

**SECTION III:
GENERAL OPERATIONS**

Functional Area: Laboratory Productivity

1. System Measures:

1. *Research to Support Ratio:*

This measure is intended to show the amount of labor directly associated with research work in the Laboratory versus the amount of support labor not directly associated with research. It includes contract labor FTEs and all projects, both operating and capital.

$$\frac{\text{Labor directly associated with research}}{\text{Support labor not directly associated with research}}$$

*(Direct labor dollars + LDRD labor dollars + Imputed direct and LDRD service center labor dollars + imputed direct and LDRD program management labor dollars) **divided by** (all other labor dollars not included in the numerator).*

Note: Labor in the denominator include labor charged to organizational burden, overhead and imputed support service center labor.

2. *Percent Technical Labor on Research:*

This measure is intended to highlight the amount of technical effort expended on research.

$$\frac{\text{Research labor dollars charged by technical staff}}{\text{Total research labor dollars}}$$

Note: If a Laboratory's system cannot track labor charged by staff, a surrogate approach may be used by including as technical all research labor charged by technical organizations with a statement appended that this approach was used. (Because of desirable non-research activities such as training and professional society work, it would not be expected that this percentage would reach 100%.)

3. *Average Operating Cost per Research FTE:*

This measure is intended to reflect the cost of managing the Laboratory in terms of its operating cost relative to all research FTEs. The unit of this metric is thousands of dollars per research FTE.

$$\frac{\text{Total operating reimbursable costs}}{\text{All operating research FTEs (including contract labor)}}$$

(less e.g., capital costs, direct operating subcontract costs)

Note: Direct subcontracts are excluded from the numerator in order to prevent the overstatement of cost per research FTE, since the subcontractors FTEs are not included in the denominator.

4. Complementary Data:

In order to enhance consistency in the use of these measures, the actual calculation of the metric should be provided. In addition, the following complementary data should also be provided:

- (i) The number of hours used for the calculation of an FTE.*
- (ii) List of functions and FTEs included in contract labor.*
- (iii) List of program management pools and FTEs included in research.*
- (iv) The amount and kind of capital cost excluded in Success Indicator 2.*
- (v) Any footnotes or explanations that would clarify unique circumstances associated with a given metric.*

Providing the details of the calculations and the disclosure information given above would militate against this information being used out of context.

2. Compliance Items:

None.

3. Assessment Scope:

Assess any trends or anomalies which may exist with the above date versus historical data.

4. Report:

Quarterly reporting of System Measures results.

5. DOE Operational Awareness:

DOE interaction on an as needed basis. Will assess year end data and narrative report and determine need for follow-on action.

Definitions:

The Definitions and terms are defined below as:

Capital - *Cost charged to a project when the project is exclusively for construction or for the purchase, construction, or installation of equipment that is to be capitalized for accounting purposes.*

Contract Labor - *The cost of labor provided under a manpower contract where the contract staff are managed essentially the same as staff on the Lab's payroll. All other manpower or service contracts are to be treated as subcontract cost.*

Direct Cost - *Cost charged to a project based on its direct benefit to the project. Direct cost consists of labor (including fringe on direct labor), travel, materials, procurement, subcontracts, service center and program management charges to a project.*

Full Time Equivalent (FTE) - An FTE represents the expected average amount of chargeable time based on a full time person working normal hours. The chargeable hours used in calculating a FTE are usually 2080 available work hours less the laboratory average for paid absence (vacation, holidays, sick time, etc.).

Labor Cost - Salary and fringe benefit cost including cost of paid absences. For the purpose of these metrics, labor cost includes the equivalent cost of contract labor (including profit).

Operating - Funding provided to the Laboratory by DOE or Work for Other (WFO) sponsors for a given work scope excluding projects that are exclusively for capital construction and/or capital equipment.

Project - A scope of work funded (reimbursed) by a sponsor. A project would be considered as, or part of, a final cost objective in cost accounting standards terminology.

Program Management - Cost associated with managing a group of related projects that, due to the number of projects involved, must be pooled and allocated to those projects instead of direct charged. To be considered program management, the cost in the pool must be primarily (more than 50%) for technical program management and not for the development of new programs.

Research Labor - All direct labor charged to projects (both operating and capital), plus labor charged to LDRD, plus an imputed amount of direct labor charged to program management and service center pools. The cost of service center pools charged to research is to be calculated using the percentage of recovery charged to projects and LDRD.

Technical Staff - Staff that are classified as Scientists, Engineers, Technicians, or the equivalent in the Laboratory's human resources system irrespective of the organization to which staff are assigned (e.g., a secretary in a Research organization is not considered technical).

Service Center - A cost pool associated with providing a specific service or group of services where the costs are accumulated and then charged to the user on a standard rate representative of the services used or on the basis of the resources consumed.

Subcontracting - Purchase of an agreed to work scope from a third party. This includes work done by other DOE sites, but excludes normal procurement actions (e.g., purchase of goods) and contract labor.

Support Labor - Direct labor FTEs charged to cost pools other than the labor FTEs defined as Research. This includes Labor FTEs charged to laboratory overhead, organizational burden pools and imputed amount of service center and program management labor FTEs not classified as research.

**SECTION III:
GENERAL OPERATIONS**

Functional Area: Diversity

1. System Measures:

The number of collaborations/interactions made with HBCU or other traditionally minority colleges and universities regarding Joint Research Proposals, research activity and/or visits to Ames Laboratory.

Expectation:

<i>Performance Level</i>	<i>Metric</i>
<i>Outstanding</i>	<i>> 4 collaborative proposals submitted</i>
<i>Excellent</i>	<i>1 to 3 collaborative proposals submitted</i>
<i>Good</i>	<i>collaborative proposal development initiated</i>
<i>Marginal</i>	<i>contacts made, but no initiation of collaborative proposals</i>
<i>Unsatisfactory</i>	<i>No contacts made with HBCU or other minority educational institutions</i>

2. Compliance Items:

Not applicable.

3. Assessment Scope:

With the interest in expending collaborative research proposals, provide an assessment of the process or systems used by Ames Lab to track number of interactions made with HBCU's and other traditionally minority colleges and universities.

Assess what is being done to attract and hire minority staff as well as to attract minority students to visit or participate in research activity at Ames Lab.

4. Report:

Year end report as part of Ames Lab year end Self Assessment Report.

5. DOE Operational Awareness:

DOE interaction on an as needed basis. Will assess year-end Self-Assessment Report and determine need for on-site visit.

**SECTION III:
GENERAL OPERATIONS**

Functional Area: Infrastructure

1. System Measures:

1. **Objective:** *Manage the Operating Expense (OE) funded Maintenance and Repair Backlog (MB) to maintain real property assets (facilities) in a good or better condition.*

Measure: *The Facility Condition Index (FCI) for the fiscal year associated with the performance period.*

Expectation: *The FCI, expressed as a percentage, is defined as the Total Needed OE funded Maintenance and Repair (M&R) Deficiencies (at the end of the fiscal year associated with the performance period) divided by the Current Plant Value (CPV), multiplied by 100.*

$$FCI = \frac{\text{Total Needed M\&R Deficiencies (\$)}}{\text{Current Plant Value (\$)}} \times 100$$

<i>Adjectival Rating</i>	<i>FCI</i>
<i>Outstanding</i>	<i>Less than 3%</i>
<i>Excellent</i>	<i>3% to 4.9%</i>
<i>Good</i>	<i>5% to 6.9%</i>
<i>Marginal</i>	<i>7% to 10%</i>
<i>Unsatisfactory</i>	<i>Greater than 10%</i>

2. **Objective:** *Make continuous improvements in the productivity, service, efficiency and cost savings associated with the facility maintenance and facility engineering areas and activities, especially those areas and activities that are identified as having good potential for improvement.*

Measure: *Evaluation of improvements achieved during the performance period.*

Expectation: *Identify all improvements achieved during the performance period and assign a point value to each improvement according to the following table.*

<u>Value</u>	<u>Description of Improvement</u>
5	<i>\$10,000 or more of one time or annual cost savings in the form of material or contract dollars that will not be spent by the facility maintenance organization or in the form of labor savings that will allow other work to be accomplished.</i>
4	<i>\$5,000 to \$9,999 of cost savings.</i>
3	<i>\$2,500 to \$4999 of cost savings...or very significant improvements with insignificant or no associated cost savings. For example, improvements in the services provided or the quality or timeliness of service provided.</i>

- 2 \$500 to \$2499 of cost savings...or significant improvements with insignificant cost savings.
- 1 \$499 or less cost savings...or minor improvements.

<i>Adjectival Rating</i>	<i>Total Improvement Points</i>
<i>Outstanding</i>	<i>10 or more</i>
<i>Excellent</i>	<i>7 to 9</i>
<i>Good</i>	<i>4 to 6</i>
<i>Marginal</i>	<i>2 to 3</i>
<i>Unsatisfactory</i>	<i>1 or less</i>

- 3. *Objective:* *Maintain a reliable real property database.*
- Measure:* *Information in the Facilities Information Management System (FIMS) database.*
- Expectation:* *FIMS information is current, accurate and complete.*

Number of validated required data elements
Total number of required data elements

<i>Performance Level</i>	<i>Metrics</i>
<i>Outstanding</i>	<i>>0.95</i>
<i>Excellent</i>	<i>0.92-0.95</i>
<i>Good</i>	<i>0.87-0.91</i>
<i>Marginal</i>	<i>0.82-0.86</i>
<i>Unsatisfactory</i>	<i><0.82</i>

Footnote: *Missing data elements are considered inaccurate as are those that are not validated. The frequency of validation may vary by element. A number of the data elements are constant (building location, number, construction date, etc.) and will not require annual validation. Other data elements such as building usage, occupancy, hazard codes, annual rental, etc. will require annual validation.*

2. *Compliance Items:*

None.

3. *Assessment Scope:*

Provide an assessment of status made in implementing Facilities Shops Network.

What is the status of existing systems? Are they working? Are staff implementing as required? Is there need for new or changes to existing policies and procedures?

Provide an assessment of implementing contract Article 78 Life Cycle Asset Management.

4. *Report:*

Provide year end final report.

5. DOE Operational Awareness:

DOE interaction on an as needed basis. Will assess year-end Self-Assessment Report and determine need for on-site visit.

Definitions and Notes:

1. *Assets (listed in FIMS) that do not have a comprehensive facility inspection report (condition assessment survey) prepared by a qualified mechanical, electrical, and structural inspector, dated within three years before the end of the fiscal year, should be defined as not having a current facility inspection report. These assets should be excluded from the FCI calculation. Assets with M&R deficiencies planned for correction with funds other than OE should also be excluded from the FCI calculation.*
2. *An FCI should be calculated for a) buildings only, b) other real property assets only (according to FIMS classification), and c) all assets. The FCI for buildings only should be used in determining adjectival ratings, provided that the FCI for all assets is not within 1.5% of the FCI for buildings only. Otherwise, the FCI for all*
3. *The CPV for assets should be calculated using a mutually agreeable method, e.g., the Navy CPV multipliers or equivalent.*
4. *"Needed M&R Deficiencies" are all M&R projects planned for accomplishment by contract and all M&R projects with an estimated cost of over \$2,000 planned for accomplishment by the in-house work force. All projects should have a "need year," defined as the fiscal year during which the project would be accomplished under conditions of adequate funding and personnel levels. The MB calculation includes only projects that were needed during the fiscal year (or during a prior fiscal year) and were not accomplished by the end of the fiscal year.*
5. *Projects for improvement type work (as contrasted with maintenance, repair and replacement work) should not be included in the MB. However, the M&R portion is included in the MB for projects that are a combination of improvements, maintenance, repair and replacement. ("Replacement work," in this context, refers to replacement of components of a FIMS asset (such as a single building), but not to replacement of an entire asset.)*

**SECTION III:
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Functional Area: Communications and Trust

1. System Measures:

Assessment of quality and effectiveness of public affairs, media relations, and public involvement activities at the Laboratory, including stakeholder awareness and understanding of Ames Laboratory as a neighbor and/or partner.

Expectation 1: Measure media placements resulting from press releases (international, national, regional and local).

<i>Adjectival Rating</i>	<i>Number of Releases</i>
Outstanding	>25
Excellent	18-25
Good	10-17
Marginal	6-9
Unsatisfactory	<5

Expectation 2: To identify the number of external stakeholder interactions via top management and Public Affairs personnel, and assign a value to each. Top management includes the Director, Deputy Director, Division Director for Science and Technology, and Division Director for Technical and Administrative Services. Interactions are those outside the realm of normal interactions, such as those with fellow scientists and participation in technical meetings. Public Affairs' interactions are those that occur as a result of tours and outreach activities sponsored by the office.

<i>Adjectival Rating</i>	<i>Number of Releases</i>
Outstanding	>25
Excellent	18-25
Good	10-17
Marginal	6-9
Unsatisfactory	<5

2. Compliance Items:

Not applicable.

3. Assessment Scope:

Assess the Laboratory's World Wide Web page effectiveness for identifying collaborative partners and serves the needs of various stakeholders.

4. Report:

Provide year end report on overall effectiveness of Laboratory's communication activities.

5. DOE Operational Awareness:

DOE interactions on an as needed basis. Will assess year-end Performance Assessment Report and determine need for on-site validation.

**SECTION III:
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Functional Area: Financial

1. System Measures:

Measure: *The number of noncompliance's which are materially significant and are found during reviews such as those conducted by the contractor, CH, and/or the DOE Inspector General for which management acknowledges corrective action must be taken but has: (1) not initiated corrective action within 45 days of receipt or (2) failed to complete implementation action within laboratory management defined time.*

Expectation:

<i>Performance Level</i>	<i>Metrics</i>
<i>Outstanding</i>	<i>0</i>
<i>Excellent</i>	<i>1-2</i>
<i>Good</i>	<i>3-5</i>
<i>Marginal</i>	<i>6-7</i>
<i>Unsatisfactory</i>	<i>>7</i>

Measure: *Contractor's internal management control programs maintain accuracy of business management data, safeguards DOE, Laboratory and other assets, and prevents fraud, waste and abuse.*

Expectation: *Number of reviews, audit and/or investigative findings contained in the following documents which highlight weaknesses in the Laboratory's business and management control structure for which laboratory management acknowledges corrective action must be taken but has: (1) not initiated corrective action within 45 days of receipt or (2) failed to complete implementation action within laboratory management defined time.*

- ◆ *Contractor internal audit reports and follow-ups,*
- ◆ *DOE appraisals issued to the Laboratory Director,*
- ◆ *Reports and financial statements issued by Contractor's external Independent Auditors, and*
- ◆ *DOE/OIG and GAO Audit Reports issued to the Laboratory Director.*

<i>Performance Level</i>	<i>Metrics</i>
<i>Outstanding</i>	<i>0</i>
<i>Excellent</i>	<i>1-2</i>
<i>Good</i>	<i>3-5</i>
<i>Marginal</i>	<i>6-7</i>
<i>Unsatisfactory</i>	<i>>7</i>

2. Compliance Items:

Cost Accounting Standard Reviews - Number of CAS violations resulting from noncompliance with approved Disclosure Statement.

Related Party Transaction Reviews.

3. Assessment Scope:

Review internal process for handling precious metals inventory.

Review effectiveness of job order process.

Review Letter-of-Credit balances between Ames Laboratory and DOE.

Percentage of uncosted balances to funds received in the financial plan.

4. Report:

Year end report as part of Laboratory's Self-Assessment Report.

5. DOE Operational Awareness:

DOE interactions on an as needed basis. Will assess year-end Self Assessment Report and determine need for on-site validation.

**SECTION III:
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Functional Area: Property

1. System Measures:

Objective: Effective management practices for the life cycle management of personal property.

Measure: Stores inventory (current use) turnover ratio is established to ensure that minimum inventories are maintained for program support.

Expectation: Stores inventory ratio of 2.0 or more is achieved.

Issued Dollars
Dollar value of inventory

<i>Performance Level</i>	<i>Metrics</i>
<i>Outstanding</i>	<i>>3</i>
<i>Excellent</i>	<i>2.5 - 2.9</i>
<i>Good</i>	<i>2.0 - 2.4</i>
<i>Marginal</i>	<i>1.5 - 1.9</i>
<i>Unsatisfactory</i>	<i><1.5</i>

Measure: Contractor has an effective walkthrough program that ensures that underutilized property is made available to others in a timely manner.

Expectation: Percentage of underutilized property is reutilized within the Laboratory or processed into disposal, e.g., REAPS or sale, within 90 days from identification.

<i>Performance Level</i>	<i>Metrics</i>
<i>Outstanding</i>	<i>100%</i>
<i>Excellent</i>	<i>>98%</i>
<i>Good</i>	<i>95% - 97%</i>
<i>Marginal</i>	<i>93% - 94%</i>
<i>Unsatisfactory</i>	<i><93%</i>

2. Compliance Items:

None.

3. Assessment Scope:

Implement Ames Laboratory Balanced Scorecard Self-Assessment Plan dated April 1998.

4. Report:

Provide year-end report on the level of performance achieved against the above measures. Provide Balanced Score Card assessment results in year end report.

5. DOE Operational Awareness:

DOE interaction on an as needed basis. Will assess year-end Self-Assessment Report and determine need for on-site validation.

**SECTION III:
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Functional Area: Procurement

1. System Measures:

Continue to track and trend the contract performance measures reported upon in the 1997 Self Assessment Report.

2. Compliance Items:

None

3. Assessment Scope:

Ames Laboratory will develop and execute a Balanced Score card Plan to assess the overall effectiveness of its procurement operation. Provide results of CY 1999 Make-or-Buy Plan analysis.

4. Report:

Provide year-end report on the level of performance achieved against the above measures. Provide Balanced Score Card assessment results as part of the year-end report.

5. DOE Operational Awareness:

DOE interactions on an as needed basis. Will assess year-end Self Assessment Report and determine need for on-site validation.

**SECTION III:
GENERAL OPERATIONS**

Functional Area: Environment, Safety and Health

1. System Measures:

Calculate quarterly OSH Cost Index (EH1).

Definition: The OSH Cost Index is calculated from the direct and indirect dollar costs of injuries. The index is computed as follows:

$$CI = \frac{100[1,000,000 D + 500,000 T + 2,000 LWC + 1,000 WDL + 400 WDLR + 2000 NFC]}{HRS}$$

CI = Cost Index

D = The number of deaths

T = The number of permanent transfers or termination's due to occupational illness or injury

LWC = The number of lost workday cases

WDL - The number of days away from work

WDLR = The number of restricted workdays

NFC = The number of non-fatal cases without days away from work or restricted workdays

HRS = The total hours worked

(Data Source: Laboratory records)

2. Compliance Items:

None

3. Assessment Scope:

Assess the effectiveness of the Integrated Safety Management Systems implementation Readiness Review Process, Lessons Learned program, Work Smart Standards and Line Management (Laboratory Director on down to first line supervisor) involvement in and accountability for ES&H.

What is the status of existing ES&H systems? Are they effective? Are staff implementing as required? Are policies and procedures understood at the worker level?

4. Report:

Provide year end Self-Assessment Report.

5. DOE Operational Awareness:

DOE interactions on an as needed basis. Regular visits by Ames Group Facility Representative. Will assess year-end Self Assessment Report and determine need for on-site validation.