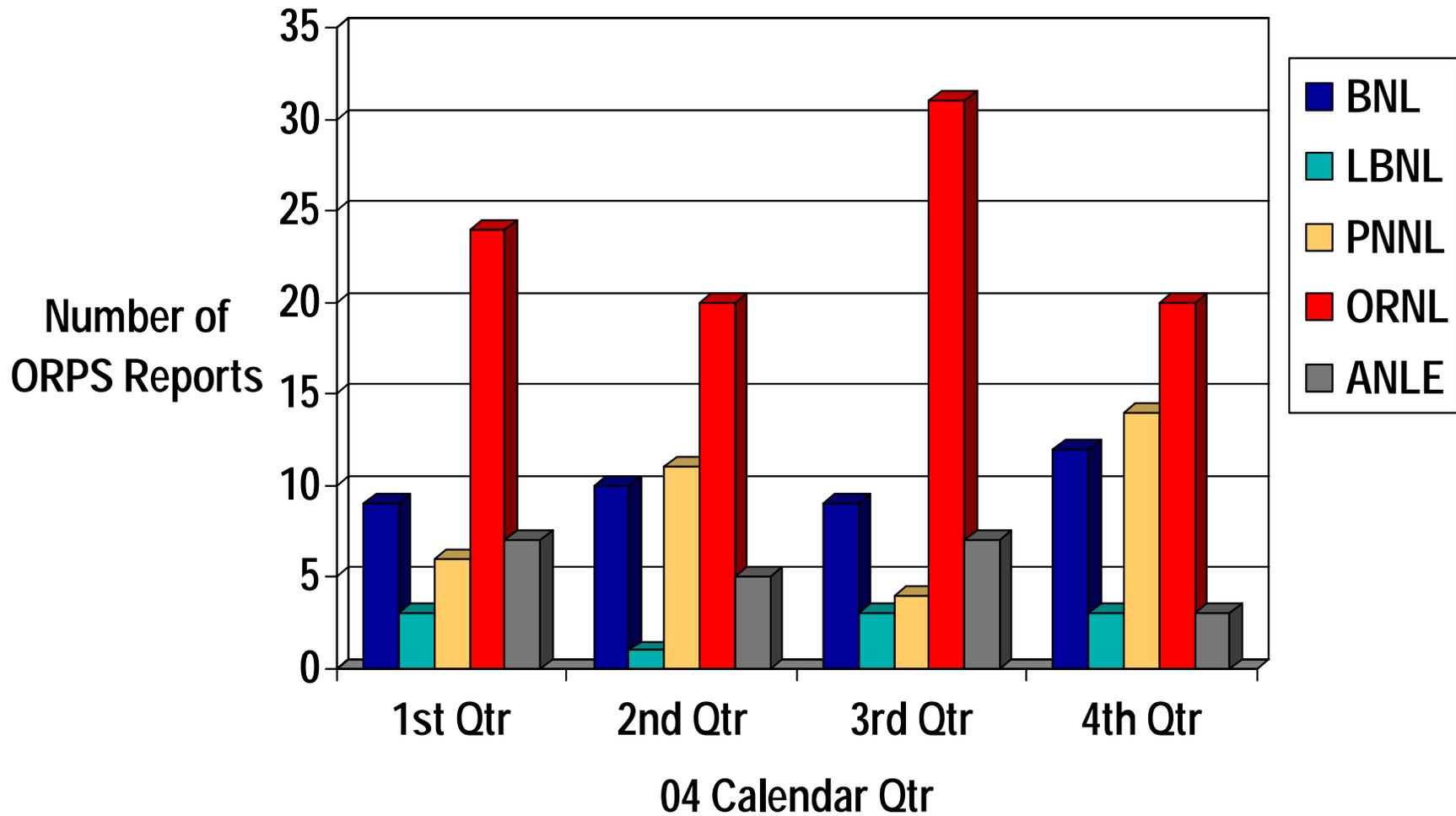
# PAAA Noncompliances Per Quarter

Period 01/01/2001 – 12/31/2004



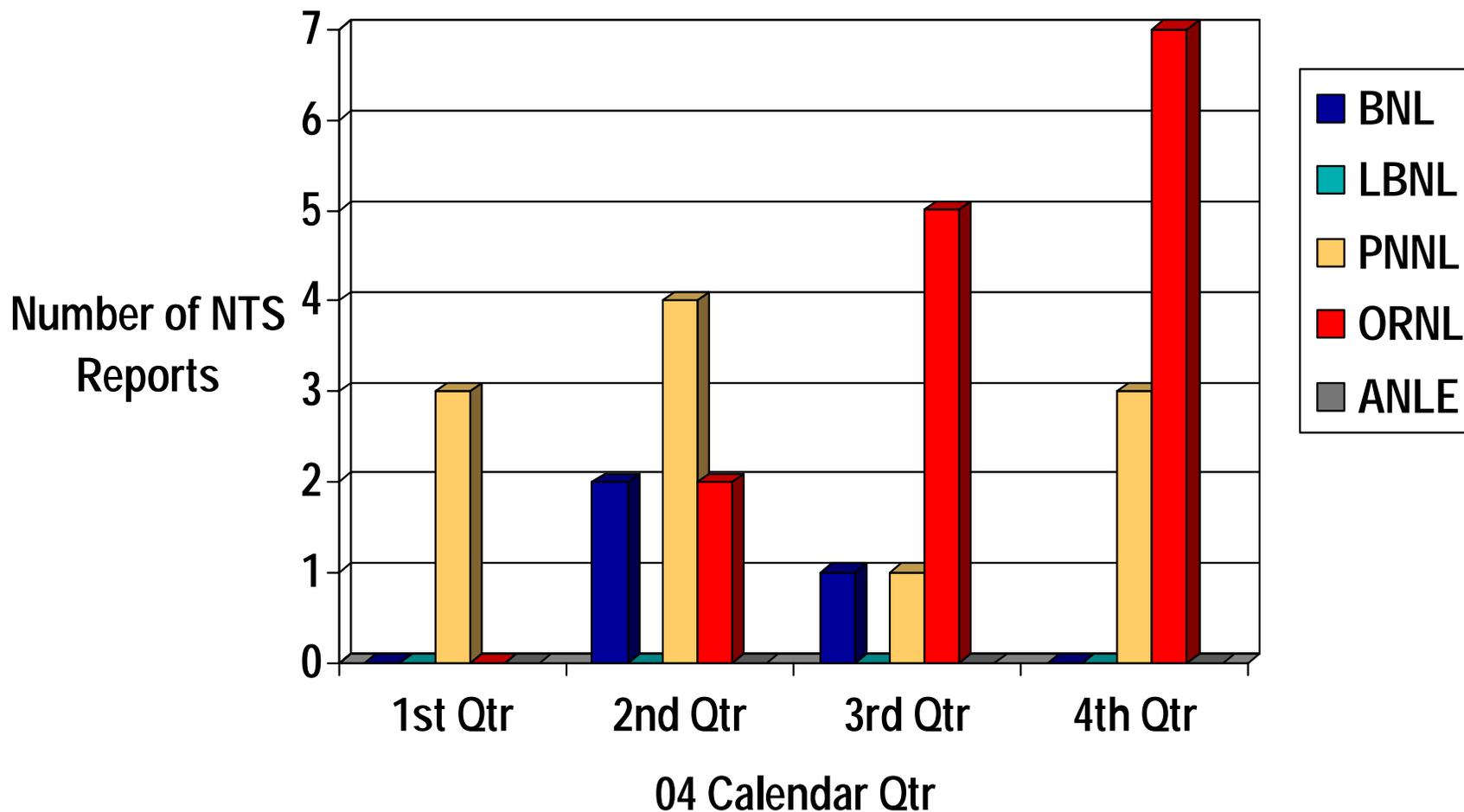
# Multi - Purpose Science Laboratories

ORPS Comparison - CY 2004



# Multi - Purpose Science Laboratories

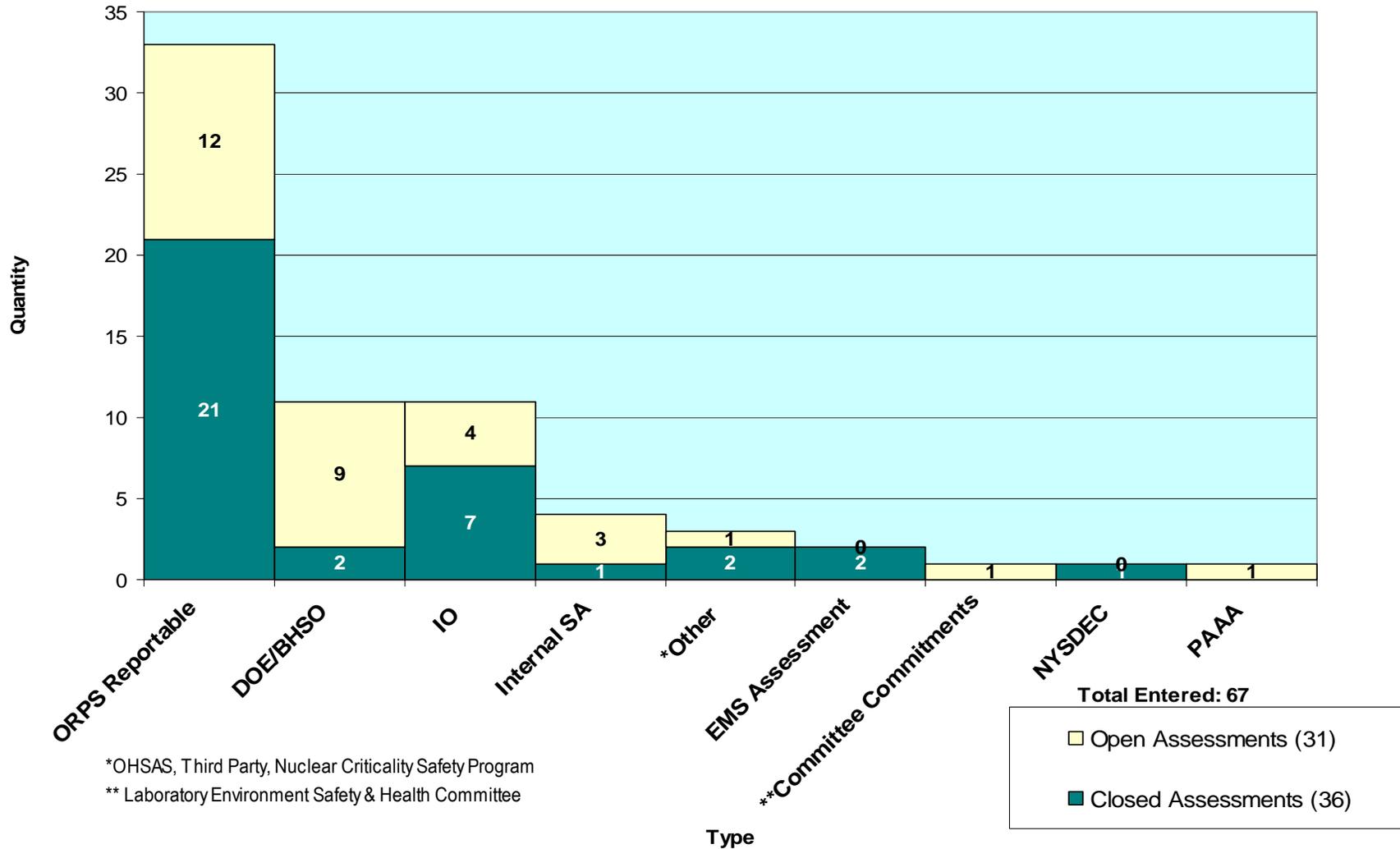
NTS Comparison - 4<sup>th</sup> Quarter CY 2004



Note: A 4th Qtr BNL NTS issue was rolled up in existing 2nd Qtr NTS

# Assessments Tracked in ATS by Type

Assessments Conducted in CY 2004



\*OHSAS, Third Party, Nuclear Criticality Safety Program

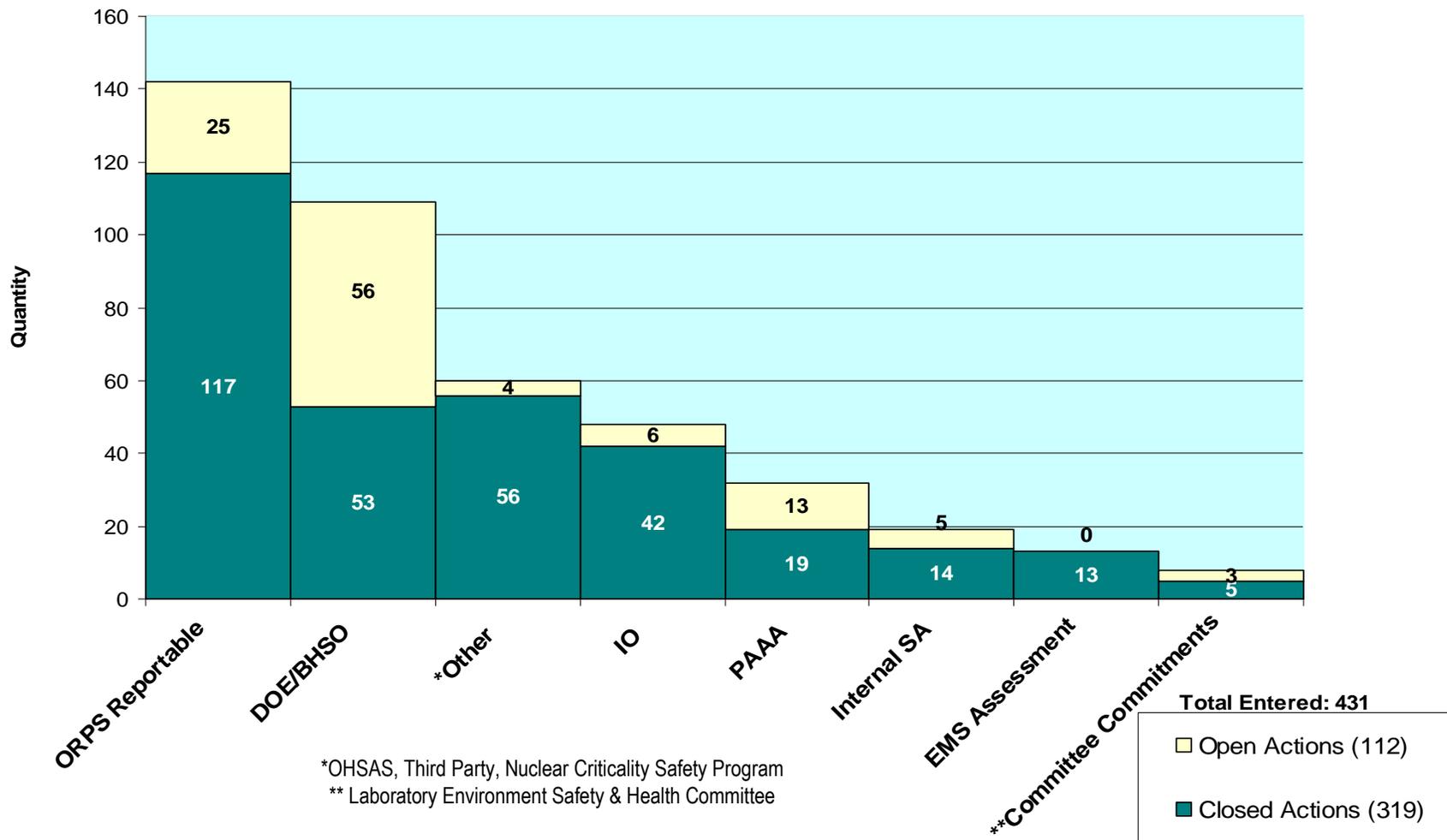
\*\* Laboratory Environment Safety & Health Committee

Open Assessments Tracked Prior to CY04 (32)

Open Assessments Tracked CY05 to date (6)

# ATS Corrective Actions by Type of Assessment

Actions Tracked from CY 2004 Assessments



\*OHSAS, Third Party, Nuclear Criticality Safety Program

\*\* Laboratory Environment Safety & Health Committee

Type

TOTAL OPEN ACTIONS (167)

Open Actions Tracked Prior to CY04 (39)

Open Actions Tracked CY05 to date (16)