

FY 07 Annual Performance Agreements for Environment, Safety and Health Business Processes and Systems Facilities and Infrastructure Security and Emergency Management

March 23, 2007

Management Report
NREL/MP-700-41487
March 2007

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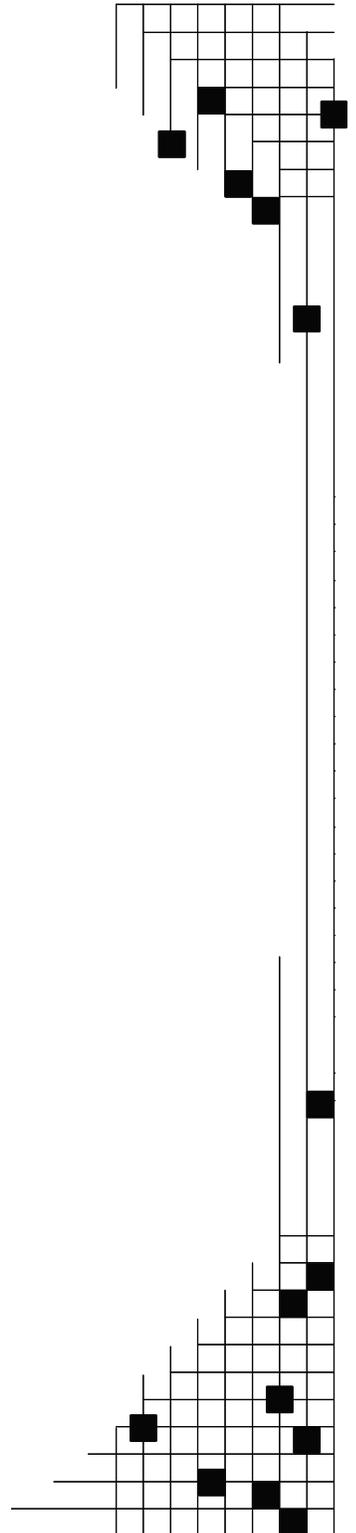


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FY 07 Annual Performance Agreements

Introduction

The annual performance agreements (APAs) for major business and operating systems provide more detail regarding implementation than is reflected in the NREL One-Year Plan. The APAs identify specific tasks, schedules, and milestones for foundational activities. Foundational activities are those associated with meeting current requirements and delivering effective mission support.

The Performance Evaluation Management Plan (PEMP) defines the framework for evaluating Contractor performance against the goals and performance objectives reflected in the One-Year Plan. The PEMP defines the level of performance required for the Contractor to 'meet expectations'. The PEMP defines one element of 'meeting expectations' as *meeting the foundational requirements as identified in the performance agreement*. That is the performance indicators in the PEMP reference meeting foundational performance requirements collectively for a particular business or operating objective, but not individually. This is the same model that is used to link the performance against key milestones in program annual operating plans (AOPs) with the performance evaluation of the Contractor.

Both AOPs and APPs are formally signed off by the cognizant DOE official and NREL executive manager.

In the following sections, organized by goal and performance objective, the foundational requirements are articulated as tasks, activities, accomplishments, and/or milestones. These areas shall be evaluated collectively to determine the Contractor's performance relative to the reference indicator in the PEMP that addresses a particular performance objective.

4.0 Environment, Safety, Health

In order to drive the outcomes/results articulated in 4.1 of NREL's One-Year Plan the following set of performance indicators/targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL's success in meeting this Objective.

PO 4.1 Leadership and Prevention
Foundational Performance
Achieve approval of NREL's 10 CFR 851 implementation by May 25 th , 2007.
Submit final 10 CFR 851 Implementation package to GO for review and approval by February 26 th , 2007. <ul style="list-style-type: none"> • Complete Phase II ISMS assessment of work conducted at the activity level to support ISMS validation. • Submit final ISMS Program description by February 26th, 2007. • Assess Necessary and Sufficient Standards and submit a draft update to GO for review and approval. • Include appropriate language to NREL subcontracts to identify 10 CFR 851 subcontractor liabilities and responsibilities.
Evaluate NREL's Fire and Life Safety assessment needs are evaluated and develop a plan identifying areas/locations to be assessed over the next three years.
Complete roll-out training of updated Laser Safety program to applicable staff.
Complete a comprehensive review and major revision of the NREL Hoisting and Rigging Procedure.
During scheduled reviews of existing ES&H procedures, initiate a cross-walk to assess conformance to ISMS core functions and guiding principles.
Evaluate SOP process and identify improvements.
Update Hazard Identification and Control Procedure. <ul style="list-style-type: none"> • Include method for documenting low-risk determinations. • Incorporate process for communicating co-located hazards.
Enhancing Operational Awareness <ul style="list-style-type: none"> • Conduct facility/laboratory walkthroughs <ul style="list-style-type: none"> – Executive management conducts facility/laboratory walkthroughs quarterly and actions are identified and tracked to closure. Cross-cutting issues are identified for additional review/investigation. – Senior management conducts regular facility/laboratory walkthroughs. Actions are identified and are tracked to closure. Cross-cutting issues are identified for additional review/investigation. – Safety Council meetings are conducted quarterly. Actions identified are tracked to closure. – Periodic communications from management and the sharing of lessons learned reinforce the importance of ES&H to the Laboratory's mission. – Existing worker feedback mechanisms are evaluated for adequacy and improvement.
Monitoring Performance <ul style="list-style-type: none"> • Effectively manage performance against the established DART, TRC and Ergonomic Case Rate metrics. <ul style="list-style-type: none"> – Manage DART and TRC at or below established DOE Contractor average. – Maintain the Ergonomic Case Rate at or below established level.
Enhance ES&H capabilities. <ul style="list-style-type: none"> • Increase staffing levels in safety and environment to provide enhanced coverage and meet

PO 4.1 Leadership and Prevention

Foundational Performance

objectives.

- Initiate Human Performance Improvement training in FY07.
- Participate in important collaborative forums (e.g., Complex-wide ES&H working panels, EFCOG, Battelle-affiliated labs) to support on-going process improvement.

A long-term NEPA strategy is developed in FY07.

- Assemble information to be used as a basis for a site-wide NEPA document.
- Initiate the development of the site-wide NEPA document.

Appropriate environmental strategies as well as objectives and targets to support DOE Order 450.1 Change 2 and the new Executive Order #13423 (Jan. 26, 2007) are developed.

- Strategies are identified for each of the five pollution prevention and sustainable environmental stewardship goals.
- Identify one or more appropriate voluntary programs and initiate the application process.

Provide support to GO in NEPA review activities and NEPA document in preparation for proposed STM site development projects.

- Facilitate and support the development of the Environmental Assessment document for the Renewable Fuel Heating Plant.
- Facilitate and support the development of NEPA documents for other Site projects (e.g., RSF).

Utilize the Environmental Management System (EMS) integrated with other NREL business and planning systems to achieve site-wide goals.

- Using NREL design/construction processes in coordination with EMS processes incorporate required environmental considerations into the design of the Research Support Facility, Integrated Biorefinery, and other proposed site development projects.
- Complete the development of the software interface between the Chemical Inventory System and other NREL business systems databases. Make the Chemical Inventory System available to NREL staff.

In order to drive the outcomes/results articulated in 4.2 of NREL's One-Year Plan the following set of performance indicators/targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL's success in meeting this Objective.

PO 4.2 Response (rapid and effective response, incident management)

Foundational Performance

NREL's incident/accident response processes are assessed and modifications or the development of new processes are initiated, as necessary, to achieve improved effectiveness and timeliness.

- Complete a combined GO/NREL Assessment to evaluate NREL's compliance with the DOE-CAIRS System reporting requirements.

Effective incident management.

- Notification is provided to DOE within 2 hours of incident/accident discovery.
- Accident/incident investigations are completed within 30 days or formal extension is granted.
- Effective resolution of incidents/issues that arise.

5.0 Business Processes and Systems

In order to drive the outcomes/results articulated in 5.1 of NREL's One-Year Plan the following set of performance indicators/targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL's success in meeting this Objective.

5.1 Sound, responsive and effective financial management systems
Foundational Performance
Strategic Management of Human Capital <ul style="list-style-type: none">• Provide training to enhance Finance Office staff skills with 75% of staff attending relevant courses.• Provide lab-wide financial management training, including support for Technology Management Partnership training.
Improved Financial Performance <ul style="list-style-type: none">• Provide financial systems descriptions and quarterly updates on financial system changes.• Provide updated Cost Accounting Standards Disclosure Statement, and support all phases of a Statement and Practices audit• Support the DOE Integrated contractor reconciliation in STARS with resolution of legacy issues by 3/31/2007, contingent on approval by DOE NETL.• Close 70% of foreign trips in the DOE Foreign Travel Management System within 30 days of trip completion, and identify actions taken to resolve trips not closed within 30 days.• Results from internal audits are used to continually improve financial management processes, with no repetitive or significant findings identified, and timely closeout of audit findings.• Provide support for subcontract cost/price analysis and audit for improved subcontract award and closeout, with completion of audits for 50% of the 10/1/2006 audit inventory.
Budget and Performance Integration <ul style="list-style-type: none">• Collaborate with DOE EERE and DOE GO to streamline and standardize financial information by developing and deploying monthly reports timely.• Provide timely and accurate budget submissions for:<ul style="list-style-type: none">○ DOE Field Budget○ Functional Costs○ Indirect Cost Proposal○ Travel Management○ Uncosted Obligations• Close completed programs and projects on a timely basis for:<ul style="list-style-type: none">○ DOE Programs and Projects – 100% within one year of program subcontract closeouts.○ Work for Others Projects – 80% within 1 year of project completion, 90% within 2 years, 100% within 3 years.

In order to drive the outcomes/results articulated in 5.2 of NREL's One-Year Plan the following set of targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL's success in meeting this Objective.

5.2 Sound, comprehensive procurement systems
Foundational Performance
Meet FY07 Balanced Scorecard goals and targets.

5.2 Sound, comprehensive procurement systems
Foundational Performance
On average implement 60% of those subcontracts whose period of performance ended at least six months prior to the current month and whose un-invoiced amount is equal to or greater than \$20,000.
Meet socioeconomic goals as negotiated in the most current NREL small business plan, continuing outreach activities with special emphasis placed on goals that are difficult to reach, e.g., Veteran Owned, Disabled Service Veteran, Hubzone.
On average closeout 9% of those subcontracts that have been implemented and whose un-invoiced amount is equal to or greater than \$20,000.
Competitively award 55% of all subcontract awards and 70% of all subcontract dollars. This demonstrates that costs are reasonable and DOE receives best value for its funds.
Utilizing the PERT criteria, perform semi-annual self-assessments. With no significant findings, this demonstrates adherence to NREL subcontract policies and procedures.
Ensure subcontract clauses are current and in accordance with the Prime Contract. Review clauses required to be flowed down to subcontractors are validated and in compliance with the Prime Contract. Concurrence with DOE Contracting Officer will document required flow down clauses and necessary revisions for compliance with prime contract.
With the participation of the DOE Contracting Officer review clauses applicable to subcontractor ESH&Q. Also with participation of the ESH&Q and Site Operations, validation will be provided that clause updates, as necessary, are sufficient to reflect required subcontractor performance.

In order to drive the outcomes/results articulated in 5.3 of NREL's One-Year Plan the following set of targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL's success in meeting this Objective.

5.3 Sound and responsive human resource management systems and diversity program
Foundational Performance
Demonstrate effective recruitment with an average time to fill cycle time of < 65 calendar days.
Initiate a new HR service delivery model by providing an HR consultative/generalist for clients.
Comprehensive review of NREL health care plans <ul style="list-style-type: none"> • Choose best value for staff and NREL • Effectively roll out a new medical plan and flexible spending plan to staff
Provide day-to-day service for clients and staff <ul style="list-style-type: none"> • Support laboratory-wide compliance training, which includes tracking safety training completion rate • Personalized guidance on all benefit related matters • Guidance to hiring managers throughout the hiring process; including sourcing resumes, scheduling interviews, pre-screening candidates, evaluating candidates, and determining salary offers • Continually strive to ensure salaries are competitive and staff are equitably compensated • Facilitate and coordinate lab-wide new employee orientation • Support operations in providing staffing, EEO statistics and other HRIS related data • Employee relations support

In order to drive the outcomes/results articulated in 5.4 of NREL's One-Year Plan the following set of targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL's success in meeting this Objective.

5.4 Sound information and management systems
Foundational Performance
<p>Information Systems</p> <ul style="list-style-type: none"> • NREL's IT infrastructure components are available 99.7% during the operational hours of 6:00 a.m. to 6:00 p.m. on normal business days. • Client Services transaction volumes are reported quarterly. • Client Services customer satisfaction results remain above 3.0 (on a scale of 1 to 4 with 1 being dissatisfied, and 4 being very satisfied). • Monitor desktop usage of Library journal articles (report quarterly). • Monitor desktop usage of primary Scientific and Technical databases (report quarterly).
<p>Requirements Management</p> <ul style="list-style-type: none"> • A team-based approach to developing select high-impact lab-level procedures is developed and implemented. • Timely update of high-risk policies and procedures.
<p>Quality Assurance</p> <ul style="list-style-type: none"> • Meet key milestones of QA Program implementation plan as negotiated and reviewed with DOE-GO quarterly.
<p>Technology Transfer</p> <ul style="list-style-type: none"> • Evaluate NREL inventions and strengthen NREL's intellectual property portfolio. • Negotiate technology partnering Agreements in a timely manner consistent with FY2006 business volume.

6.0 Facilities and Infrastructure

In order to drive the outcomes/results articulated in 6.1 of NREL's One-Year Plan the following set of targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL's success in meeting this Objective.

6.1 Effective and efficient management of existing property, facilities, equipment, and infrastructure
Foundational Performance
<p>Foster environment, health and safety as a core value in existing property, facilities, equipment, and infrastructure management activities.</p> <ul style="list-style-type: none"> • Foster environment, health and safety as a core value through Site Operations policies and procedures. • Participate in safety forums such as the NREL Safety Council, and the NREL and EFCOG electrical safety panels. • Complete 95% of ESH&Q required training by Site Operations staff. • Implement recommendations of the joint Site Operations/ESH&Q Integrated Safety Management Task Force. • Sustain the life safety systems of facilities and safety processes, as a Building Area Engineer's key role.

6.1 Effective and efficient management of existing property, facilities, equipment, and infrastructure

Foundational Performance

- Support ESH&Q with building construction plans for NEPA activities.

Tailor Earned Value Management System (EVMS) principles to major (>\$250K) General Purpose Plant projects.

As mutually agreed with the Golden Field Office, meet the Property Management performance measures contained in NREL's Personal Property Balanced Scorecard.

Continue to optimize utilization of facilities by tracking and managing lab space and by tracking and managing laboratory support space.

- Achieve an asset utilization index in the highest category in accordance with the RPAM Order 430.1B asset utilization index definition.

Maintain real property assets

- Achieve an asset condition index in the highest category in accordance with the RPAM Order 430.1B asset condition index definition.

Achieve campus energy performance expectations.

- Assess the impact and ability of the NREL Sustainable program to meet the goals contained in the new Executive Order 13423, "Strengthening Federal Environmental, Energy, and Transportation Management."
- Achieve FY07 Sustainable NREL expectations
- Improve energy efficiency and reduce greenhouse gas emissions through reduction of energy intensity by 3% annually with FY 03 as a baseline year.
- Ensure that at least half of the statutorily required renewable energy consumed comes from new renewable sources.
- To the extent feasible, implement energy management projects

Prepare accurate cost estimates of major projects

- Achieve average detailed construction design cost estimates on major (>\$250K) GPP projects within 20 % of actual market bid cost in accordance with DOE *Project Management Practices*.

Manage projects within schedule and budget

- Manage each project's scope, schedule and budget in accordance with the Site Operations *Project Management Manual* within the established baseline change control process.

In order to drive the outcomes/results articulated in 6.2 of NREL's One-Year Plan the following set of targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL's success in meeting this Objective.

6.2 Effective management of proposed and new infrastructure

Foundational Performance

Foster environment, health and safety as a core value in proposed and new infrastructure development activities.

- Integrate safety criteria into Construction Line Item and major project Statements of Work.
- Support ESH&Q NEPA activities with facility construction and site planning details.

Incorporate the Earned Value Management System (EVMS) in all proposed and new facilities and infrastructure planning.

- Tailor EVMS principles to all Construction Line Item projects.
- Support to the fullest extent the Office of Engineering and Construction Management certification of

6.2 Effective management of proposed and new infrastructure

Foundational Performance

the NREL EVMS.

- Use financial data consistent with the DOE STARS submission for reporting all CLI project performance reports.

Prepare accurate cost estimates for proposed and new major infrastructure projects

- Achieve average detailed construction design cost estimates for proposed and new major (>\$250K) projects within 20 % of actual market bid cost in accordance with DOE *Project Management Practices*.

Manage proposed and new infrastructure projects within schedule and budget.

- Manage each project's scope, schedule and budget in accordance with the Site Operations *Project Management Manual* within the established baseline change control process.
- Apply EVMS to Construction Line Item projects in accordance with DOE Order 413.3A CRD, the NREL EVMS *System Description* and the NREL *Project Management Manual*.

Capitalize on lessons learned to minimize issues requiring correction

- Conduct an S&TF project lessons learned forum, and apply to future CLI projects.

Effective and timely management of contract disputes

- Review and revise, if needed, alternative disputes clause (Appendix B-4) for both design and construction contracts by C&BS.
- Craft and incorporate language into Construction Line Item subcontracts regarding payment and release of claims to lower-tier subcontractors by C&BS.
- Provide timely and accurate reporting to DOE of construction financial data, schedules, and contract claims.

Increase C&BS staff with a dedicated contracts administrator for all construction projects.

- Review and revise as necessary standard "subcontract administration responsibilities" language to address authority of administrator by C&BS.
- Review and revise as necessary the *Project Management Manual* on roles/responsibilities/authority of subcontract administrator and project manager by Site Ops.

Develop creative building designs incorporating renewable and efficient technologies through application of NREL expertise.

- Incorporate an energy goal into the scope of work for future buildings.
- Prepare a RSF design with an energy deliverable of 25,000 BTU/sq ft/year.

Submit the Ten Year Site Plan in support of the FY 09 Field Budget Call.

- Provide support to the Field Office and EERE as requested.

Initiate a Conceptual Design Report (CDR) for the Integrated Bio-Refinery Facility.

- Initiate and demonstrate substantial progress on the CDR for the Integrated Bio-Refinery Facility.

Provide a South Table Mountain Infrastructure Study

- Initiate the infrastructure study in support of the South Table Mountain build out.

Assess the impact and ability of the NREL proposed and new infrastructure projects to meet the goals contained in the new Executive Order 13423

- Contingent upon the Field Office approval develop and initiate ESPC (Ameresco) for the Renewable Fuel Heating Plant.
- Achieve LEEDTM Gold certification for the S&TF.

Obtain approval of start of operations for the Science and Technology Facility

- Submit documentation to DOE for the CD-4 EERE AAB approval.
- Obtain CD-4 approval for the S&TF.

Increase project management staffing levels contingent upon NREL budgets to provide enhanced

6.2 Effective management of proposed and new infrastructure

Foundational Performance

coverage of projects in assigned facilities.

- Hire one additional senior project leader/Building Area Engineer.

7.0 Security and Emergency Management

Leadership at NREL is committed to a strong security and emergency management culture where awareness of responsibilities in the areas of physical and cyber security and emergency management is infused throughout the institution. Security measures, including our protective force support, cyber and information management, and foreign national management systems will be strengthened. Emphasis will be placed on putting approved Site Security and Emergency Response Action plans in place and attaining renewal of NREL’s Authority to Operate for the Cyber Security Program. Foreign National Subject Matter Expert (SME) reviews will be expanded, emergency notification/communication systems will be improved, and cyber security incidents will be effectively mitigated and managed.

In order to drive the outcomes/results articulated in 7.1 of NREL’s One-Year Plan the following set of targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL’s success in meeting this Objective.

7.1 Site Security

Foundational Performance

Obtain approval for NREL Site Security Plan and complete the following actions:

- Develop and implement NREL-appropriate procedures for producing, receiving, handling and destroying Official Use Only (OUO) documents.
- Complete a Vulnerability Assessment for South Table Mountain Site.
- Conduct a Self-Assessment of NREL’s Security Programs with corrective actions tracked to completion.
- Complete Annual Site Security Refresher training.
- Develop a process to support applicable HSPD-12 PIV badge issuance
 - Identify criteria for badge issuance
 - Identify applicable staff
 - Implement National Agency Check process

Expand Foreign National SME reviews in the DOE FACTS system to include cyber security.

Develop a procedure to process access requests for visits and assignments of Foreign Nationals from terrorist supporting nations for inclusion in to NREL’s established Policies and procedures.

Embed security requirements into site/facilities planning, design, and construction.

Respond to security incidents in a timely manner and prepare reports according to DOE requirements.

Participate in an audit for the DOE Counterintelligence Program as applicable to NREL activities.

Maintain access control incidents that fall within minor, major and significant impact category at < 5% of all access control requests processed.

Self-identify and self-correct security incidents; document corrective and/or preventative action.

Evaluate Observation Reports as a result of patrol activities and document actions taken to minimize recurrence.

Validate that 100% of NREL workers complete Annual Site Security Refresher Training.

In order to drive the outcomes/results articulated in 7.2 of NREL’s One-Year Plan the following set of targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL’s success in meeting this Objective.

7.2 Emergency Management
Foundational Performance
Develop and implement an approved Emergency Response Action Plan (ERAP).
Identify and implement improvements to NREL emergency notification and communication systems.
Review and revise NREL Emergency Management Plan consistent with requirements set forth in DOE order 151.1C CRD.
Conduct exercises, drills, and training sessions according to the approved ERAP.
Document a critique of exercises and drills, including demonstration of successful response capabilities.
Document corrective actions and track to completion.
Conduct annual training exercise involving NREL’s Emergency Response Team.
Complete a hazardous material screening process.

In order to drive the outcomes/results articulated in 7.3 of NREL’s One-Year Plan the following set of targets (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized as the primary measure of NREL’s success in meeting this Objective.

7.3 Provide an effective system for cyber security
Foundational Performance
Foster commitment to strong Cyber Security performance.
Foster awareness of Cyber Security responsibilities in the culture of the Laboratory.
Report and mitigate Cyber Security incidents.
Effectiveness of Cyber Security systems is demonstrated by external reviews.
Close out current Plan of Action and Milestone (POA&M) resulting from the OA Red Team, and identify follow-on activities.
Renew NREL’s Authority to Operate (ATO) through a successful Certification and Accreditation (C&A) of the Cyber Security Program.
Limit the potential compromise of electronic information stored or managed in unclassified systems by achieving a rolling six month average Cyber Security Incident Score (see below) of less than or equal to 0.75.

Cyber Security Incident Scoring: Each incident that is reportable to DOE Computer Incident Advisory Capability (CIAC) will be scored based upon the impact of the incident and the cause of the incident, based on the following table, which has been adopted by multiple Office of Science laboratories.

Impact Level	Description	Score	Cause Factor	Multiplier
Insignificant	No significant damage; single system; no loss of information; isolated and mitigated automatically or within existing processes	0.5	Zero Day Attack: no mitigation available	0.0
Minor	Little or very minor damage; one of few systems; no loss of sensitive information; requires additional resources to mitigate	1.0	Personnel Unintentional Noncompliance: personnel failure to follow internal policies and/or procedures	0.5
Major	Major damage; multiple systems; likely loss of sensitive information; issue not mitigated	2.0	Personnel Intentional Noncompliance: gross negligence or disregard for policies, procedures, and good business practices such that HR and/or law enforcement involvement likely.	1.0