

SLAC MEMORANDUM

Business Services Division, MS 02

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September 14, 2000

TO: Distribution
FROM: Jerry L. Jobe
SUBJECT: SLAC Contract Modification Number M372

Attached is a signed copy of the SLAC Contract Modification Number M372 dated September 5, 2000.

4/17/07

First distribution appears to be missing DOE signature.

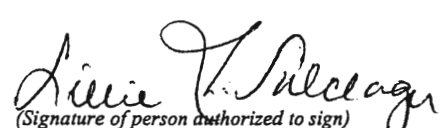
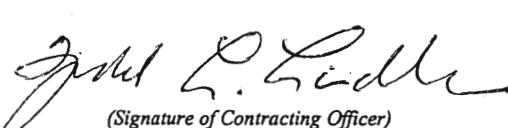
This is believed to be the reason for the later distribution with both SU and DOE signatures.

JLJ:rt
Enclosures a/s

Distribution

G. Grant – Mail Code 6025
K. Hodgson – SSRL – MS 69
D. Dungan – SSRL – MS 69
D. Kreitz – MS 02
A. Saltzberg – MS 01
M. Chang – MS 03

EXCEPTION TO SF 30, APPROVED BY NARS 5/79

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT			1. CONTRACT ID CODE	PAGE OF PAGES 1 of 2
2. AMENDMENT/MODIFICATION NO. 372 M 372	3. EFFECTIVE DATE See Block 16 C	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. (If applicable)	
6. ISSUED BY CODE		7. ADMINISTERED BY (If other than Item 6)		
U.S. Department of Energy Oakland Operations Office 1301 Clay Street, 700N Oakland, CA 94612				
8. NAME AND ADDRESS OF CONTRACTOR (No., street, country, State, and ZIP Code)			()	9A. AMENDMENT OF SOLICITATION NO.
Director of Sponsored Projects Stanford University 857 Serra Street - Room # 260 Stanford, CA 94305-4125				
				9B. DATED (SEE ITEM 11)
			x	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC03-76SF00515/M339
CODE				10B. DATED (SEE ITEM 13) 12/31/98
FACILITY CODE				
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS				
The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers is extended. is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended by one of the following methods: (a) By completing Items 8 and 25, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.				
12. ACCOUNTING AND APPROPRIATION DATA (If required)				
13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS , IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.				
A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN CONTRACT/ORDER NO. IN ITEM 10A.				
B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriati etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103 (b).				
C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:				
X D. OTHER (Specify type of modification and authority) Article 12, of the contract				
E. IMPORTANT: Contractor is not, X is required to sign this document and return 2 copies to the issuing office.				
14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)				
See Page 2 of 2.				
Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.				
15A. NAME AND TITLE OF SIGNER (Type or print) Lillie Ryans-Culclager Associate Director Office of Sponsored Research			16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Tyndal L. Lindler, Contracting Officer U.S. Department of Energy, Oakland Operations Office	
15B. CONTRACTOR OFFICER DATE SIGNED			16B. UNITED STATES OF AMERICA	16C. DATE SIGNI
 (Signature of person authorized to sign)			 (Signature of Contracting Officer)	9/5/00

The purpose of this modification is to add the FY 2000 Legal Performance Measure/Legal gradients as follows:

Far Exceeds Expectations: An average score of 4.0 or higher on the Annual SLAC Legal Services Survey

Exceeds Expectations: An average score between 3.0 and 3.9 on the Annual SLAC Legal Services Survey

Meets Expectations: An average score between 2.0 and 2.9 on the Annual SLAC Legal Services Survey

Needs Improvement: An average score between 0.0 and 1.9 on the Annual SLAC Legal Services Survey

End of Modification 372

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

CONTRACT ID CODE PAGE OF PAGES

1 93

3. AMENDMENT/MODIFICATION NO. M360	3. EFFECTIVE DATE October 1, 1999	4. REQUISITION/PURCHASE REQ. NO. N/A	5. PROJECT NO. (If applicable)
ISSUED BY	CODE	7. ADMINISTERED BY (If other than Item 6)	CODE

U.S. Dept of Energy
Oakland Operations Office
1301 Clay Street - 700N
Oakland, CA 94612

8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code)

Director of Sponsored Projects
Stanford University
857 Serra Street - #260
Stanford, CA 94305-4125

9A. AMENDMENT OF SOLICITATION NO.
9B. DATED (SEE ITEM 11)
10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC03-76SF00515
10B. DATED (SEE ITEM 13) January 1, 1964

CODE	FACILITY CODE
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11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers is extended, is not extended.

Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods:

(a) By completing Items 8 and 15, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)

N/A

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

<input checked="" type="checkbox"/> A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
<input type="checkbox"/> B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
<input type="checkbox"/> C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
<input checked="" type="checkbox"/> Agreement of the Parties
<input type="checkbox"/> D. OTHER (Specify type of modification and authority)

E. IMPORTANT: Contractor is not, is required to sign this document and return 3 copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)

The purpose of this modification is to incorporate the FY 2000 measures and the related change to the methodology section into the subject contract.

The text of the inclusion begins on the attached page 2 of this modification.

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15B. CONTRACTOR/OFFEROR <i>Jeffrey E. Grant</i> (Signature of person authorized to sign)	15C. DATE SIGNED 10/30/99	16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) RONNA PROMANI Contracting Officer CONTRACTING OFFICER	16C. UNITED STATES OF AMERICA BY <i>Ronna Romani</i> (Signature of Contracting Officer)	16C. DATE SIGNED 1/6/00
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**FY 2000
Stanford Linear Accelerator Center
PERFORMANCE MEASURES**

APPENDICES

Assessment Report Methodology

FY 1999 Annual Performance Assessment for Stanford Linear Accelerator Center Report Methodology

- The contractor's overall performance rating was designated by one of the following adjectives:

<u>RATING</u>	<u>GENERAL DESCRIPTION</u>
Outstanding	An overall weighted point score of from 3600 points through 4000 points.
Excellent	An overall weighted point score of between 3000 points and 3599 points.
Good	An overall weighted point score of between 2000 points and 2999 points.
Marginal	An overall weighted point score between 1000 points and 1999 points.
Unsatisfactory	An overall weighted point score of 999 points or less.

- The overall weighted point score rating was computed as follows:

The overall weighted point score for the Science and Technology Program Areas was added to the overall weighted point score for the Business Management Areas to determine the Contractor's overall weighted point score.

- To obtain the overall weighted point score in the Business Management, the following procedures were used:

- First the Criteria and Performance Measures within each Objective was characterized in accordance with the established metric. Then a scoring factor, within the range provided for that characterization, was assigned to that criterion. The following Characterizations and Scoring Factors ranges were used:

CHARACTERIZATIONS

SCORING FACTORS RANGE

Far Exceeds Expectations	From 3.6 to 4.0
Exceeds Expectations	From 3.0 to 3.5
Meets Expectations	From 2.0 to 2.9
Needs Improvement	1.9 or less

b. Next, the Characterization Scoring Factor was multiplied times the available Basic Points for the Criterion to obtain the Weighted Point Score. Within each Objective area, the weighted point scores for all Criteria were added together to obtain the Weighted Objective Score.

c. The Weighted Objective Scores for all Objectives within a Business Management Functional Area were added together to compute the Weighted Functional Area Score. The Business Management Functional Area Rating was determined by reference to the following charts for each functional area:

RATING

WEIGHTED FUNCTIONAL AREA SCORE

Equal Opportunity and Affirmative Action

Outstanding	From 54 through 60
Excellent	From 45 through 53
Good	From 30 through 44
Marginal	From 15 through 29
Unsatisfactory	14 or less

Personnel Management

Outstanding	From 126 through 140
Excellent	From 105 through 125
Good	From 70 through 104
Marginal	From 35 through 74
Unsatisfactory	34 or less

Financial Management

Outstanding	From 198 through 220
Excellent	From 165 through 198
Good	From 110 through 164
Marginal	From 55 through 109
Unsatisfactory	54 or less

RATING

WEIGHTED FUNCTIONAL AREA SCORE

Public Affairs

Outstanding	From 36 through 40
Excellent	From 30 through 35
Good	From 20 through 29
Marginal	From 10 through 19
Unsatisfactory	9 or less

Personal Property

Outstanding	From 108 through 120
Excellent	From 90 through 107
Good	From 60 through 89
Marginal	From 30 through 59
Unsatisfactory	29 or less

Procurement

Outstanding	From 90 through 100
Excellent	From 75 through 89
Good	From 50 through 74
Marginal	From 25 through 49
Unsatisfactory	24 or less

Projects/Facilities Management

Outstanding	From 216 through 240
Excellent	From 180 through 215
Good	From 120 through 179
Marginal	From 60 through 119
Unsatisfactory	59 or less

Information Management

Outstanding	From 126 through 140
Excellent	From 105 through 125
Good	From 70 through 104
Marginal	From 35 through 69
Unsatisfactory	34 or less

RATING

WEIGHTED FUNCTIONAL AREA SCORE

Safeguards and Security

Outstanding	From 54 through 60
Excellent	From 45 through 53
Good	From 30 through 44
Marginal	From 15 through 29
Unsatisfactory	14 or less

Technology and Intellectual Property

Outstanding	From 36 through 40
Excellent	From 30 through 35
Good	From 20 through 29
Marginal	From 10 through 19
Unsatisfactory	9 or less

ES&H

Outstanding	From 396 through 440
Excellent	From 330 through 395
Good	From 220 through 329
Marginal	From 110 through 219
Unsatisfactory	109 or less

4. The point range for the overall adjectival ratings for Science and Technology and Business Management are as follows:

Science and Technology:

Outstanding	From 2160 to 2400
Excellent	From 1800 to 2159
Good	From 1200 to 1799
Marginal	From 600 to 1199
Unsatisfactory	Less than 600

Business Management:

Outstanding	From 1440 to 1600
Excellent	From 1200 to 1439
Good	From 800 to 1199
Marginal	From 400 to 799
Unsatisfactory	Less than 400

5. The Contracting Officer shall have a unilateral right to change the overall rating of the laboratory, after all other evaluations are complete, based upon his or her determination that some significant event(s) requires such a change to accurately reflect performance.

Performance Area: SCIENCE AND TECHNOLOGYCumulative available points 600

Stanford University operates and maintains the Stanford Linear Accelerator Center (SLAC) as a National User Facility, and manages the research, design, construction, engineering, testing, training, education, technology transfer, and other activities conducted on behalf of the Department of Energy (DOE), in a manner that will maintain a vigorous, forward-looking program. The mission is the generation of new, and expansion of existing, scientific and technical knowledge in: high energy physics, including theoretical, experimental, and accelerator physics; basic energy sciences, including but not limited to the utilization of synchrotron radiation in biology, chemistry, materials science, medical sciences, physics and other disciplines; health and environmental sciences; and all appropriate areas of natural sciences, engineering, and related disciplines. SLAC has been established as a National User Facility for the conduct of unclassified research, providing a unique resource for the DOE Office of Science's scientific program and related user communities.

The very nature of scientific inquiry, its complexity, duration, and examination of the unknown, mitigate against the establishment of purely quantitative criteria for evaluating the results of this research. In recognition of this difficulty, a system utilizing the review by scientific peers has proven its worth in influencing the direction of, and establishing standards for scientific research. In keeping with this tradition, this peer review process will be used to evaluate the science and technology programs at SLAC.

HIGH ENERGY PHYSICS**Available Points: 500****Performance Objective #1: Scientific Research and Technology Development Programs**

Provide new insights into the nature of matter and energy; Provide the science core competencies that contribute to successful DOE and national programs; Ensure effective programmatic and strategic planning; Construct and operate leading-edge experiments and user facilities on schedule, within budget, and in a safe and environmentally sound manner.

Performance Criteria: 1.1**Available Points: 120**

Quality of fundamental and applied science.

Performance Measure: 1.1.a

SLAC will be recognized as a world-class research institution providing state-of-the-art facilities to the user community; having an innovative, productive research staff that is recognized as such by their peers; promote and facilitate education of graduate students and production of Ph.Ds; have a strong and enthusiastic user organization.

Performance Criteria: 1.2

Available Points: 200

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a

SLAC will contribute to U.S. leadership in international High Energy Physics communities; contribute to the goals and objectives of DOE Strategic Plans and guidance; provide advanced accelerator, and detector facilities that serve the needs of a wide diversity of scientific users from industry, academia, and Government laboratories.

Performance Criteria: 1.3

Available points: 100

Effective and efficient research program management.

Performance Measure: 1.3.a

SLAC will provide: well-developed research plans; optimal use of personnel, facilities, and equipment; meeting budget projections and milestones; reflect effective decision-making in managing and redirecting projects; identify and avoid or overcome technical problems; and include scientific and technical information in program and project planning, and make it broadly available in electronic form.

Performance Criteria: 1.4

Available Points: 80

Success in construction and operation of facilities.

Performance Measure: 1.4.a

SLAC will construct and operate leading-edge experiments and user facilities in a reliable safe and environmentally sound manner according to planned schedules; achieve performance specifications; and maintain and improve facilities at reasonable and defensible costs.

SYNCHROTRON RADIATION:

Available Points: 100

Performance Objective #1: Scientific Research and Technology Development Programs

Provide new insights into the nature of matter and energy; Provide the science core competencies that contribute to successful DOE and national programs; Ensure effective programmatic and strategic planning; Construct and operate leading-edge experiments and user facilities on schedule, within budget, and in a safe and environmentally sound manner.

Performance Criteria: 1.1

Available Points: 20

Quality of fundamental and applied science.

Performance Measure: 1.1.a

SLAC will be recognized as a world-class research institution providing state-of-the-art facilities to the user community; having an innovative, productive research staff that is recognized as such by their peers; promote and facilitate education of graduate students and production of Ph.Ds; and have a strong and enthusiastic user organization.

Performance Criteria: 1.2

Available Points: 30

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a

SLAC will contribute to U.S. leadership in international Basic Energy Science and Biological & Environmental Research communities; contribute to the goals and objectives of DOE Strategic Plans and guidance; provide advanced, synchrotron facilities that serve the needs of a wide diversity of scientific users from industry, academia, and Government laboratories.

Performance Criteria: 1.3

Available Points: 20

Effective and efficient research program management.

Performance Measure: 1.3.a

SLAC will provide: well-developed research plans; optimal use of personnel, facilities, and equipment; meeting budget projections and milestones; reflect effective decision-making in managing and redirecting projects; identify and avoid or overcome technical problems; and include scientific and technical information in program and project planning, and make it broadly available in electronic form.

Performance Criteria: 1.4

Available Points: 30

Success in construction and operation of facilities.

Performance Measure: 1.4.a

SLAC will construct and operate leading-edge experiments and user facilities in a reliable safe and environmentally sound manner according to planned schedules; achieve performance specifications; and maintain and improve facilities at reasonable and defensible costs.

The following review procedures constitute the peer review process for determining the research quality and productivity of the scientific endeavors at DOE facilities:

1. The Director of Office of Science has the primary responsibility for evaluating laboratory scientific research performance. In carrying out this responsibility, the Director is likely to request assistance from the Program Managers under whose jurisdiction the scientific program falls.

2. In performing this evaluation, the Director will utilize a variety of different reviews, which could include:

Advisory Committees reporting to the Director that are appointed formally through the Federal Advisory Committee Act.

Program Manager's review of projects at the laboratory using independent technical experts.

Reviews of relevant laboratory activities conducted, as requested for the Secretary of Energy, or for other Secretarial Officers.

Reviews performed by the contractor, which may or may not involve active participation of Department personnel, or prior review by the Department of contractor peer review procedures.

3. All reviews address the criteria and measures described above, in High Energy Physics and Synchrotron Radiation.

4. Results of the review are documented and, as appropriate, include ratings for each criterion and measure.

5. The documented ratings of the reviews are available for use by other DOE groups reviewing the same projects, perhaps at a higher organizational level. Contractor reviews, when transmitted to the Department, are available in the same way

6. Summaries of recent documented reviews and ratings of the laboratory are provided to Assistant Secretaries and the Director of Office of Science for their use in evaluating overall laboratory performance.

7. The Assistant Secretaries and the Director of Office of Science provide their evaluations to the Department's cognizant Contracting Officer, who has responsibility for evaluating the performance of the laboratory contractor.

**Performance Area: EQUAL OPPORTUNITY
AND AFFIRMATIVE ACTION**

Cumulative Available Points 15

Performance Objective # 1 Equal Opportunity and Affirmative Action

Maintain effective internal program controls to ensure SLAC's Equal Opportunity Programs is in accordance with all Federal Civil Rights Statutes and the Affirmative Action Program is in accordance with the Code of Federal Regulations 41-CRF 60-2

Performance Criteria: 1.1

Program Development and Maintenance: Develop and maintain an Equal Employment and Affirmative Action Program at SLAC that meets the Department of Labor's compliance criteria and the Department of Energy's EEO Contractual requirements.

Performance Measure: 1.1.a

Available Points: 15

Compliance Standing and Operational Awareness

Development, maintenance, and existence of control systems which would enable the standing of the EEO/AA program to be assessed quickly and efficiently. Assess and evaluate the strategic plan contained in the Annual Affirmative Action Plan.

Performance Assumptions:

Program and Plan

The maintenance of a current EEO/AA program through the development of an annual affirmative action plan to identify areas of underutilization and to assess progress in reaching full utilization of minorities and women in accordance with regulatory guidelines. Contained within this annual plan, with the concurrence of DOE/OAK, will be the identification of high priority occupation areas along with a strategic plan.

Performance Gradient:

Outstanding:

In the aggregate, improve utilization of high priority underutilized job groups and achieve full utilization in any of the high priority job groups while showing no reduction in utilization in all other job groups.

Excellent:

In the aggregate, improve utilization of high priority underutilized job groups while showing no reduction in utilization in all other job groups.

Good:

Within the annual affirmative action plan, the laboratory will develop a strategic plan in concurrence with DOE/OAK. The laboratory will provide evidence of its commitment by providing a report on the results of an annual strategic plan including topics such as recruitment, selection, and retention efforts involving minorities and women. The report shall include workforce data a year apart depicting job group tables which list employment by ethnicity and gender and which will identify the level of utilization for minorities and women.

Marginal:

Fails to develop an acceptable Plan.

Performance Area: HUMAN RESOURCE MANAGEMENT

Cumulative Available Points 35

Performance Objective # 1. Attraction/ Retention of Qualified People

SLAC will attract and retain highly qualified people by having a cost effective total compensation program which is competitive with the relevant job market.

Performance Criteria: 1.1

Direct Compensation Program. Direct compensation (salary) programs will reflect the University's mid-market compensation philosophy.

Performance Measure: 1.1.a

Available Points: 10.0

Average Salary

Average salary for benchmark positions, excluding bargaining unit positions, as measured by recognized salary surveys conducted annually will be within $\pm 5\%$ of the aggregate average for jobs at the time of program implementation. No more than 20% of benchmark positions should exceed $\pm 10\%$ of their individual survey comparators.

Performance Assumption:

Rating category will be subjectively determined by DOE in agreement with SLAC.

Performance Gradient:

Track and trend

Performance Criteria: 1.2

Indirect Compensation. Indirect compensation (benefit) programs will be consistent with local market practices and provide for the well-being of SLAC employees.

Performance Measure: 1.2.a

Available Points: 5.0

Benefit Program

The benefit program (to include programs such as: retirement, medical and dental, vacation, sick and other paid leave, life insurance, accidental death and dismemberment, worker's compensation, social security, unemployment, short and long term disability, holidays, and tuition grant) as measured by agreed to survey will be within $\pm 7.5\%$ of the local average when the above benefits are expressed as percent of salary.

Performance Assumptions:

Rating category will be subjectively determined by DOE in agreement with SLAC.

Performance Gradient:

Track and trend

Performance Objective # 2 Customer Needs

The Human Resource Management will monitor employee customer feedback in order to ensure high quality service to its employees.

Performance Criteria: 2.1

Requirements, expectations and preferences of customers are collected and addressed.

Performance Measure: 2.1.a Available Points: 5.0

Based on survey data analysis, the Human Resource Department will establish action plans to improve those areas which do not meet customer expectations.

Performance Assumptions:

Rating category will be subjectively determined by DOE in agreement with SLAC.

Performance Gradient:

Subjectively determine among: Outstanding, Excellent, Good, Marginal and Unsatisfactory.

Performance Objective # 3 Personnel Policy Compliance

SLAC will comply with Stanford University Personnel Policies as stated in the most current Administrative Guide.

Performance Criteria: 3.1

Personnel Policy Compliance. Periodic self-assessment of SLAC Human Resource Department practices in Employment, Benefits, Compensation, Employee Relations, Training and Development, and Performance Evaluation will indicate complete compliance with University Personnel policies.

Performance Measure: 3.1.a Available Points: 15.0

SLAC Human Resource Department staff will assess two of the six areas every year such that each area is reviewed every three years and will find complete compliance with Stanford University policy requirements. The self-assessment will be submitted to DOE for review and validation. (During FY 2000, Training and Employee Relations will be reviewed.)

Performance Assumptions:

Rating category will be subjectively determined by DOE in consultation with SLAC.

Performance Gradient:

Subjectively determine among: Far Exceeds Expectations; Exceeds Expectations; Meets Expectations; and Needs Improvement.

Performance Area: FINANCIAL MANAGEMENT

Cumulative Available Points 55

Performance Objective #1. Financial Stewardship

Effective and Efficient Cash Management

Performance Criterion: 1.1

Accounts payable are managed in a timely and efficient manner.

Performance Measure: 1.1.a Available Points: 3.5

Cost effective discounts are taken according to DOE guidelines.

Performance Assumption: Measure the number and dollar value of cost effective discounts available vs. discounts taken on a quarterly basis. Year-end results will be converted into an index to be rated as indicated below. Identify whether or not there is a budget effect from any lost discounts, that is, the failure to take advantage of a discount forces a budgetary or operational change. Narrative explanation of special circumstances relating to cost effective discounts may be considered for adjustment to the rating.

Performance Gradient:

Outstanding:	99-100% of cost effective discounts taken with no budget effect
Excellent:	95-99% of cost effective discounts taken with no budget effect
Good:	90-94% of cost effective discounts taken with no budget effect
Marginal:	86- 89% of cost effective discounts taken with no budget effect
Unsatisfactory:	Less than 85% of cost effective discounts taken with or without budget effect

Cost Effective Discounts Index

	<u>Weight</u>
% cost effective discounts taken (number)	40%
% cost effective discounts taken (dollar value)	<u>60%</u>
	100%

Example,

51 out of 60 discounts taken = $.85 @ 40\% = .34$
 \$14,500 out of \$15,000 in discounts taken = $.967 @ 60\% = .60$
 $.34 + .60 = .94 = 94\% = \text{Good}$

Performance Criterion: 1.2

Accounts receivable delinquencies are minimized.

Performance Measure: 1.2.a

Available Points: 4.5

Reduce the amount of delinquent accounts receivable 90, 91-180, and over 180 days old.

Performance Assumptions:

Accounts receivable percentages will be measured at the end of each fiscal year based on the delinquent accounts receivable balances 90, 91-180, and over 180 days old. The percentages will also be compared to the previous year's results. Eligible delinquent receivables greater than 180 days old must be transferred to OAK for referral to U.S. Treasury. Narrative explanation of special circumstances relating to outstanding accounts receivable balances may be considered for adjustment to the rating.

Performance Gradient:

Outstanding:

No receivables are delinquent more than 180 days, the value of receivables more than 90 days old is less than 1% of the value of total receivables, and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines by 20% from the previous year's number.

Excellent:

The value of receivables delinquent more than 90 days is less than 2% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines by 10% from the previous year's number and strategies are implemented to promote prompt collection of monies owed by BaBAR international and domestic collaborators.

Good:

The value of receivables delinquent more than 90 days is less than 3% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines 5% from the previous year's number and strategies are developed to promote prompt collection of monies owed by BaBAR international and domestic collaborators.

Marginal:

The value of receivables delinquent more than 90 days is less than 4% of the value of total receivables or the number of receivables delinquent more than 90 days declines by 3% from the previous year's number.

Unsatisfactory:

The value of receivables delinquent more than 90 days is greater than or equal to 4% of the value of total receivables or the number of non-Federal receivables more than 180 days old is greater than or equal to 3% of the number of total receivables.

Performance Criterion: 1.3

Cash management practices are monitored and improved (Travel department card management, Sanwa/Mellon banking services).

Performance Measure: 1.3.a

Available Points: 4.0

Cash management includes, at a minimum, monitoring Travel department card management and Sanwa/Mellon banking services.

Performance Gradient:

Banking Agreement: Develop baseline data for accuracy of service charges and maintenance of balances at or as close to zero as possible. *Banking Services from Sanwa/Mellon* are monitored to assure minimum balances are maintained, service charges are corrected, and issues are promptly resolved.

Travel department cards: Develop baseline data for uses and balances. *Travel department cards* are monitored to assure appropriate use and prudent management.

Performance Criterion: 1.4

Revenues are properly recorded.

Performance Measure: 1.4.a

Available Points: 4.0

Revenues/collections are promptly collected, recorded and properly classified (i.e., sent to Treasury or deposited into the Payments Cleared Financing Arrangement Account)

Performance Assumptions:

Contractor will track all revenues/collections received as required by DOE guidelines to ensure collections are promptly collected, recorded and classified (i.e. sent to treasury or deposited into the bank account)

Performance Gradient:

Outstanding:	100% of revenues/collections are properly recorded and classified.
Excellent:	98%-99% of revenues/collections are properly recorded and classified.
Good:	95%-97% of revenues/collections are properly recorded and classified.
Marginal:	90%-95% of revenues/collections are properly recorded and classified.
Unsatisfactory:	Less than 90% of revenues/collections are properly recorded and classified.

Performance Objective # 2. Financial Stewardship

Quality Budget Formulation & Effective Budget Execution.

Performance Criterion: 2.1

Budgets are timely submitted and adhere to DOE programmatic guidance.

Performance Measures: 2.1.a

Available Points: 3.5

Supportable budgets submissions meet due dates, follow form, include all requested items and incorporate budget validation and follow DOE guidance.

Performance Assumption:

The annual process will be measured for timeliness and form. A narrative will describe the internal process to prepare the budget including a discussion of the balance between the programmatic and indirect (overhead) budget requirements, documented validation of the estimates and any improvements in the process.

Performance Gradient:

Outstanding:

This rating is achieved by meeting DOE due dates, following directions, considering uncosted balance in requesting new budget authority, documenting a validation of at least 20% of the budget submission, receiving favorable customer feedback, and reducing cycle time and/or cost of budget preparation.

Excellent:

This rating is achieved by meeting DOE due dates, following directions, considering uncosted balance in requesting new budget authority, and documenting a validation of at least 20% of the budget submission.

Good:

This rating is assigned by meeting DOE due dates and following the form.

Marginal:

This rating is assigned if the budget is late and no higher rating factors are demonstrated.

Unsatisfactory:

This rating is assigned if a budget is not submitted.

Performance Criterion: 2.2

Manage uncosted balances

Performance Measure: 2.2.a

Available Points: 4.0

Reduce or maintain uncosted balances within the criteria established by the DOE

Performance Assumptions:

SLAC will provide a narrative including charts where appropriate.

Performance Gradient:

Outstanding:

This rating is achieved by meeting the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Excellent:

This rating is achieved by having less than 15% of the total uncosted balances exceeding the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Good:

This rating is assigned by having less than 20% of the total uncosted balances exceed the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Marginal:

This rating is assigned if more than 21% of the total uncosted balances exceeds the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Unsatisfactory:

This rating is assigned if more than 30% of the total uncosted balances exceeds the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Performance Criterion: 2.3

Costs and commitments of all programs including cost of work for others and reimbursables are managed properly.

Performance Measure: 2.3.a

Available Points: 4.5

Ensure costs and commitments are properly reported and within DOE-authorized funding levels.

Performance Assumptions:

SLAC will describe the system used to control costs and commitments, identify the number of DOE authorized funding levels measured, the number of times the DOE authorized funding levels were exceeded, the number of times there were costs in excess of the estimated cost and obligation report (ECOR).

Definitions:

“Properly reported” means that accounting records show costs and commitments in the appropriate accounts.

“Within funding levels” means within identified funding in the contract modification.

“Commitments” are defined as uncOSTed balances under contracts awarded by the Laboratory that are set aside or encumbered, including purchase orders issued; contracts and subcontracts awarded, including the full liability under lease purchases and capital leases; termination cost for incrementally funded firm fixed price contracts, operating lease agreements, and multi-year service contracts that contain termination clauses; and other agreements for the acquisition of goods and services not yet received uncOSTed balances related to other integrated M&O contractor liabilities.

Performance Gradient:

Outstanding:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for each accounting period, demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels, training and development on laboratory financial processes and assuring that funding changes are handled within normal funding cycles.

Excellent:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for each accounting period, a demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels assuring that funding changes are handled within normal funding cycles.

Good:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for 10 of the 12 accounting periods, a demonstrated internal

process that ensures controlling costs and commitments at the ECOR, and that funding changes are handled within normal funding cycles 80% of the time.

Marginal:

This rating is assigned by staying within appropriate DOE-authorized ECOR levels each accounting period, controlling costs and commitments, and assuring that funding changes are handled 80% of the time within normal funding cycles.

Unsatisfactory:

This rating is assigned by exceeding an ECOR in any accounting period.

Performance Objective # 3. Financial Stewardship

Effective Internal Controls and Audit Findings Follow-up.

Performance Criterion: 3.1

Provide for effective internal controls and ensure timely and effective resolution and/or follow-up on external and internal review group findings of a financial nature.

Performance Measure: 3.1.a

Available Points: 3.0

Financial findings are prioritized to achieve timely resolution within the metric guidelines.

Performance Assumptions:

SLAC will partner with OAK in prioritizing finding to achieve maximum resolution response by SLAC. SLAC will produce reports showing the delta between labs scheduled resolution dates and the actual resolution dates.

Performance Gradient:

Outstanding:

96-100% of all events are resolved on schedule.

Excellent:

86-95% of all events are resolved on schedule.

Good:

75%-85% of all events are resolved on schedule.

Marginal:

50%-74% of all events are resolved on schedule.

Unsatisfactory:

Less than 50% of all events are resolved on schedule.

NOTE:

Factors that will be considered for a higher rating include:

- audits or reviews that do not contain material findings
- proactive leadership in addressing and correcting internal and external audit findings
- aggressiveness of corrective actions schedules

Performance Measure: 3.1.b

Available Points: 2.0

Adequate internal controls are in place to ensure that travel costs reported are accurate, complete, and have supporting documentation.

Performance Assumptions:

SLAC will partner with OAK in addressing issues related to travel costs to meet DOE requirements. When requested by OAK, SLAC will provide documentation showing total travel costs of SLAC employees. Travel costs exclude travel performed under work-for-other agreements, travel of subcontractors, travel of users to participate in experiments at DOE user facilities, relocation costs or costs of travel management centers.

Performance Gradient:

Outstanding:

Travel costs reported by SLAC are accurate and satisfy DOE requirements. There is adequate documentation to support the costs. No revisions are made and validations conducted by OAK show no negative findings.

Excellent:

Minor changes are made on the travel costs after validations conducted by OAK. Overall, the travel costs meet DOE requirements. SLAC has sufficient documentation to support reported travel costs.

Good:

Documentation is inadequate to support minor travel costs. After validations by OAK, minor revisions have to be done to conform to DOE requirements.

Marginal:

There is inadequate documentation to support major costs. Major changes have to be done to satisfy DOE requirements.

Unsatisfactory:

SLAC does not report its travel costs or there is no documentation to support the costs.

NOTE:

Factors that will be considered for a higher rating include:

- OAK validations that have positive findings
- proactive interaction with OAK in addressing and correcting travel costs issues
- timeliness of submission of travel costs

Performance Objective: #4

Ensure accounting data is recorded accurately and timely in accordance with prescribed standards.

Performance Criterion: 4.1

Financial data is recorded and reported consistently, accurately, and timely.

Performance Measures: 4.1.a

Available Points: 5.5

DOE required accounting reports are provided by the due date and meet content requirements.

Performance Assumption:

Annual self-assessment will address date and time of report submittals, error rates, and resubmittals required. Describe significant adverse events and steps taken to resolve or prevent recurrence. Reports listed in the table below are addressed by this performance measure.

Performance Gradient:

Outstanding:

In addition to meeting the requirements for Excellent, SLAC's submittals consistently exhibit an innovative/improved approach to the content or reflect more efficient and effective work processes in the functions addressed by the submittals.

Excellent:

Despite the occurrence of significant adverse events, reports are submitted timely, address the content requirements, and are free of significant errors. No resubmittals or extensions of time are required or SLAC is able to overcome the adverse events and submit according to the original deadline rather than the extended due date granted by DOE.

Good:

Except for the occurrence of significant adverse events, reports are submitted on time, address the content requirements, and are free of significant errors. No resubmittals are required. SLAC notifies DOE of adverse events in time for DOE to grant an extension of time in which to make submittals.

Marginal:

One or two reports are submitted late or contain significant errors in content requiring resubmittal. There are no significant adverse events or SLAC fails to notify DOE in time for an extended deadline to be granted.

Unsatisfactory:

More than two reports are submitted late or contain significant errors in content requiring resubmittal. There are no significant adverse events or SLAC fails to notify DOE in time for an extended deadline to be granted.

DESCRIPTION	DUE DATE
MARS	4 th Workday, 10:00 a.m.
Reimbursable Work Overrun Reports	Monthly – 10 th day
Report on International Transactions	Quarterly
Schedule 220.9 – Receivables Due from the Public – Accounts and Loans	Quarterly
Summary of Individual Contractor Personal Property Sales	Quarterly
Financial Statement Analysis	Annual
Managerial Cost Allocations	Annual
Management Representation Letter	Annual
Current Status of Accounts Receivable from Foreign Obligors	Annual
Annual Disclosure Under FASB 106 – Post Retirement Benefits	Annual
DOE 3230.2 – Report of Contractor Expenditures for Employees' Supplementary Compensation	Annual
Annual Disclosure Under FASB 87 – Pensions	Annual
Statement of Costs Incurred and Claimed	Annual (November 15)
Estimated Quantity and Usage – Stores	Annual

Performance Criterion: 4.2

FY 1999 Financial Statements hold up under audit by DOE/OIG or Stanford internal Audit.

Performance Measures: 4.2.a

Available Points: 5.5

FY 1999 audited financial statements are prepared in accordance with DOE requirements.

Performance Assumption:

A narrative will be provided to describe activities and processes in support of the measure. In FY 2000, the extent of improvement over FY 1999 will be measured.

Performance Gradient:

Outstanding:

In addition to meeting the Excellent gradient, SLAC compares its financial statement analysis against other integrated contractors' processes and results as a step toward benchmarking.

Excellent:

Financial statements are complete and accurate and supported by documentation. The financial statement preparation and analysis process is identified and evaluated.

Good:

Financial statements are complete and accurate and supported by documentation. A list of analyses to be performed is prepared and analyses are completed. Information provided to auditors is timely and responsive.

Marginal:

Financial statements are incomplete or inaccurate. There is inadequate response to auditors' requests for information.

Unsatisfactory:

Financial statements are incomplete or inaccurate. There is inadequate response to requests by auditors for information. Auditors are unable to certify OAK financial statements due to SLAC's inadequate financial statement preparation.

Performance Objective #5

Construction projects are closed and capitalized.

Performance Criterion 5.1

Construction projects are closed and capitalized

Performance Measures 5.1.a

Available Points: 3.5

Projects are closed upon beneficial occupancy and capitalized in accordance with DOE requirements.

Performance Assumption:

Construction projects are tracked and processes are established to ensure that projects are closed upon beneficial occupancy and capitalized in accordance with DOE requirements.

Performance Gradient:

Outstanding:

In addition to meeting the requirements for the Good rating, SLAC implements improvements to the closing process and streamlines it and/or shortens the schedule.

Excellent:

In addition to meeting the requirements for the Good rating, SLAC reviews the closing process and identifies ways to improve it and streamline it and/or shorten the schedule.

Good:

A plan is developed for projects to be closed and capitalized by DOE's year-end established deadlines and all key milestones are met by the due date.

Marginal:

A plan is developed for projects to be closed and capitalized by DOE's year-end established deadlines but more than 10% of key milestones are missed.

Unsatisfactory:

SLAC fails to develop an adequate plan for projects to be closed and capitalized by DOE's year-end established deadlines or more than 20% of key milestones are missed.

Performance Objective #6.0

Effective and efficient indirect cost management

Performance Criterion: 6.1

SLAC manages its indirect rates

Performance Measure: 6.1.a

Available Points: 2.0

Using 1996 as a baseline, track and trend FY 1997 through FY 2000 indirect costs. Demonstrate that the costs are efficiently managed.

Performance Assumption:

SLAC will provide reports to DOE indicating the trend of indirect costs and an analysis of trend results.

Performance Gradient:

Track and Trend

Performance Measure: 6.1.b

Available Points: 3.0

SLAC will adequately complete and provide to DOE the Cost Accounting Standards (CAS) Disclosure Statement as determined by the Contracting Officer.

Performance Assumption:

SLAC will provide a narrative description of its CAS financial management practices. SLAC will partner with OAK in preparing the CAS Disclosure Statement. The timeliness and quality of the CAS Disclosure Statement will be measured based upon on-time performance.

Performance Gradient:

Outstanding:

The CAS Disclosure Statement is submitted on time and fully meets requirements because SLAC demonstrates an excellent, reliable, and systematic method of analyzing and assimilating financial data into the CAS Disclosure Statement.

Excellent:

The CAS Disclosure Statement is submitted on time and SLAC demonstrates the initiative to improve its CAS financial management practices in order to submit a well-prepared CAS Disclosure Statement.

Good:

The CAS Disclosure Statement is submitted on time with some necessary or minor corrections.

Marginal:

The CAS Disclosure Statement is not submitted on time or is submitted on time but needs major revisions.

Unsatisfactory:

SLAC fails to provide the CAS Disclosure Statement

Performance Measure: 6.1.c

Available Points: 2.5

SLAC prepares and submits the Functional Support Cost Report (FSC) in accordance with DOE requirements.

Performance Assumption:

SLAC will prepare the FSC submission timely and in accordance with applicable guidelines. SLAC will also ensure accuracy of reported data and maintain auditable paper trail of methodology and assumptions used for allocations. SLAC will partner with OAK especially for input on any controversial items which may impact timeliness or accuracy of submission.

Performance Gradient:

Outstanding:

The FSC is submitted on time and in accordance with DOE guidelines. It is accurate, complete, and has adequate supporting documentation. In addition, SLAC demonstrates a proactive interaction with OAK to resolve any FSC issues.

Excellent:

The FSC is submitted on time and SLAC demonstrates the initiative to improve its functional costs collection, analysis, and reporting in order to submit a well-prepared FSC.

Good:

The FSC is submitted on time with some necessary or minor corrections.

Marginal:

The FSC is not submitted timely or is submitted on time but needs major revisions.

Unsatisfactory:

SLAC does not submit the FSC.

Performance Area: COMMUNICATION AND PUBLIC AFFAIRS

Performance Objective # 1

Cumulative Available Points 10

In keeping with the expectations of the Office of Science initiatives to improve the management of its laboratories and programs, SLAC will maintain the Lab's position as being open to the community and as being constructive participants with stakeholders and neighbors in the community.

Performance Criteria 1.1

SLAC Communications and Public Affairs provide access to the lab through information sharing; publicizing lab activities; hosting public events and leading tours; and participating in public and community activities as appropriate. Activities are conducted with minimum impact on lab operations

Performance Measures: 1.1.a

Available Points: 10

Various customer feedback methods.

Performance Assumptions:

Ongoing customer, stakeholder, and community participation and feedback indicates satisfaction or demonstrated effort to continuously improve communication, and overall availability and dissemination of information.

SLAC Communications and Public Affairs will measure the access of the public to the lab quantitatively by the number of people who participate in tours and attend public functions each fiscal year, and by the number of hits on SLAC's Virtual Visitor center web pages; and qualitatively by the feedback given on SLAC's tours, Virtual Visitor Center web pages and/or on other public functions SLAC Community and Public Affairs coordinates throughout the year.

Performance Gradient:

Track and Trend.

Performance Area: PERSONAL PROPERTY

Cumulative Available Points 30

Performance Objective #1 Accountability of Personal Property

SLAC will achieve cost effective accountability for government personal property.

Performance Criteria 1.1

Equipment Inventory. The Laboratory shall conduct successful equipment inventories as established in its inventory plan. Property accountability records shall be reconciled within 90 days after conclusion of the inventory.

Performance Measure 1.1.a Available Points: 6.0

Equipment Inventory Results. Percentage of equipment accounted for, by acquisition value, in the most recent equipment inventory conducted will be measured.

Performance Gradients:

Percentage of property, by acquisition value, accounted for:

Outstanding:	99.5% & Up
Excellent:	99.2% to 99.4%
Good:	98.7% to 99.1%
Marginal:	98.0% to 98.6%
Unsatisfactory:	<98.9%

Performance Objective #1 Accountability of Personal Property

SLAC will achieve cost effective accountability for government personal property.

Performance Criteria 1.2

Sensitive Property Inventory. The Laboratory shall conduct successful sensitive property inventories as established in its inventory plan. Property accountability records shall be reconciled within 90 days after conclusion of the inventory.

Performance Measure 1.2a Available Points: 6.0

Sensitive Inventory Results. Percentage of sensitive property accounted for, by acquisition value, in the most recent sensitive property inventory conducted will be measured.

Performance Gradients:

Percentage of property, by acquisition value, accounted for:

Outstanding:	99.5% and Up
Excellent:	99.2% to 99.4%
Good:	98.7% to 99.1%
Marginal:	98.0% to 98.6%
Unsatisfactory	<98.0%

Performance Objective #2 Organizational Stewardship and Individual Custodianship

SLAC will ensure that both stewardship and custodianship for personal property is maintained.

Performance Criteria 2.1

Organizational Stewardship and Individual Custodianship. The Laboratory will ensure organizational and individual accountability (stewardship and custodianship, respectively) for property.

Performance Measure 2.1.a Available Points: 3.0

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

Performance Assumptions:

- -% of accurate custodian assignments for sensitive property (Weight = 33 and 1/3%)
- -% of accurate custodian assignments for equipment (Weight = 33 and 1/3%)
- -% of initial custodians assigned within 60 days (Weight = 33 and 1/3%)

Performance Gradients:

Outstanding:	98.0% & Up
Excellent:	95.5% to 97.9%
Good:	90.0 to 95.4%
Marginal:	85.0% to 89.9%
Unsatisfactory	<85.0%

Performance Objective #3 Utilization of Property

SLAC will ensure proper utilization of government property.

Performance Criteria 3.1

Vehicle Utilization Program. The Laboratory will ensure proper utilization of government motor vehicles.

Performance Measure 3.1a

Available Points: 3.0

Measure Vehicle Utilization. Percentage of total eligible motor vehicles meeting local utilization criteria will be measured using the average utilization percentage for each class of vehicles. Reviews will be completed for each class of motor vehicles with established utilization criteria.

Performance Assumptions:

The average utilization percentage will be calculated for each class of vehicles by dividing the overall utilization measured into the overall utilization standard. As an example, 10 vehicles with a utilization standard of 1,000 miles per year would equate to an overall utilization standard of 10,000 miles per year. If the overall utilization measured 9,500 miles, then the average utilization percentage would be 9,500/10,000 or 95%.

Performance Gradients:

The average utilization percentage for motor vehicles will be measured:

Outstanding:	98% & Up
Excellent:	95% to 97.9%
Good:	90% to 94.9%
Marginal:	85% to 89.9%
Unsatisfactory:	<85%

Performance Objective #4 Customer Satisfaction

SLAC will strive to improve customer satisfaction.

Performance Criteria 4.1

The Laboratory listens and responds to its internal and external customers and stakeholders in a fair and open process that encourages dialogue and participation.

Performance Measure 4.1a Available Points: 2.0

The Laboratory shall select areas in which to determine the needs of its customers relative to its property management systems and methods. Measurement of improved customer satisfaction will be from an established baseline. The Laboratory will submit its selection by December 1, 1999 and its plan of action by April 1, 2000.

Performance Gradients:

Outstanding:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and milestones exceeded. Documentation of results versus the baseline demonstrates significant improvements in customer satisfaction relative to product improvement (ease of use and timeliness).

Excellent:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and milestones met. Documentation of results versus the baseline demonstrates improvements in customer satisfaction relative to product improvement (ease of use and timeliness).

Good:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and plan is initiated.

Marginal:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented but not initiated.

Unsatisfactory:

An implementation plan is not submitted and/or milestones are not met.

Performance Objective #5 Information to Improve/Maintain Process

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

Performance Criteria 5.1

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

Performance Measure 5.1.a Available Points: 5.0

Assessing Support Processes. The property process shall be measured against identified system evaluation criteria established in the plan.

Performance Gradients:

Basis for Rating:

SLAC's self-assessment worksheets provide the activities to be measured, point value for each activity and performance gradients.

Performance Objective #6 Cost Efficiency

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

Performance Criteria 6.1

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

Performance Measure 6.1.a Available Points: 2.0

Measuring Cost Efficiency/Effectiveness. The Laboratory shall measure its ability to effectively balance property management costs and performance.

Performance Gradients:

Cost vs. Baseline Plan Developed Each Year	Performance Level			
	Higher Gradient or Outstanding	Same Gradient	Lower Performance and Not Less Than Good	Lower Performance and/or Less Than Good
Less Cost	Outstanding	Excellent	Good	Marginal
Same Cost	Excellent	Good	Marginal	Unsatisfactory
More Cost	Good	Marginal	Unsatisfactory	Unsatisfactory
More Cost More Requirements	Renegotiate Performance Gradients for Critical Activities			

Performance Assumptions:

The Laboratory will select an area for measuring cost efficiency/effectiveness. Where properly justified and approved by DOE, the Laboratory may elect to extend the performance period for this measure over two evaluation periods. The first year the Laboratory will submit a plan reflecting the area to be addressed, outlining the approach to be employed in establishing an appropriate baseline and developing the gradients for the following evaluation period. Calculations for cost savings may be based on reduced manhours. Approach and implementation of the plan will be evaluated the first year. The final milestone of the plan will be to develop gradients for results desired by the end of the second year. These gradients will be the basis for evaluation in the second evaluation period.

Performance Objective #7 Learning and Growth

SLAC shall ensure that there is a program for achieving and maintaining learning and growth in the property management organization.

Performance Criteria 7.1

Evaluation of Learning and Growth and Employee Alignment. The Laboratory will foster learning and growth and employee alignment in its property management organization.

Performance Measure 7.1.a Available Points: 2.0

Measuring Learning and Growth and Employee Alignment. The Laboratory will have a process in place to measure learning and growth as well as to understand and address workforce expectations.

Basis for Rating:

An employee learning and growth plan shall be developed in partnership with DOE by November 30, 1999, providing the expected activities to be measured and milestones for completion of activities.

Performance Assumptions:

Learning and growth is the alignment of organizational performance goals and workforce skills (both current and future). Elements to be evaluated and rated will be submitted to and approved by DOE.

Performance Gradients:

Outstanding:	97% & Up of plan milestones met
Excellent:	95% to 96% of plan milestones met
Good:	80% to 94% of plan milestones met
Marginal:	75% to 79% of plan milestones met
Unsatisfactory:	<75%

Performance Area: PROCUREMENT

Cumulative Available Points 25

Performance Objective #1

Procurement functions are carried out so as to meet socio-economic goals, to timely provide the necessary supplies and services, while minimizing administrative costs.

Performance Criteria: 1.1

Accomplishment of Socio-economic procurement goals as incorporated in the annual subcontracting plan.

Performance Measure: 1.1.a

Available Points: 7.0

The percentage of annual goals attained.

Performance Gradient:

Outstanding:	>105% of goals
Excellent:	101-105% of goals
Good:	92-100% of goals
Marginal:	88-91% of goals
Unsatisfactory:	<88% of goals

Performance Criteria: 1.2

Suppliers deliver goods and services in a timely manner.

Performance Measure: 1.2.a

Available Points: 5.0

Percentage of orders delivered as scheduled.

Performance Assumptions:

SLAC has been attempting to design a Peoplesoft query to capture vendor performance. Due to the complexity of the system, only a subset of the Peoplesoft Purchase Orders can be reported upon accurately.

Performance Gradient:

Outstanding :	≥75% on time
Excellent:	70% - 74.9%
Good:	65% - 69.9%
Marginal:	60-64.9%
Unsatisfactory:	<60%

Performance Criteria: 1.3

Average procurement cycle times for Procurements of <\$100K, \$100K-\$500K, and >\$500K.

Performance Measure: 1.3.a

Available Points: 6.0

Average number of calendar days from receipt in Purchasing of a properly documented and authorized purchase requisition to award.

Performance Assumptions:

Data can only be captured from the time a properly authorized, documented, and funded requisition is assigned to a Buyer in the system to award date. Efforts normally defined as "pre-procurement planning" and assistance, which occur prior to receipt of the requisitions, are not represented in the information system calculations.

Performance Gradient:

DOE National Target – 20 Days for all procurement actions

Outstanding:	<5 days
Excellent:	5 days to 8 days
Good:	9 days to 12 days
Marginal:	13 to 19 days
Unsatisfactory:	>20 days

Performance Criteria: 1.4

Cost to Purchase \$1 of goods and services.

Performance Measure: 1.4.a

Available Points: 7.0

Purchasing administration cost per procurement dollar committed.

Performance Assumptions:

Metrics are to be indexed using average annual salary increases for Purchasing Department and changes to the fringe benefit rate, both of which are beyond the control of the Purchasing Department. Metrics may have been adjusted for staffing impacts related to implementation of the SLAC Business Information System.

Performance Gradient:

Outstanding:	<\$.030
Excellent:	\$.035 to \$.0310
Good:	\$.039 to \$.0351
Marginal:	\$.040 to \$.044
Unsatisfactory:	>\$.044

Performance Area: FACILITIES MANAGEMENT

Cumulative Available Points 60

Performance Objective: # 1 Real Property Management

The Laboratory will effectively manage Real Property .

Performance Criteria: 1.1 Office Space Utilization

The Laboratory will optimize its total primary office space utilization excluding trailer space.

Performance Measure: 1.1.a GSA Standard Available Points: 5.0

Calculate net square feet per person for permanent and leased office space.

Performance Assumptions:

The intent is to efficiently utilize office space. GSA Standard is recognized as an average utilization of 125 square feet per person for primary office space, excluding 22% supplemental space as defined by GSA. The office space inventory and space utilization determination shall be made a matter of record the first month of the fiscal year.

Performance Gradient:

Outstanding:	10% under GSA standard or 10% or more reduction from previous year.
Excellent:	5% to 9.9% under GSA standard or 5% to 9.9% reduction from previous year.
Good:	at GSA standard (plus or minus 4.9%) or closer to standard than previous year.
Marginal:	5% to 9.9% over GSA standard and no closer to standard from he previous year.
Unsatisfactory:	10% or more above GSA standard and no closer to standard from previous year.

Performance Objective #2 Project Management

Performance Criteria: 2.1 General Plant Projects (GPP)

Complete GPP greater than or equal to \$500,000 within budget, schedule, and technical baseline.

Performance Measure: 2.1.a Available Points: 9.0

Number of milestones completed on schedule and within budget.

Performance Assumptions:

The intent is to measure actual progress against that planned for the fiscal year and for the Laboratory to execute GP projects within budget in a timely manner. A milestone list for all GP projects above the \$500K threshold will be negotiated with DOE at the time that each project is submitted to DOE. Only significant milestones will be listed, but each active project will have at least one milestone. Project completion is based upon beneficial occupancy or beneficial use. By mutual agreement between the Laboratory and DOE, milestones and project final cost may be weighted for significance, for late/early completion, and/or for increased/diminished scope. OAK/SSO may approve changes to project milestones due to changes in Laboratory funding priorities, programmatic schedules, or delays due to uncontrollable forces, as it relates to this performance measure.

Performance Gradient:

- | | |
|-----------------|--|
| Outstanding: | All milestones completed on schedule |
| Excellent: | *One milestone not completed on schedule |
| Good: | *Two to Three milestones not completed on schedule |
| Marginal: | *Four milestones not completed on schedule |
| Unsatisfactory: | *Five or more milestones not completed on schedule |

* If there are less than five milestones identified for the rating period, the final performance grade will be based on SLAC and OAK/SSO's evaluation of the process and specific reasons contributing to the failure to meet milestones or budgets and the resulting impact to the program mission.

Performance Objective: # 3 Maintenance Management

Real property, excluding experimental equipment, shall be maintained to ensure safe, reliable operations in a cost effective manner.

Performance Criteria: 3.1 Non-programmatic Maintenance

Management of facilities starts with inspection. The deficiencies found during inspection will comprise the SLAC Maintenance Backlog. Non-programmatic Maintenance Backlog will be Comprehensive. The existing Maintenance Backlog will be enhanced in FY 2000 by continuation of the inspection of assets at SLAC started in FY 1996. A comprehensive SLAC Maintenance Backlog will be calculated by extrapolation of the results for the percentage of SLAC assets inspected.

Performance Measure: 3.1.a

Available Points: 5.0

Inspect a portion of the square footage of real property assets in accordance with the SLAC facility inspection program.

Performance Assumptions:

The SLAC inspection program, initiated in FY 1996, identifies and records deficiencies with estimated costs on a computer database that will be incorporated in the Maintenance Backlog. The Maintenance Backlog includes all repair work not accomplished, including scheduled capital repair projects. The SLAC inspection program has a three-year cycle and includes inspection in six categories. The exterior, interior, mechanical, electrical and roofing inspections occur on a three-year cycle, and the structural inspections occur on a six-year cycle. Each type of inspection is equally weighted. For the purposes of this metric, the percentage of structural inspection that occurs in a given year will be multiplied by two and included with the other inspections in order to obtain a quasi-three year measure.

Performance Gradient:

Outstanding:	0.330 or greater
Excellent:	0.310 to 0.329
Good:	0.290 to 0.309
Marginal:	0.270 to 0.289
Unsatisfactory:	less than 0.270

Performance Criteria: 3.2 Programmatic Maintenance

Maintenance to support critical programmatic equipment will be fully accomplished.

Performance Measure: 3.2.a

Available Points: 5.0

All programmatic maintenance activities completed within one full operating cycle/all programmatic maintenance activities scheduled to be completed within that full operating cycle.

Performance Assumptions:

Programmatic maintenance is that which, if not accomplished, will eventually require emergency repairs resulting in the unscheduled interruption of the program. A full operating cycle is that time spanning a programmatic run, followed by a scheduled downtime, and ending at the start of another programmatic run.

Performance Gradient:

Outstanding:	0.990 or greater
Excellent:	0.950 to 0.989
Good:	0.900 to 0.949
Marginal:	0.850 to 0.899
Unsatisfactory:	less than 0.850

Performance Criteria: 3.3 Minimize Occurrence Reports

The number of occurrences reports resulting from failures of real property, installed equipment and programmatic utilities will be minimized.

Performance Measure: 3.3.a Available Points: 3.0

The number of final occurrence reports resulting from failures of real property, installed equipment and programmatic utilities that can be attributed to maintenance program deficiencies or performance of maintenance work will be counted.

Performance Assumptions:

Non-performance of scheduled maintenance is considered a maintenance program deficiency.

Performance Gradient:

Outstanding:	Zero (0) occurrence reports
Excellent:	*One (1) or more occurrence reports
Good:	*One (1) or more occurrence reports
Marginal:	*One (1) or more occurrence reports
Unsatisfactory:	*One (1) or more occurrence reports

* Final performance grade based on OAK/EFM's evaluation of specific maintenance activities contributing to the occurrence(s) and the resulting impact(s) to safety and/or program mission.

Performance Criteria: 3.4 Preventive Maintenance

Planned non-programmatic periodic preventive maintenance activities are performed as scheduled.

Performance Measure: 3.4.a

Available Points: 5.0

The number of planned preventive maintenance activities overdue by three months or more/the total number of planned preventative maintenance activities.

Performance Gradient:

Outstanding:	0.020 or less
Excellent:	0.050 to 0.021
Good:	0.080 to 0.051
Marginal:	0.110 to 0.081
Unsatisfactory:	greater than 0.110

Performance Objective #4 Energy Management.

Energy will be used in an efficient manner.

Performance Criteria: 4.1 Use Energy Efficiently

Performance Measure: 4.1.a Available Points: 7.0

Current fiscal year energy goals accomplished/goals scheduled to be accomplished in accordance with the multi-year energy management plan.

Performance Assumptions:

The Laboratory will maintain a multi-year energy management plan, consistent with the thirteen statutory and Executive Order requirements in DOE 430.2. The plan will be negotiated and will be made a matter of record not later than the first month of the fiscal year. Annual goals will include an update of the energy management plan, quarterly reporting of energy use, DOE directed initiatives, and an annual report on in-house energy management. Goals may be revised during the year by mutual agreement between the Laboratory and OAK.

Performance Gradient:

Outstanding:	0.950 or greater
Excellent:	0.850 to 0.949
Good:	0.750 to 0.849
Marginal:	0.600 to 0.749
Unsatisfactory:	less than 0.600

Performance Criteria: 4.2 Reliable Electrical Service

Performance Measure: 4.2.a Available Points: 11.0

Program customer hour outages. Sum of planned operating hours for all programs minus operating hours lost for any program due to unplanned electrical outages, the quantity divided by the sum of planned operating hours for all customers. The reporting format shall be a matter of record the first month of the fiscal year.

Performance Assumptions:

SLAC will measure the reliability of its electrical service using a 12-month running average. Only those outages, which are a result of, or cause an outage of the medium voltage distribution transformer(s) will be counted. Unplanned outages that are caused by occurrences outside the boundary of SLAC's utility system will be excluded. Results will be reported quarterly.

Performance Gradient:

Outstanding:	99.9950% or greater
Excellent:	99.9900% to 99.9949%
Good:	99.9820% to 99.9899%
Marginal:	99.9750% to 99.9819%
Unsatisfactory:	less than 99.9750%

Performance Objective #5 Physical Assets Planning

Performance Criterion 5.1 Comprehensive Integrated Planning Process

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

Performance Measure 5.1.a Effectiveness of Planning Process

Available Points: 10.0

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

Performance Assumptions:

The planning process is executed to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs. SLAC will make a matter of record its major planning activities, with associated milestones, extracted from its Comprehensive Planning Process, within the first month of the fiscal year.

Performance Gradient:

Outstanding:	0.900 or greater
Excellent:	0.800 to 0.899
Good:	0.700 to 0.799
Marginal:	0.600 to 0.699
Unsatisfactory:	less than 0.600

Performance Area: INFORMATION MANAGEMENT PROGRAM

Cumulative available points: 30

Performance Assumptions for Information Management

For purposes of this performance objective, the "information management" elements include Computing (Software and Hardware Management), Records Management, Telecommunications (Voice, Data, Video, Networking, Radio Frequency Management), Printing and Reproduction.

Under each Measure, quantifiable metrics will be jointly developed by SLAC and OAK Information Management Division annually. The metrics will include performance gradients (i.e meets, exceeds, far exceeds). The score for each Performance Measure will be a composite of the metrics for the various Information Management functional areas.

Performance Objective # 1 Information Management Program

The Laboratory manages information as a corporate resource to improve the quality of its products, to add value to scientific programs and customer services, and as a tool to improve its work processes. Information will be made available rapidly and cost effectively and will be distributed to the public, industrial partners and stakeholders, as appropriate.

Performance Criteria 1.1

IM Systems and Programs Operations

Information Management systems and programs provide cost-effective quality products and services that meet customer requirements.

Performance Measure 1.1.a Available Points: 15.0

The Operational Effectiveness of Information Management Systems and Programs, including measurable productivity improvements.

Performance Gradient:

Composite score of quantifiable metrics jointly developed by SLAC and OAK Information Management Division annually.

Outstanding:	Average of 90 or better
Excellent:	Average of 80 to 89
Good:	Average of 70 to 79
Marginal:	Results fall short of the expectation for the good gradient, however some effort has been made to

Unsatisfactory:

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

Performance Measure 1.1.b

Available Points: 15.0

The effectiveness of Information Management Systems and Programs in meeting customer requirements.

Performance Gradient:

Composite score of quantifiable metrics jointly developed by SLAC and OAK Information Management Division annually.

- Outstanding: Average of 90 or better
- Excellent: Average of 80 to 89
- Good: Average of 70 to 79
- Marginal: Results fall short of the expectation for the good gradient, however some effort has been made to establish effective processes.
- Unsatisfactory: No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure

Performance Area: SAFEGUARDS & SECURITY

Cumulative Available Points 20

Performance Objective # 1

Reduce security incidents, primarily losses and theft, to ensure the protection of the government and personal property and the safety of SLAC personnel and the general public.

Performance Criteria: 1.1

Through the cost-effective utilization of tools and procedures, SLAC will establish a safeguards and security program that minimizes incidents and loss amounts.

Performance Measure: 1.1.a Available Points: 7.0

Number of security incidents, loss amounts reported, and documented steps taken to reverse negative trends.

Performance Assumptions:

1. A site security plan, acceptable to OAK has been developed and is updated annually.
2. An event is a trackable and trendable item as defined in the SLAC Site Security Plan.
3. SLAC will identify adverse trends or potentially adverse trends and will redistribute/reallocate safeguards and security resources to reverse negative trends.

Performance Gradient:

Track and trend.

Performance Objective # 2

To promote continuous improvement, SLAC will conduct safeguards and security program self-assessments and implement corrective actions for self-assessment findings, with the goal of timely correction.

Performance Criteria: 2.1

Through a documented deficiency management program, SLAC will ensure corrective actions for discovered deficiencies are developed and completed in a timely fashion.

Performance Measure: 2.1.a Available Points: 6.0

Percent of on-schedule corrective actions resulting from SLAC self-assessment findings/issues.

Performance Assumptions:

1. A site security plan, acceptable to OAK, has been developed and is updated annually.
2. The safeguards and security self-assessment program, as mutually agreed upon between SLAC and DOE, SSD, will address applicable topical and sub-topical areas as required by applicable DOE policies and directives.
3. A corrective action will be considered completed at the time that the action is documented and completed.
4. Findings that have corrective action plans with milestones that are not due within the assessment period will be assumed to be on schedule and full credit will be awarded for work in progress.

Performance Gradient:

Outstanding:	90%-100% timely completion of corrective actions
Excellent:	80%-89% timely completion of corrective actions
Good:	70%-79% timely completion of corrective actions
Marginal:	60%-69% timely completion of corrective actions
Unsatisfactory:	<60% timely completion of corrective actions

Performance Objective # 3

Information resources are provided protection commensurate with the risk and magnitude of harm that could result from the loss, misuse, or unauthorized access to or modification of such information resources.

Performance Criteria: 3.1

Through a documented unclassified computer security program, SLAC will ensure its information systems and applications operate effectively and provide appropriate confidentiality, integrity, and availability protection.

Performance Measure: 3.1.a

Available Points: 7.0

The extent to which vulnerabilities are reduced.

Performance Assumptions:

1. A site Cyber Security Program Plan (CSPP) will be developed and approved by OAK.
2. Assessments and reviews of the SLAC CSPP will be completed as appropriate.

Performance Gradient:

Outstanding:	Narrative and numerical data show outstanding performance.
Excellent:	Narrative and numerical data show superior performance.
Good:	Narrative and numerical data show satisfactory performance.
Marginal:	Narrative and numerical data fall short of the expectations for the good gradient, however some effort has been identified.
Unsatisfactory:	Narrative and numerical data show no results and no effort has been expended towards achievement of the performance measure.

Performance Area: TECHNOLOGY AND INTELLECTUAL PROPERTY

Cumulative Available Points 10

Performance Objective #1

The mission of the Technology and Intellectual Property Management program at SLAC is to manage the utilization, protection, and transfer of Laboratory technology and intellectual property to benefit DOE, SLAC, the scientific community, and private industry. This mission is accomplished by effective management processes for identifying, assessing, disclosing, and protecting technology as intellectual property; by transfer and licensing of innovative SLAC technology to the U.S. private sector; and by R&D collaborations with non-Federal partners for the development of innovative technology.

Performance Criteria: 1.1

Technology and Intellectual Property are effectively managed for the benefit of DOE, SLAC, the scientific community, and the private sector.

Performance Measure: 1.1.a

Available Points: 5.0

Key technologies and inventions are identified, assessed, disclosed, and given intellectual property protection as necessary; technology that is transferred and intellectual property that is licensed provide value to DOE, SLAC, and the recipient.

Performance Assumptions:

1. SLAC has effective administrative systems for identifying and evaluating technologies, disclosing inventions, obtaining intellectual property protection as necessary, and licensing.
2. SLAC has effective inreach and outreach programs to generate and transfer technology.

Performance Gradient:

Outstanding:	narrative and numerical data show outstanding performance.
Excellent:	narrative and numerical data show superior performance.
Good:	narrative and numerical data indicate satisfactory performance.
Marginal:	narrative and numerical data indicate a need to improve performance.
Unsatisfactory:	narrative and numerical data indicate an unsatisfactory performance.

Performance Criteria 1.2

Collaborative R&D Projects

Performance Measure: 1.2.a

Available Points 5.0

Collaborative R&D projects provide benefit to DOE, SLAC, the scientific community, and the private sector.

Performance Assumptions:

1. SLAC has effective administrative systems for identifying candidate technologies for collaborative R&D.
2. SLAC has an effective inreach and outreach program to match SLAC staff and potential collaborators.
3. SLAC has effective administrative systems (numerical and narrative) for tracking evidence of benefits.

Performance Gradient:

Outstanding:	narrative and numerical data show outstanding performance.
Excellent:	narrative and numerical data show superior performance.
Good:	narrative and numerical data indicate satisfactory performance.
Marginal:	narrative and numerical data indicate a need to improve performance.
Unsatisfactory:	narrative and numerical data indicate an unsatisfactory performance.

Performance Area: ENVIRONMENT, SAFETY AND HEALTH

Cumulative Available Points: 110

Note: 25 points have been reserved for the FY 2000 Process Measures that are being developed.

Performance Objective # 1.

SLAC will perform its work so that personnel hazards are anticipated, identified, evaluated and controlled.

Performance Criteria: 1.1

Exposures of personnel to chemical, physical and biological hazards will be adequately controlled.

Performance Measure: 1.1.a

Available Points: 10

An Industrial Hygiene exposure prevention program is in place such that:

- potential exposures greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV) are anticipated and monitored yearly.
- OSHA-required substance-specific sampling is planned and conducted yearly as required.
- Vulnerable systems are evaluated yearly.

Performance Assumptions

1. For FY00 the performance period is October 1, 1999 through September 30, 2000.
2. To receive a performance rating at any given level, the requirements of the lower levels of performance must also be met. [This applies only within the Good/Excellent/Outstanding group.]
3. Exposure measurements and evaluations will be written on survey forms and include an assessment of hazard potential and recommendations for controls.
4. Immediate control measures (engineering controls, administrative controls or personal protective equipment) will be implemented when exposure monitoring or evaluations identify the potential for exposures to exceed the Action Level.
5. All exposure evaluation and control measurements will use NIOSH or OSHA methods and appropriately calibrated (per manufacturer recommendations, national consensus standards, or accepted practice) instruments.

6. An exposure measurement is defined as "one or more samples associated with an operation that gives a value which can be compared with an Occupational Exposure Limit."
7. An operation is defined as an activity comprised of one or more tasks performed at a single location that generates a hazard(s). "Hazard" includes all stressors associated with an operation; i.e., noise, lead, etc. (Note: Any significant process changes constitute a new operation.)
8. When an exposure measurement is not possible, a qualitative evaluation which determines the probable exposure (comparison to Occupational Exposure Limit) and level of risk (high, medium, or low) shall be documented.
9. Exposure measurements that result in an "exceedence", along with the corrective action taken, will be discussed in the ES&H Quarterly Report.
10. Corrective action taken to reduce personal exposures which are found to be greater than the Action Level will consider the accepted Industrial Hygiene control hierarchy of engineering controls first, then administrative controls, then personal protective equipment.
11. An exceedance is defined as one or more high results (measurements above the Action Level) associated with an operation. When no standard has been developed for an agent, another published occupational health standard will be agreed upon and utilized.
12. Action Level is defined as one-half of the 8-hour TWA, STEL, and CEILING limits for OSHA PELs and ACGIH TLVs, unless a different action level is specified by OSHA. For heat stress, the Action Level is defined as the ACGIH "heavy continuous work" TLV.
13. Types of measurements to be considered are: chemicals, gases, particulates, fibers; biological agents; physical agents such as noise, magnetic fields, non-ionizing radiation, and thermal stress. Note: bulk samples, swipe samples, drinking water samples, and indoor air quality measurements are not to be included.
14. Per OSHA definition, the Laboratory Standard (29 CFR 1910.1450) supercedes substance-specific sampling standards for laboratory operations. Therefore, only non-lab activities, such as shops and crafts, are subject to the substance-specific standards referenced in 29 CFR 1910.1001-1052.
15. A vulnerable system is defined as an exposure control that was in place and operating when exposures were evaluated, but is subject to failure if not maintained, or relies on training. Without it exposures would be higher and possibly exceed the Action Level. Such controls include but are not limited to mechanical ventilation, personal protective equipment and work procedures.
16. The term "all" or "100%" means those operations that actually occur during the performance period. Evaluations that were attempted but were not done because the operation did not occur will not be counted if supervision was notified of the need to evaluate them and monitoring attempts were documented.

Performance Gradient

Outstanding:

- IH exposure measurements (and corrective action) are completed during the contract period for 100% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 100% of the vulnerable systems.
- The results of the completed sampling plan/yearly monitoring are used to update the three lists specified under "Good".

Excellent:

- IH exposure measurements (and corrective action) are completed during the contract period for 95% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 95% of the vulnerable systems.

Good:

- A list of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV) is prepared by October 31, 1999.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 1999.
- A list of Vulnerable Systems is prepared by October 31, 1999.
- IH exposure measurements (and corrective action) are completed during the contract period for 90% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).
- All "substance-specific" exposure measurements are completed as required by 29 CFR 1910 during the contract period.
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 90% of the vulnerable systems.

Marginal:

- The lists required to be developed under "Good" are not developed by the due date.
- IH exposure measurements and Vulnerable System evaluations required under "Good" are completed at a rate below 90%.

Unsatisfactory:

- Substance-specific exposure measurements are not completed as required by OSHA.

Performance Criteria: 1.2

Accident and injury rates, lost workday rates and the DOE injury cost index are adequately controlled.

Performance Measure: 1.2.a Available Points: 10

The period for comparison with the current performance period will be the average of the five previous years (baseline). The lab's frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions will be compared to the SLAC baseline average. A downward trend is expected.

Performance Assumptions:

1. For FY 2000 the performance period is July 1, 1999 through June 30, 2000.
2. Each frequency and severity rate in the Research/Services and Construction category will be given a weighted factor in calculating the final evaluation gradient. The weighted factor is based on the amount of person-hours accumulated within each function divided by the total person-hours during the rating period.
3. It is recognized that an initial increase or minimal decrease in rates may be experienced whenever a new prevention program is introduced and that some variability is expected which may not be indicative of a trend.
4. Workers' Compensation costs will be considered during the self-assessment.
5. For FY 2000 and future years, the accident/injury types and baseline years will be updated by mutual agreement of the DOE site office and the Laboratory.
6. Subcontractor operations/personnel are included in the Construction function. Subcontractor statistics will be maintained separately only for those subcontractors reporting hours worked to the Laboratory. Subcontractors are excluded if they are "servicing" the Laboratory (e.g., copy machine vendors or other transient workers).

Performance Gradient:

Outstanding:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 20% below the baseline five year SLAC average.

Excellent:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 10% below the baseline five year SLAC average.

Good:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are 0% to 9% below the baseline five year SLAC average.

Marginal:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are 1% to 10% above the baseline five year SLAC average.

Unsatisfactory:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 10% above the baseline five year SLAC average.

Performance Criteria: 1.3

Exposures of personnel to ionizing radiation will be adequately controlled.

Performance Measure: 1.3.a

Available Points: 5.0

Unplanned radiation exposures (both internal and external), and ORPS reportable occurrences of skin or personal clothing contamination are managed and minimized.

Performance Assumptions:

1. For FY 2000, the performance period is January 1, 1999 to December 30, 1999; i.e. calendar year 1999 (CY 1999).
2. Radiation doses to non-radiological workers in excess of 100 mrem/yr are considered as unplanned exposures.
3. The number of occurrences is considered to be the number of individuals who experience ORPS-reportable radiation doses or contamination, plus unplanned doses as defined in the above performance assumption.
4. The current projection of the number of radiation doses to non-radiological workers in excess of 100 mrem in CY1999, based on best available information, is four (4).
5. In any event, the most recent three-(3)-calendar-year running average will be calculated for application to the latest Performance Gradients at such time that appropriate information is available.

Performance Gradient:

Outstanding:

There are no occurrences

Excellent:

The number of occurrences is equal to or less than 50% of the most recent three-(3)-calendar-year running average of four (4).

Good:

The number of occurrences is equal to the most recent three-(3)-calendar-year running average of four (4).

Marginal:

The number of occurrences is no greater than 150% of the most recent three-(3)-calendar-year running average of four (4).

Unsatisfactory:

The number of occurrences is greater than 150% of the most recent three-(3)-calendar-year running average of four (4).

Performance Measure: 1.3.b

Available Points: 5.0

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

Performance Assumptions:

1. For FY 2000, the performance period is January 1, 1999 to December 31, 1999; i.e., calendar year 1999 (CY 1999).
2. Any actual or anticipated significant changes in workloads; i.e. collective dose, will be brought to the attention of SLAC management and DOE so that appropriate adjustments will be made. Significant change in collective radiation dose is defined to be an increase or decrease of 20% or more.

Performance Gradient:

Outstanding:

- No radiological worker at SLAC receives a dose in excess of 500 mrem and no general employee dose exceeds 50 mrem.
- The total collective dose is less than 70% of the previous three-(3)-calendar-year running average.

Excellent:

- No radiological worker at SLAC receives a dose in excess of 1 rem.
- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, do not exceed the laboratory's previous three (3) year running average in two of these dose categories.
- The total collective dose is less than 90% of the previous three-(3)-calendar-year running average.

Good:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in no more than two of these dose categories.
- The total collective dose does not exceed the laboratory's previous three-(3)-calendar-year running average.

Marginal:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in no more than two of these dose categories.
- The total collective dose exceeds the laboratory's previous three-(3)-calendar-year running average.

Unsatisfactory:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in more than two of these dose categories.
- The total collective dose exceeds the laboratory's previous three-(3)-calendar-year running average.

Performance Measure: 1.3.c

Available Points: 2.0

Lost or unreturned dosimeter investigations and dose assignments are carried out in a timely manner (within 90 days of the monitoring period).

Performance Gradient:

Outstanding:

- No investigation and dose assignment from a given monitoring period is more than ninety days old.

Excellent:

- No more than twenty percent of the required investigations and dose assignments are more than ninety days old.

Good:

- No more than thirty percent of the required investigations and dose assignments are more than ninety days old.

Marginal:

- No more than fifty percent of the required investigations and dose assignments are more than ninety days past the end of the monitoring period.

Unsatisfactory:

- No more than fifty percent of the required investigations and dose assignments are more than ninety days past the end of the monitoring period.

Performance Criteria: 1.4

Radioactive material will be adequately controlled.

Performance Measure: 1.4.a

Available Points: 3.0

Radioactive materials, including contaminated and/or activated materials, are controlled at all times so that the number reportable occurrences as defined in SLAC Workbook for Occurrence Reporting does not exceed the previous three (3) year running average (which is zero occurrences for this period at SLAC) by more than three (3).

Performance Assumptions:

1. For FY 1999, the performance period is October 1, 1999 through September 30, 2000.
2. Each unusual occurrence as defined in SLAC Workbook for Reportable Occurrences will have a weighting factor of 1.5.

Performance Gradient:

Outstanding:	The weighted number of occurrences is equal to zero.
Excellent:	The weighted number of occurrences is greater than zero and less than or equal to 1.5.
Good:	The weighted number of occurrences is greater than 1.5 and less than or equal to 3.
Marginal:	The weighted number of occurrences is greater than 3.0 and less than or equal to 4.5.
Unsatisfactory:	The weighted number of occurrences is greater than 4.5.

Performance Criteria: 1.5

Fire Department response time and the rate of completion of required fire protection will be adequately controlled and accomplished.

Performance Measure: 1.5.a

Available Points: 2.0

Fire Department will record all fire apparatus response time. All response time will be measured against the pre-fire plan response time.

Performance Assumptions:

All response times will be based on the California Fire Incident Reporting System (CFIRS).

Performance Gradient:

Outstanding:	Meets > 95% anticipated response time indicated in the pre-fire plan.
Excellent:	Meets 90-95% anticipated response time indicated in the pre-fire plan.
Good:	Meets 80-89% anticipated response time indicated in the pre-fire plan.
Marginal:	Meets 70-79% anticipated response time indicated in the pre-fire plan.
Unsatisfactory:	Meets <70% anticipated response time indicated in the pre-fire plan.

Performance Measure: 1.5.b

Available Points: 4.0

SLAC conducts fire protection survey per the SLAC Fire Protection Program list to ensure their facilities meet DOE fire protection goal and requirements.

Performance Gradient:

Outstanding:	> 95% completion rate
Excellent:	90-95% completion rate
Good:	80-89% completion rate
Marginal:	70-79% completion rate
Unsatisfactory:	<70% completion rate

Performance Measure: 1.5.c

Available Points: 4.0

A documented design review program shall be in place to ensure all designs for new construction and modification projects are reviewed and approved by SLAC's Fire Protection Engineer in a timely manner with adequate records and documentation.

Performance Gradient:

- Outstanding: > 95% of designs reviewed.
- Excellent: 90-95% of designs reviewed.
- Good: 80-89% of designs reviewed.
- Marginal: 70-79% of designs reviewed.
- Unsatisfactory: <70% of designs reviewed.

Performance Objective # 2.0

SLAC will perform its work in a manner that does not present a threat of harm to the public or the environment and will identify, control, and respond to environmental hazards.

Performance Criteria: 2.1

Exposures to members of the public to ionizing radiation and radiological emissions to the environment will be adequately controlled.

Performance Measure: 2.1.a Available Points: 10.0

Public ionizing radiation exposure monitoring and calculations are accomplished to assure that the dose to the maximally exposed individual in the public from DOE operations will be controlled and will not exceed Federal limits. Radiological emissions to the environment are monitored or calculated and controlled so that applicable limits are not exceeded.

Performance Assumptions:

1. Any actual or anticipated change in workload (interpreted to be an increase or decrease of 10% or more) that would affect radiation doses or radiological emissions will be brought to the attention of DOE and appropriate adjustments will be made.
2. For FY 2000, the performance period is January 1, 1999 to December 31, 1999; i.e. calendar year 1999 (CY 1999).

Performance Gradient

Outstanding:

The total effective dose equivalent (TEDE) for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is less than or equal to 5 mrem/yr. Radiological emissions to the environment are less than or equal to 5% of applicable regulatory limits.

Excellent:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 5 mrem/yr to less than or equal to 7.5 mrem/yr. Radiological emissions to the environment are greater than 5% to less than or equal to 7.5% of applicable regulatory limits.

Good:

The TEDE for the maximumly exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 7.5

mrem/yr to less than or equal to 10 mrem/yr. Radiological emissions to the environment are greater than 7.5% to less than or equal to 10% of applicable regulatory limits.

Marginal:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 10 mrem/yr to less than or equal to 15 mrem/yr. Radiological emissions to the environment are greater than 10% to less than or equal to 15% of applicable regulatory limits.

Unsatisfactory:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 15 mrem/yr. Radiological emissions to the environment are greater than 15% of applicable regulatory limits.

Performance Criteria: 2.2

Environmental violations and releases will be adequately controlled.

Performance Measure: 2.2.a**Available Points: 10.0**

Environmental incidents will be tracked and measured. These will include: 1) Formal violations, (except for hazardous and radioactive waste violations these programs are evaluated under performance measures 3.2.a and 3.2.b), noted by regulatory inspections, regulatory reports or non-compliance with agreements made with regulatory agencies; 2) Spills which exceed established local, state, or federal reporting requirements; and 3) Releases which exceed regulatory permit limits.

Performance Assumptions:

1. Performance period for this measure is 10/1/99 to 9/30/00.
2. Environmental releases that remain within compliance limits or do not require reporting will not be counted. Environmental releases resulting from natural causes (earthquake, flooding, etc.) for which no preventable action could be taken, shall not be counted.
3. A weighting factor from 0.1 to 1 will be applied to all counted incidents SLAC and DOE technical counterparts will jointly determine weighting factors for incidents.
 - Weighting factors are defined to be:
 - 1 – Serious non-compliance: Incident poses serious harm to the public or environment
 - 0.75 – Significant non-compliance: Programmatic non-compliance with regulatory requirements or a release resulting in the issuance of a NOV, or repeated moderate non-compliance (“repeated” is defined as more than two over a three-year period)
 - 0.5 - Moderate non-compliance incident that is isolated, but requires a legally reportable release of contamination (but no NOV is issued), or a repeated minor non-compliance.
 - 0.25 - Minor non-compliance: An incident that is isolated, primarily administrative, and causes no potential unrecovered release of contamination.
 - 0.10 – Self-reported minor non-compliance: Same as minor non-compliance except that the incident is detected due to the diligence and best management practices of the facility.
4. If NOVs or equivalent notices contain more than one distinct compliance violation, each separate violation will be first weighted under the above scale. Then an overall score for the incident will be determined by joint DOE/SLAC agreement after considering the individual violations. The overall score for a NOV with multiple violations will be equal to or greater than the highest scored individual violation, but will not exceed a value of 1.
5. The weighted scores of all incidents during the performance period will be added to determine the “total score” to be used in the gradients defined below.
6. Increases in incidents will be based on comparison to a three-year average. The “three-year” average will begin after three years of data are collected (FY99 - FY01). Thereafter, the lowest average from a three-consecutive-year period will be used.
7. Unexpected work/regulatory activity increases that may occur during the year will be brought to the attention of DOE and will be considered during the evaluation period.

Performance Gradient:

- Outstanding: A total score of less than 1, and no individual incident has a weighted score of 0.75.
- Excellent: A total score of 1 to 1.75, with no more than 1 individual incident having a weighted score of 0.75.
- Good: A total score of 2 to 2.75, with no more than 2 individual incidents having a weighted score of 0.75.
- Marginal: A total score of 3 to 3.75, with no more than 3 individual incidents have a weighted score of 0.75, or any singular incident has a weighted score of 1.
- Unsatisfactory: A total score of 4 or more, or 2 or more individual incidents have a weighted score of 1.

Performance Objective # 3.

SLAC demonstrates sound stewardship of its site through safe and effective hazardous and radioactive waste minimization and management and through restoration of the site where degradation has occurred.

Performance Criteria 3.1

SLAC has a program in place to reduce both the amounts of waste generated and pollutant emissions. The program will reduce as much as is practical the volume of municipal solid waste and hazardous waste generated in accordance with SLAC's Waste Minimization Plan. In addition, as long as benefits exceed costs, SLAC will plan and perform its work in a manner that prevents pollution in to the environment.

Performance Measure: 3.1.a**Available Points: 5.0**

SLAC completes tasks identified in the Annual Performance Objective Plan. Progress continues towards meeting the DOE pollution prevention goals for the year 2000.

Performance Assumptions:

1. Annual Performance Objective Plan tasks:
 - Increase employee awareness by completing 2 articles on waste minimization/pollution prevention
 - revise waste minimization/pollution prevention chapter for ES&H manual
 - Perform Pollution Prevention Opportunity Assessments
 - review hazardous waste reduction options for California waste stream 181, particularly for filter cake sludge from the Rinse Water Treatment Plant and develop feasibility study for reducing filter cake waste
 - review additional waste reduction options for municipal waste
 - Waste Minimization/Pollution Program Planning/Implementation
 - project reviews and assessments by the Waste Minimization/Pollution Prevention Committee will be conducted
 - Complete DOE CY1999 Annual Waste Reduction Report
 - Complete Annual Update of permitted treatment units under California Tiered Permit Program
2. DOE's pollution prevention goals by waste type that are included in this measure are defined as follows:
 - Reduce by 50% the generation of hazardous waste from routine operations by the year 2000 using 1993 as a baseline year.
 - Recycle 33% of municipal solid waste by the year 2000.
3. The performance period is October 1, 1999 through September 30, 2000.
4. Waste quantities used to compute waste reduction or waste recycling performance exclude one-time or non-routine operations such as TSCA waste, remediation waste, waste from projects involving the upgrade of equipment, waste from significant emergency response actions, and construction and demolition waste.

- 5. Reduction, reuse, recycling and exchange are considered to be methods of waste minimization and will be tracked by the Waste Management Department to affirm reductions in hazardous waste generated.

Performance Gradient:

Rating	RHW Goals Achieved	NHW Goals Achieved
Outstanding:	>50 percent achieved	> 40 percent achieved
Excellent:	40 to 50 percent achieved	30 to 40 percent achieved
Good:	30 to 40 percent achieved	20 to 30 percent achieved
Marginal:	20 to 30 percent achieved	10 to 20 percent achieved
Unsatisfactory:	<20 percent achieved	<10 percent achieved

Performance Criteria: 3.2

SLAC will manage hazardous and radioactive wastes in a manner that meets regulatory requirements and is cost effective.

Performance Measure: 3.2.a

Available Points: 4.0

Hazardous waste generated will be managed in compliance with applicable regulations of CCR, Title 22, Division 4.5, applicable parts, and the budget expended cost effectively.

Performance Gradient:

Outstanding:

No Class 1 or equivalent violations of hazardous waste regulations; budget expended cost-effectively for generated hazardous waste.

Excellent:

No Class 1 violations of hazardous waste regulations; budget expended cost effectively for generated hazardous waste.

Good:

No Class 1 violations; and budget not expended cost effectively for generated hazardous waste.

Marginal:

Any Class 1 violation; or budget not expended cost effectively for generated hazardous waste.

Unsatisfactory:

Any Class 1 violation; and budget not expended cost effectively for generated hazardous waste.

Performance Measure: 3.2.b**Available Points: 5.0**

Low level waste generated will be managed in compliance with applicable DOE Orders and regulatory requirements and the budget expended cost effectively.

Performance Gradient:**Outstanding:**

Compliance with applicable orders and regulations; budget expended cost effectively for llw generated; disposal of 600 cubic feet of waste generated prior to the effective date of DOE Order 435.1.

Excellent:

Compliance with applicable orders and regulations; budget expended cost effectively for llw generated; disposal of 450 cubic feet of waste generated prior to the effective date of DOE Order 435.1.

Good:

Compliance with applicable orders and regulations; budget expended cost effectively for llw generated; disposal of 300 cubic feet of waste generated prior to the effective date of DOE Order 435.1.

Marginal:

Compliance with applicable orders and regulations; budget expended cost effectively for llw generated; no disposal of waste generated prior to the effective date of DOE Order 435.1.
 Noncompliance with applicable orders and regulations; budget expended cost effectively for llw generated; disposal of 150 cubic feet of waste generated prior to the effective date of Order 435.1.
 Noncompliance with applicable orders and regulations; budget not expended cost effectively for llw generated; disposal of 150 cubic feet of waste generated prior to the effective date of Order 435.1.

Unsatisfactory:

Non-compliance with applicable orders and regulations; budget not expended cost effectively for llw generated; no disposal of waste generated prior to the effective date of Order 435.1.

Performance Assumption (for measure 3.2.a and 3.2.b):

- Violations that do not pose a threat to human health or the environment may not be measured. Violations that pose a threat human health or the environment may be measured. As examples, any violation that does not pose a threat will not result in a reduction of performance if the overall program is successful in meeting other compliance elements. Any violation that does pose a threat, or where other program elements are unsuccessful in meeting other compliance elements, may affect the performance level.

2. Violation of waste accumulation time requirements for combined waste will be considered on a case by case basis.
3. Data used for assessing regulatory compliance will be gathered from inspection reports pertinent to environmental waste regulations. These may include self-assessments, regulatory agency inspections, operational awareness activities, etcetera.
4. The effective date of Order 435.1 is considered to be when the Order is added to SLAC's contract.
5. The assessment of the cost effectiveness of budget expenditures will be based on the mutually agreed upon baseline for the hazardous waste and low level waste programs and any identified cost savings.
6. Cost savings resulting from the implementation of cost-effective waste programs may be applied towards waste liabilities and other SC program activities at the site.
7. Class 1 violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.
8. Violations similar to Class I violations found during SLAC internal audits or DOE operational awareness walk throughs will be considered "equivalent" to Class I violations for the Outstanding gradient of Measure 3.2a.

FY 2000 Performance Measures

Performance Criteria 3.3

Available Points: 7.0

FINAL CONTENT TO BE DETERMINED

Performance Period: FY00

Performance Area: Environment, Safety, and Health

Performance Objective #3: SLAC demonstrates sound stewardship of its site through safe and effective hazardous and radioactive waste minimization and management and through restoration of the site where degradation has occurred.

Performance Criteria 3.3: SLAC will maintain the scheduled rate of progress toward completion of the Remedial Investigation/Feasibility Study and source mitigation activities designed to achieve a level of restoration acceptable to cognizant regulatory agencies by September 30, 2002.

Performance Measure 3.3a: Performance will be determined based on points earned in three categories. The successful completion of selected major tasks/milestones in the Environmental Restoration Program Current Year Work Plan, the efficient management of the budget, and project management effectiveness will be evaluated and awarded points. There will be a maximum of 60 points possible.

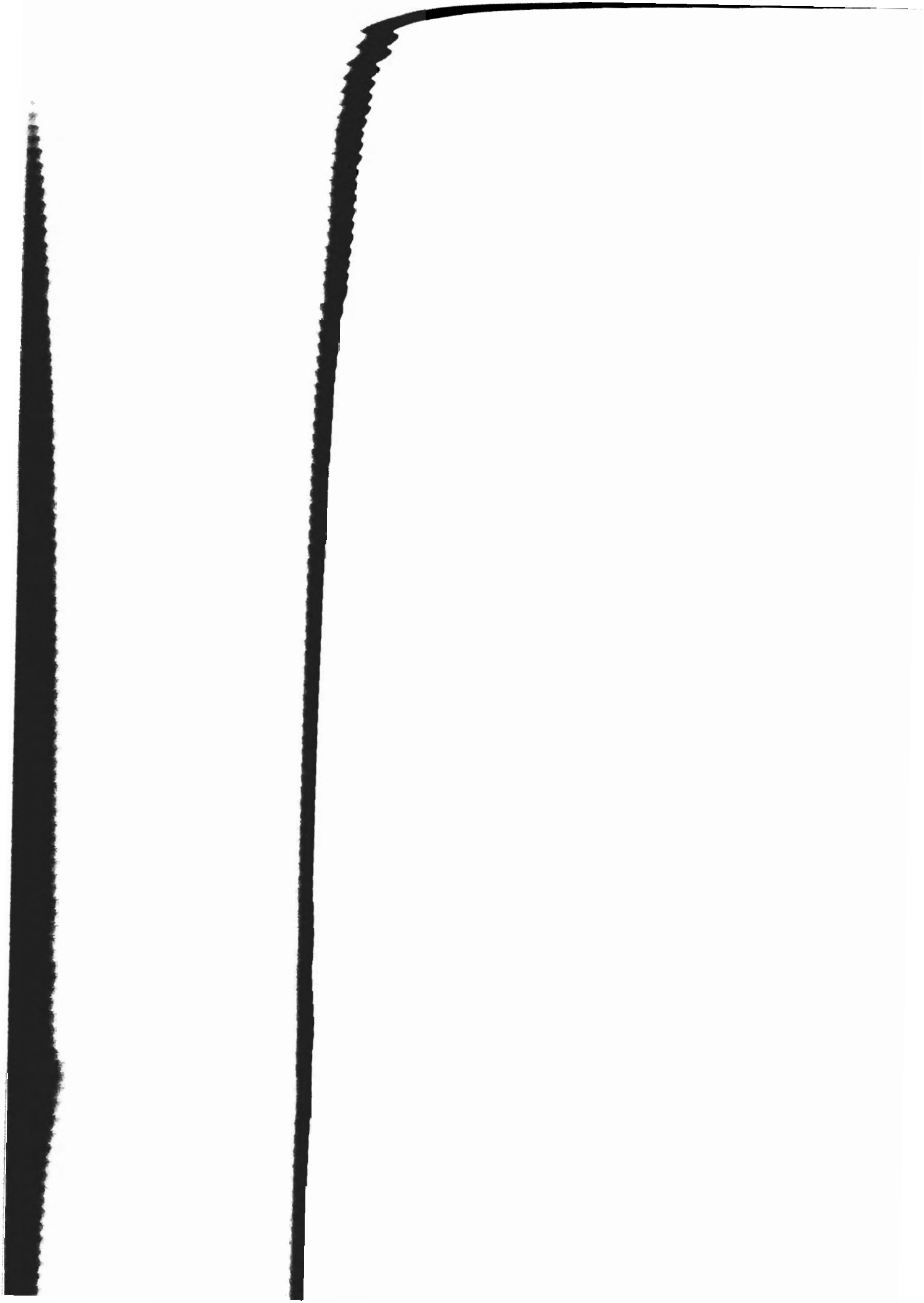
Task Completion Points (40 max)

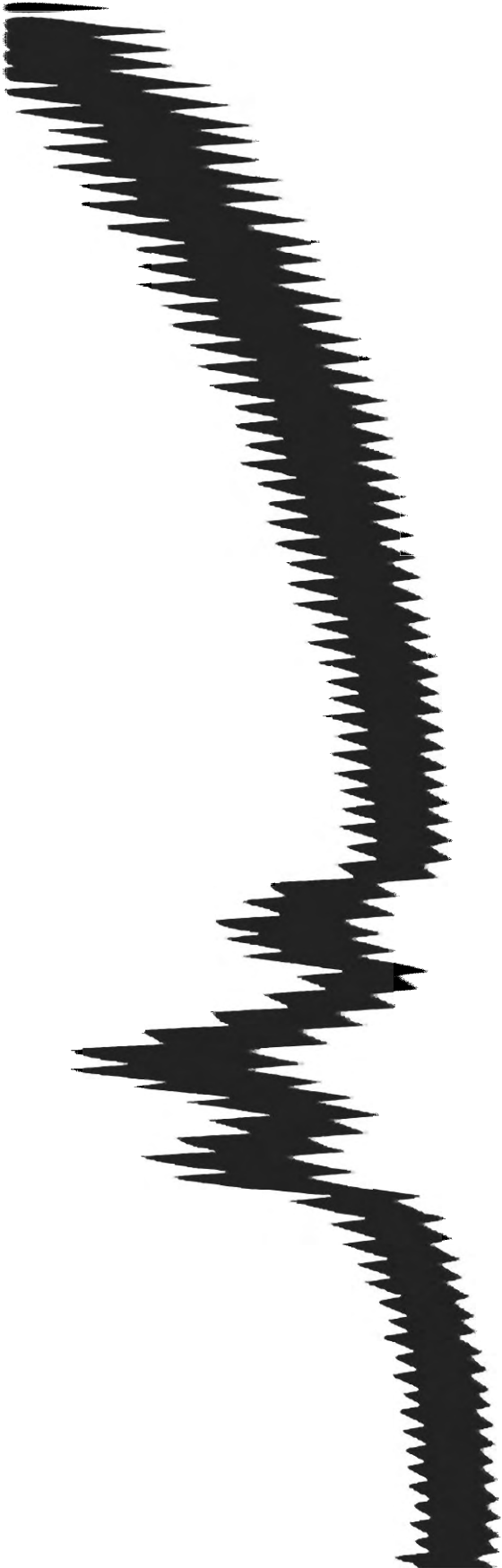
By October 15, 1999, SLAC and DOE will agree on the tasks to be performed and the number of points to be awarded for each. As conditions change throughout the year, DOE and SLAC may agree on task substitution. Forty (40) points will be the maximum amount credited in this category even though total task points available may be more than forty. Five points will be awarded for the completion of each task. Tasks must be fully completed within the performance period to receive points (i.e., no partial credit).

Budget Points (10 max)

The budget shall be managed to take advantage of the fiscal year funds available to maximize the amount of work performed in the current performance/fiscal year (i.e., funds available from completing tasks under budget should be used to accelerate work planned in future years). The point increments are based on managing funds to keep the year-end carryover to 8% or less, consistent with EM HQ guidance.

Percent of budget spent	Points	Percent of budget spent	Points
92% or >	10	87%	5
91%	9	86%	4
90%	8	85%	3
89%	7	84%	2
88%	6	83%	1





Project Management Effectiveness Points (10 max)

Quality, earned value, responsiveness, innovation, and flexibility factors will be used to evaluate project management effectiveness. This item will be more subjective than the other two categories and there is no intention to distribute the available points evenly among the identified factors. Typical indicators of the effectiveness are:

- Post project evaluations for cost and quality
- Nature of stakeholder, regulator, DOE, etc. comments on environmental restoration projects/documents and resolution to the comments
- Compliance to project documents
- Recommendations and development of solutions to problems or obstacles
- Regulator issued fine, penalties, notice of violations, etc.

Performance Gradient/Basis for Rating:

Outstanding: 54 or greater points earned.

Excellent: 45 to 53 points earned

Good: 36 to 44 points earned

Needs Improvement: The budget has been overspent or <36 points earned.

