

SLAC MEMORANDUM

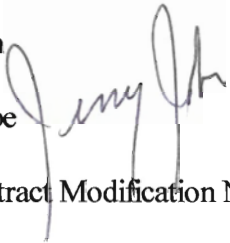
Business Services Division, MS 02

jlj@slac.stanford.edu

Phone: 4245

FAX: 5360

May 20, 2002

TO: Distribution
FROM: Jerry L. Jobe 
SUBJECT: SLAC Contract Modification Numbers A418, A419 and A420

Attached are signed copies of SLAC Contract Modification Numbers M418, A419 and A420 for your records and files.

JLJ:yok
Enclosures

Distribution

G. Grant – Mail Code 6025
K. Hodgson – SSRL – MS 69
D. Dungan – SSRL – MS 69
B. Todaro – MS 01
M. Chang – MS 03

SLAC MEMORANDUM

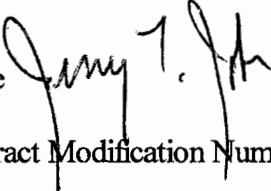
Business Services Division, MS 02

jlj@slac.stanford.edu

Phone: 4245

FAX: 5360

October 16, 2001

TO: Distribution
FROM: Jerry L. Jobe 
SUBJECT: SLAC Contract Modification Number M404


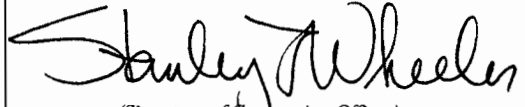
Attached is a signed copy of the SLAC Contract Modification Number M404 dated October 16, 2001 for your records and files.

JLJ:rt
Enclosures

Distribution

G. Grant – Mail Code 6025
K. Hodgson – SSRL – MS 69
D. Dungan – SSRL – MS 69
B. Todaro – 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 77
AMENDMENT/MODIFICATION NO. M404		3. EFFECTIVE DATE September 27, 2001	4. REQUISITION/PURCHASE REQ. NO.
6. ISSUED BY U.S. Department of Energy Oakland Operations Office 1301 Clay Street, 700N Oakland, CA 94612		7. ADMINISTERED BY (If other than Item 6)	5. PROJECT NO. (If applicable)
8. NAME AND ADDRESS OF CONTRACTOR (No., street, country, State, and ZIP Code) Director of Sponsored Projects Stanford University 651 Serra Street - Room # 260 Stanford, CA 94305-4125		()	9A. AMENDMENT OF SOLICITATION NO.
Mail To: Jerry L. Jobe, Associate Director Business Services Div. Stanford Linear Accelerator Center 2575 Sand Hill Road, M/S 02 A&E Building, Room 203 Menlo Park, Ca 94025		x	9B. DATED (SEE ITEM 11)
CODE		FACILITY CODE	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC03-76SF00515/M339
			10B. DATED (SEE ITEM 13) 12/31/98
II. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS			
<p>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.</p>			
ACCOUNTING AND APPROPRIATION DATA (If required) See Page 2 of 2			
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, appropriation data, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103 (b).			
X C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: Agreement of the parties pursuant to Article 13 of the Contract.			
D. OTHER (Specify type of modification and authority)			
<p>IMPORTANT: Contractor is not, X is required to sign this document and return 2 copies to the issuing office.</p>			
14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)			
Appendix B - Performance Criteria and Measures for FY 2002 are hereby incorporated into the contract.			
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) Lillian Ryans-Culclager, Co-Director U.S. Dept. of Energy, Oakland Oper. Office		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Stanley Wheeler, Contracting Officer U.S. Department of Energy, Oakland Operations Office	
15B. CONTRACTOR/OFFEROR		16B. UNITED STATES OF AMERICA	
15C. DATE SIGNED 10/12/01		16C. DATE SIGNED 10/16/01	
 (Signature of person authorized to sign)		 (Signature of Contracting Officer)	

PERFORMANCE OBJECTIVES, CRITERIA & MEASURES

for

Fiscal Year 2002

<u>Contents</u>	<u>Page</u>
Section A - Science and Technology	2
High Energy Physics (HEP)	2
Synchrotron Radiation (BES & OBER)	4
Section B - Business Management	7
Environmental, Safety & Health	7
Integrated Safety Management System (ISMS)	25
Equal Opportunity & Affirmative Action	28
Human Resource Management	30
Financial Management	33
Information Management	45
Communications and Public Affairs	47
Personal Property	48
Procurement	54
Projects & Facilities Management	62
Safeguards & Security	67
Technology & Intellectual Property Management	70
Section C - Assessment and Appraisal Process	72 - 75

Section A - SCIENCE AND TECHNOLOGY

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.

Performance Area: HIGH ENERGY PHYSICS

Performance Objective: 1.0 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. (Total Weight = 100%)

Performance Criterion: 1.1

Quality of fundamental and applied science.

Performance Measure: 1.1.a (Weight: 40%)

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 Criterion: 1.2

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a (Weight: 24%)

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 Criterion: 1.3

Effective and efficient research program management.

Performance Measure: 1.3.a (Weight: 20%)

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 Criterion: 1.4

Success in construction and operation of facilities.

Performance Measure: 1.4.a (Weight: 16%)

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.

Performance Area: SYNCHROTRON RADIATION

**Performance Objective: 1.0 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. (Total Weight = 100%)

Performance Criterion: 1.1

Quality of fundamental and applied science.

Performance Measure: 1.1.a (Weight: 30%)

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 Criterion: 1.2

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a (Weight: 20%)

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 Criterion: 1.3

Effective and efficient research program management.

Performance Measure: 1.3.a (Weight: 20%)

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 its availability broadly known via electronic means.

Performance Criterion: 1.4

Success in construction and operation of facilities.

Performance Measure: 1.4.a (Weight: 30%)

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.

BUSINESS MANAGEMENT

Performance Area: ENVIRONMENT, SAFETY & HEALTH

Performance Objective: 1.0 ES&H Outcome Performance Measure

SLAC will perform its work so that personnel hazards are anticipated, identified, evaluated and controlled. (Total Weight = 26%)

Performance Criterion: 1.1

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

Performance Measure: 1.1.a (Weight: 7%)

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 Assumption:

- For FY02 the performance period is October 1, 2001 through September 30, 2002.
- 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.]
- Exposure measurements and evaluations will be written on survey forms and include an assessment of hazard potential and recommendations for controls.
- 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.
- 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.
- 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."

- 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 (that is, noise, lead, etc.).

Note: Any significant process changes constitute a new operation.

- 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.
- Exposure measurements that result in an "exceedence," along with the corrective action taken, will be discussed in the ES&H Quarterly Report.
- 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.
- 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.
- *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.
- 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.
- Per OSHA definition, the Laboratory Standard (29 CFR 1910.1450) supersedes 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.
- 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, personnel protective equipment and work procedures.
- 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".
- 100% of the required beryllium sampling is conducted during the performance period.
- 100% of the actions required [jointly agreed upon by SLAC and DOE on December 19, 2000] for compliance with the Beryllium Rule (10 CFR 850) are completed during the performance period.
- Beryllium activities in "Good" and "Excellent" are completed, and beryllium operations/use at SLAC is minimized.

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.
- 95% of the required beryllium sampling is conducted during the performance period.
- 95% of the actions required [jointly agreed upon by SLAC and DOE on December 19, 2000] for compliance with the Beryllium Rule (10 CFR 850) are completed during the performance period.

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, 2001.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 2001.
- A list of Vulnerable Systems is prepared by October 31, 2001.
- 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.
- An inventory of beryllium operations and a list of beryllium sampling to be conducted during the performance period are prepared by October 31, 2001.
- 90% of the required beryllium sampling is conducted during the performance period.
- 90% of the actions required [jointly agreed upon by SLAC and DOE on December 19, 2000] for compliance with the Beryllium Rule (10 CFR 850) are completed during the performance period. These actions are:
 - Baseline inventory of operations.
 - Air sampling of all Be operations that occur (none are planned).
 - Review medical surveillance and ensure it is up-to-date (include offering chest x-rays to Be workers).
 - Cleanup surface contamination - specify # of machines (15-20 machines, 3 samples each).
 - Get CBDPP approved by OAK, and post on SLAC website.
 - Training for all SLAC workers [per CBDPP].
 - Surface sample of areas where Be work was done, develop list of Be areas, and post signs and labels as necessary.
 - Maintain list of former Be workers and current Be workers.
 - Develop emergency response procedures for Be emergencies [per CBDPP].
 - Electronic reporting of data to EH (personnel, exposure and medical data be reported to Be Registry in electronic format) - could be in Excel format, or another database format.

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 Criterion: 1.2

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

Performance Measure: 1.2.a (Weight: 7%)

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 Assumption:

1. For FY02 the performance period is July 1, 2001 through June 30, 2002.
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 FY00 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 (for example, 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 Criterion: 1.3

Exposures of personnel to ionizing radiation will be adequately controlled. (Total Weight = 9%)

Performance Measure: 1.3.a (Weight: 4%)

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

Performance Assumption:

1. For FY02, the performance period is January 1, 2001 to December 31, 2001; i.e., calendar year 2001 (CY01).
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 CY01, based on best available information, is two (2).
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 two (2).

Good: The number of occurrences is equal to or less than the most recent three (3)-calendar-year running average of two (2).

- Marginal:** The number of occurrences is no greater than 150% of the most recent three (3)-calendar-year running average of two (2).
- Unsatisfactory:** The number of occurrences is greater than 150% of the most recent three (3)-calendar-year running average of two (2).

Performance Measure: 1.3.b (Weight: 4%)

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 Assumption:

1. For FY02, the performance period is January 1, 2001 to December 31, 2001; i.e., calendar year 2001 (CY01).
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)-calendar-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 (Weight: 1%)

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:	More than fifty percent of the required investigations and dose assignments are more than ninety days past the end of the monitoring period.

Performance Criterion: 1.4

Radioactive material will be adequately controlled. (Total Weight = 3%)

Performance Measure: 1.4.a (Weight: 3%)

Radioactive materials, including contaminated and/or activated materials, are controlled at all times so that the number of reportable occurrences as defined in SLAC Workbook for Occurrence Reporting does not exceed the current three (3)-fiscal-year running average by more than three (3). The current three-fiscal-year running average is one (1).

Performance Assumption:

1. For FY02, the performance period is October 1, 2001 through September 30, 2002.
2. Each unusual occurrence as defined in SLAC Workbook for Occurrence Reporting 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 Criterion: 1.5

The Fire Department response time and the rate of completion of required fire protection will be adequately controlled and accomplished. (Total Weight = 8%)

Performance Measure: 1.5.a (Weight: 1%)

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

Performance Assumption:

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

Performance Gradient:

Outstanding:	Meets greater than 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 less than 70% anticipated response time indicated in the pre-fire plan

Performance Measure: 1.5.b (Weight: 3%)

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

Performance Gradient:

Outstanding:	Greater than 95% completion rate
Excellent:	90 - 95% completion rate
Good:	80 - 89% completion rate
Marginal:	70 - 79% completion rate
Unsatisfactory:	Less than 70% completion rate

Performance Measure: 1.5.c (Weight: 3%)

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:	Greater than 95% of designs reviewed.
Excellent:	90 - 95% of designs reviewed.
Good:	80 - 89% of designs reviewed.
Marginal:	70 - 79% of designs reviewed.
Unsatisfactory:	Less than 70% of designs reviewed.

Performance Measure: 1.5.d (Weight: 1%)

SLAC shall inspect, test, and maintain its fire protection systems in accordance with the SLAC Fire Protection Maintenance Testing and Inspection schedules and procedures. Tracking and trending done on the SLAC maintenance computer system.

Performance Gradient:

Outstanding:	greater than 95%
Excellent:	90 - 95%
Good:	80 - 89%
Marginal:	70 - 79%
Unsatisfactory:	Less than 70%

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. (Total Weight = 14%)

Performance Criterion: 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 (Weight: 7%)

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 such that applicable limits are not exceeded.

Performance Assumption:

1. Any actual or anticipated significant change in operations that would affect public individual radiation doses (interpreted to be an increase or decrease of 1.0 mrem/year or more) during the period for which the dose is calculated will be brought to the attention of DOE and appropriate adjustments in the performance measure will be made.
2. For FY2002, the performance period is January 1, 2001 to December 31, 2001; that is, calendar year 2001 (CY01).
3. Radiological emissions included in this measure are airborne emissions (the dose as reported in the annual NESHAPs report) and sanitary sewer discharges (as reported to the South Bayside Systems Authority).

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/year, and 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/year to less than or equal to 7.5 mrem/year, and 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 maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 7.5 mrem/year to less than or equal to 10 mrem/year, and 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/year to less than or equal to 15 mrem/year, and 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/year, and radiological emissions to the environment are greater than 15% of applicable regulatory limits.

Performance Criterion: 2.2

Environmental violations and releases will be adequately controlled.

Performance Measure: 2.2.a (Weight: 7%)

Environmental incidents will be tracked and measured. These will include:

1. Formal violations 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.
3. Releases which exceed regulatory permit limits.

Performance Assumption:

1. Performance period for this measure is October 1, 2001 to September 30, 2002.
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 0.25 to 1 will be applied to all counted incidents. SLAC and DOE technical counterparts will jointly determine weighting factors for incidents.

Weighting factors are generally defined to be:

- 1.00 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).
 - 0.50 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.
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 having 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: 3.0

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. (Total Weight = 16%)

Performance Criterion: 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 of the environment.

Performance Measure: 3.1.a (Weight: 5%)

SLAC continues progress towards meeting the DOE pollution prevention goals for the year 2005.

Performance Assumption:

1. The performance period is October 1, 2001 through September 30, 2002.
2. DOE's pollution prevention goals (Department-wide) by waste type are defined as follows:
 - Reduce by 90% the generation of hazardous wastes from routine operations by the year 2005;
 - Recycle 45% of non-hazardous waste from routine operations by the year 2005.

3. SLAC's contribution to the DOE goals stated above are:
 - Reduce generation of hazardous waste from routine operations by 90% by the year 2005, using 1993 as a baseline; and,
 - Recycle 45% of non-hazardous waste by the year 2005.
4. The annual performance assessment will not be based solely on the achievement or lack thereof of the numerical goals. The performance rating will take into account the commitment and effectiveness of SLAC management toward achieving the numerical goals.
5. DOE and SLAC may negotiate mid-year adjustments to the SLAC waste reduction and recycling goals.
6. 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.
7. Reduction, reuse, recycling, exchange, on-site treatment and procurement of materials with recycled content are considered to be methods of waste minimization and will be tracked by the Waste Management Department to affirm reductions in hazardous waste generated.
8. The effect of the July 13, 2000 DOE moratorium on the release of surplus and scrap metals for recycling will be factored into determining the performance rating for this measure.

Performance Gradient Rating	RHW Goals Waste Reduction (%)	NHW Goals Recycling (%)
Outstanding	>58	≥ 36
Excellent	52 to 57	30 to 35
Good	46 to 51	24 to 29
Marginal	41 to 46	19 to 23
Unsatisfactory	≤ 40	≤ 18

Performance Criterion: 3.2

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

Performance Measure: 3.2.a (Weight: 3%)

Hazardous waste generated will be managed in compliance with applicable regulations of CCR, Title 22, Division 4.5, applicable parts.

Performance Gradient:

Outstanding:	No Class 1 or Class II or equivalent violations of hazardous waste regulations; demonstrated and documented efforts/accomplishments to improve program effectiveness/efficiency.
Excellent:	No Class 1 or Class II or equivalent violations of hazardous waste regulations.
Good:	No Class 1 or equivalent violations and not more than one Class II or equivalent violations of hazardous waste regulations.
Marginal:	Any Class 1 or equivalent violation or more than one Class II or equivalent violations of hazardous waste regulations.
Unsatisfactory:	Any Class 1 or equivalent violation and one or more Class II or equivalent violations.

Performance Assumption:

1. 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, will affect the performance level.
2. 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, et cetera.
3. 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.
4. 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.
5. Class 1 and Class II violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.
6. Violations similar to Class I or Class II violations found during SLAC internal audits or DOE operational awareness walkthroughs will be considered "equivalent" to Class I violations for the Outstanding gradient of Measure 3.2a.

Performance Measure: 3.2.b (Weight: 3%)

Low-level waste generated will be managed in compliance with applicable DOE Orders and regulatory requirements.

Performance Gradient:

- Outstanding: Compliance with applicable orders and regulations (No documented Level I, II, or III observations of non-compliance) demonstrated and documented efforts/accomplishments to improve program effectiveness and efficiency.
- Excellent: Compliance with applicable orders and regulations (No documented Level I, II, or III observations of non-compliance).
- Good: Any documented Level III observations of non-compliance.
- Marginal: Any documented Level II observations of non-compliance.
- Unsatisfactory: Any documented Level I observations of non-compliance .

Performance Assumption:

Non-compliance Levels:

- Level I: Observation of non-compliance perceived to be an imminent danger or significant safety hazard to workers or the public, or poses a significant threat to the environment.
- Level II: Observation of non-compliance that indicates that the management system is not in control.
- Level III: Observation of non-compliance that is or perceived to be in violation of DOE Orders, or other applicable regulations but can be demonstrated that management system is in control.

Assessment of levels of non-compliance is based on observations/findings by DOE, external regulators, or through SLAC internal, independent assessments.

Performance Criterion: 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 as specified in the Multi-Year Work Plan and Project Baseline.

Performance Measure: 3.3.a (Weight: 5%)

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 November 30, 2001, 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 although 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 received 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 Greater	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.
Marginal: The budget has been overspent or 28 to 35 points earned.
Unsatisfactory: The budget has been overspent and < 28 points earned.

Integrated Safety Management System (ISMS) Process Performance Measure

The following Performance Objective, Criterion and Measure are linked to the seven Guiding Principles and five Core Functions of Integrated Safety Management Systems (ISMS). The Annual Review process for evaluating the overall effectiveness of ISM implementation at SLAC is described below.

Performance Objective: 4.0

SLAC effectively integrates ISM into all management and work practices at institutional, site, and activity levels so that missions are accomplished while protecting the worker, the public and the environment. (Total Weight = 36%)

Performance Criterion: 4.1

SLAC systematically integrates the seven Integrated Safety Management System (ISMS) Guiding Principles and five Core Functions into all management systems and work practices at the institutional, site, and activity levels.

Performance Measure: 4.1.a (Weight: 36%)

SLAC effectively implements Integrated Safety Management in its management systems and work practices at the institutional, site, and activity levels.

The DOE Annual Review process for demonstrating accomplishment of the performance objective will be based on a jointly conducted review by DOE and SLAC of contractor management systems or work elements falling into the following categories: 1) research projects and associated support operations, 2) infrastructure projects and associated support operations and activities, and 3) other routine support operations and maintenance activities. DOE and SLAC will identify for review each quarter one activity from the three categories identified above.

The activity identified by DOE and SLAC will be subject to review by a team composed of no less than two representatives from both DOE and SLAC. At a minimum, the review team will include a representative from the Stanford Site Office (SSO), an OAK subject matter expert as needed, a representative from the SLAC ES&H Division and a cognizant SLAC line manager. Other DOE or SLAC subject-matter experts or line organization representatives may also be included on the review team to provide

technical support if appropriate based on the scope and complexity of the reviews. Review team members are expected to have demonstrated knowledge about ISM.

Although the Annual Review Process will be conducted jointly, the results of the quarterly review will be used by DOE to independently document completion of the DOE Annual Review requirement for determining the overall effectiveness of ISMS implementation at SLAC. SLAC may also choose to independently use the data generated from the quarterly reviews for the SLAC annual self-assessment report on SLAC's performance against the measure.

The scope of the Annual Review may include, but is not limited to, review of site policies and procedures and their implementation, interviews of line managers, workers and subcontractors, data generated from SLAC's internal tracking systems and other documented work process products.

A number of other factors may be considered to determine the extent of success against the measure gradient independent of the specific quarterly review process. This includes results of program/project reviews, SLAC self-assessments (including results of internal independent assessments), ongoing DOE Operational Awareness activities conducted throughout the year, For Cause Reviews by DOE and any external reviews.

The intent of this performance measure is to evaluate how effectively the ISMS guiding principles and core functions are integrated into management systems and work practices at the institutional, site and activity levels; and to determine to what extent SLAC is fostering continuous improvement in ISM implementation through integration of the guiding principles and core functions in line organization activities, implementation of line organization self-assessments, integration of ISM in program/project reviews, implementation of an effective lessons learned program, development of safety performance objectives and key ISM performance indicators and implementation of appropriate corrective actions. The degree of success in meeting the process measure gradients will be based on the collective results of the DOE and SLAC reviews conducted during the DOE fiscal year.

The review will consider the following when documenting the site's performance against the measure:

- Vertical and horizontal integration of safety management systems.
- Flowdown of ISM requirements in SLAC contracts and other site documentation.
- Implementation of line organization self-assessments.
- In place are processes that ensure feedback and continuous improvement.
- Establishment and tracking/trending of key safety indicators and metrics.

Performance Assumption:

1. Rating period is October 1, 2001 to September 30, 2002.

Performance Area: EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION

Performance Objective: 1.0

Maintain effective internal program controls to ensure SLAC's Equal Opportunity Program 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. (Total Weight = 100%)

Performance Criterion: 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 (Weight: 100%)

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 Assumption:

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 a Plan. that fully meets Good Gradient criteria.

Unsatisfactory: Fails to develop a Plan.

Performance Area: HUMAN RESOURCE MANAGEMENT

Performance Objective: 1.0 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. (Total Weight = 43%)

Performance Criterion: 1.1

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

Performance Measure: 1.1.a (Weight: 29%)

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 Criterion: 1.2

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 (Weight: 14%)

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 Assumption:

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

Performance Gradient:

Track and trend.

Performance Objective: 2.0 Customer Needs

The Human Resource Management will monitor employee customer feedback in order to ensure high quality service to its employees. (Total Weight = 14%)

Performance Criterion: 2.1

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

Performance Measure: 2.1.a (Weight: 14%)

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

Performance Assumption:

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: 3.0 Personnel Policy Compliance

SLAC will comply with Stanford University Personnel Policies as stated in the most current Administrative Guide. (Total Weight = 43%)

Performance Criterion: 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 (Weight: 43%)

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 2002, Employment and Benefits will be reviewed.)

Performance Assumption:

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

Performance Gradient:

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

Performance Area: FINANCIAL MANAGEMENT

GOAL #1: Effective and efficient execution of financial stewardship responsibilities to help ensure optimum use of taxpayers' dollars and protection of the Department's assets against waste, fraud and abuse. SLAC's financial management practices provide for financial stewardship, including compliance and data integrity.

Performance Objective: 1.0 Financial Stewardship

Effective and Efficient Cash Management. (Total Weight = 8%)

Performance Criterion: 1.1

Accounts receivable delinquencies are minimized.

Performance Measure: 1.1.a (Weight: 4%)

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

Performance Assumption:

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. 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 Federal or non-Federal 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.
- Excellent:** The value of receivables delinquent more than 90 days is between 1 and 2% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury.
- Good:** The value of receivables delinquent more than 90 days is between 2 and 3% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury.

Marginal: The value of receivables delinquent more than 90 days is between 3 and 4% of the value of total receivables.

Unsatisfactory: The value of receivables delinquent more than 90 days is greater than or equal to 4% of the value of total receivables.

Performance Criterion: 1.2

Improvements are made to Accounting Processes.

Performance Measure: 1.2.a (Weight: 4%)

SLAC Accounting identifies areas needing improvement, formulates plans, and executes significant process improvements.

Performance Assumption:

SLAC Accounting identifies process improvements possible in travel reimbursement, written procedures, and MARS reporting. Other areas are also possible as improvements are identified.

Performance Gradient:

Outstanding: Significant improvements are demonstrated in three areas.

Excellent: Significant improvements are demonstrated in two areas.

Good: Significant improvement is demonstrated in one area.

Marginal: Areas of improvement are identified and plans are formulated.

Unsatisfactory: No areas of improvement are identified.

Performance Objective: 2.0 Financial Stewardship

Quality Budget Formulation and Effective Budget Execution. (Total Weight = 32%)

Performance Criterion: 2.1

Budgets are timely submitted

Performance Measures: 2.1.a (Weight: 9%)

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

Performance Assumption:

The Laboratory shall provide budget formulation products and services that facilitate effective financial management and stewardship of resources.

Performance Gradient:

- Outstanding: This rating is achieved by meeting DOE customer 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 customer 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 customer 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 by not submitting a budget.

Performance Criterion: 2.2

Manage uncosted balances.

Performance Measure: 2.2.a (Weight: 9%)

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

Performance Assumption:

The Laboratory's reports, submissions, and responses to DOE requests for information will be timely, accurate and complete. Ad Hoc requests for cost and planning information will be evaluated and receive a timely response. Ad Hoc request is a request received in writing with a response needed in two days or more.

Performance Gradient:

- Outstanding: This rating is achieved if the annual uncosted report is timely and both accurate and complete and any ad hoc responses are timely and complete. Further, the laboratory demonstrates that it has a system in place that provides costing information to its internal customers. Periodic analysis of costs and notification to internal customers is provided.

- Excellent: This rating is achieved if the annual uncosted report is timely and both accurate and complete and any ad hoc responses are timely and complete. Further, the laboratory demonstrates that it has a system in place that provides costing information to its internal customers.
- Good: This rating is assigned if the annual uncosted report is timely filed and both accurate and complete and any ad hoc request are timely and complete in response.
- Marginal: This rating is assigned if the annual uncosted reports is late and/or requires major rework.
- Unsatisfactory: This rating is assigned if the annual uncosted report is not filed.

Performance Criterion: 2.3

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

Performance Measure: 2.3.a (Weight: 14%)

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

Performance Assumption:

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 Obligational Control Level (OCL).

Definitions:

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

“Obligational Control Level (OCL)” are shown on summary page of the SLAC approved funding plan that is incorporated in the financial modification. In addition, each individual construction line item, each individual Work for Others order and each individual DOE Transfers Order represent an OCL.

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

“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 including 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 including a demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels. Training of internal customers on the laboratory financial system and processes that provide costs control information. Meeting DOE requirements for funding changes within the 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. Meeting DOE requirements for funding changes within the normal funding cycles.
- Good:** This rating is assigned if laboratory costs are within OCL at the end of each monthly accounting period.
- Marginal:** This rating is assigned by exceeding OCL in any accounting period.
- Unsatisfactory:** This rating is assigned by exceeding OCL in two or more funding areas or accounting periods.

Performance Objective: 3.0 Financial Stewardship

Effective Internal Controls and Audit Findings Follow-up. (Total Weight = 8%)

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 (Weight: 4%)

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

Performance Assumption:

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.

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 (Weight: 4%)

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

Performance Assumption:

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.

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

GOAL #2: Effectiveness and Efficiency: Achieve cost effective and efficient Financial Management operations by applying available resources to continuous improvement efforts.

Performance Objective: 1.0

Ensure accounting data is recorded accurately and timely in accordance with prescribed standards. (Total Weight = 20%)

Performance Criterion: 1.1

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

Performance Measures: 1.1.a (Weight: 9%)

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
Estimated Quantity and Usage – Stores	Annual

Performance Criterion: 1.2

FY 2002 Financial Statements hold up under audit by DOE/OIG or Stanford Internal Audit.

Performance Measures: 1.2.a (Weight: 11%)

FY 2002 audited financial statements are prepared in accordance with DOE requirements.

Performance Assumption:

Results of financial statements review activities are analyzed for accuracy and completeness and appropriateness of supporting documentation.

Performance Gradient:

- Outstanding: In addition to meeting the Excellent gradient, there are no audit findings relative to the annual financial statement audit.
- 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, 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: 2.0

Construction projects are capitalized. (Total Weight = 7%)

Performance Criterion: 2.1

Construction projects are capitalized.

Performance Measures: 2.1.a (Weight: 7%)

Construction projects are capitalized in accordance with DOE requirements.

Performance Assumption:

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

Performance Gradient:

Outstanding:	In addition to meeting the requirements for the Excellent 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: 3.0

Effective and efficient indirect cost management. (Total Weight = 25%)

Performance Criterion: 3.1

SLAC manages its indirect rates.

Performance Measure: 3.1.a (Weight: 3%)

Using 1998 as a baseline, track and trend FY 1999 through FY 2002 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: 3.1.b (Weight: 13%)

Policies, data, and reports consistent with Cost Accounting Standards (CAS) compliance and DOE requirements; financial practices are consistent with approved CAS Disclosure Statement.

Performance Assumption:

SLAC will provide a narrative description of its CAS financial management practices and processes to support this criterion. DOE will partner with SLAC to determine compliance.

Performance Gradient:

Outstanding: SLAC's financial management practices and processes are fully compliant with CAS and DOE requirements. SLAC demonstrates an excellent, reliable, and systematic method of analyzing and assimilating financial data consistent with the approved Disclosure Statement.

Excellent: There are minor differences between SLAC's CAS financial practices and the approved Disclosure Statement or with DOE and CAS requirements. SLAC demonstrates the initiative to improve its CAS financial management practices and processes.

Good: SLAC's CAS policies and processes need some necessary corrections to be consistent with the approved Disclosure Statement or SLAC may also need to make some necessary revisions to its CAS policies to meet DOE and CAS requirements.

Marginal: Major changes are necessary to bring SLAC's policies and processes in compliance with CAS and DOE requirements or consistent with the approved Disclosure Statement.

Unsatisfactory: SLAC's CAS financial management policies and processes do not fully comply with CAS and DOE requirements or are not fully consistent with the approved Disclosure Statement.

Factors that will be considered for a higher rating include:

- agreed audit report findings
- proactive interaction with DOE
- training and development of staff and relevant program personnel

Performance Measure: 3.1.c (Weight: 9%)

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: INFORMATION MANAGEMENT PROGRAM

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), and 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: 1.0 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. (Total Weight = 100%)

Performance Criterion: 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 (Weight: 50%)

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 expectations 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 Measure: 1.1b (Weight: 50%)

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 expectations 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: COMMUNICATION AND PUBLIC AFFAIRS

Performance Objective: 1.0

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. (Total Weight = 100%)

Performance Criterion: 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 Measure: 1.1.a (Weight: 100%)

Various customer feedback methods.

Performance Assumption:

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.

Track and trend is a term used by DOE which means that we (SLAC and DOE/OAK) will monitor (track) data and look for areas which show consistent activities (trends). **Tracking will continue during FY2002.** The data collected will then form a baseline for determining performance ratings.

The rating category will be subjectively determined by DOE/Oakland in agreement with SLAC.

Performance Area: PERSONAL PROPERTY

Performance Objective: 1.0 Accountability of Personal Property

SLAC will achieve cost effective accountability for government personal property.
(Total Weight = 40%)

Performance Criterion: 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 (Weight: 20%)

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

Performance Gradient:

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:	<98.0%

Performance Criterion: 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: 1.2.a (Weight: 20%)

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: 2.0 Organizational Stewardship and Individual Custodianship

SLAC will ensure that both stewardship and custodianship for personal property is maintained. (Total Weight = 10%)

Performance Criterion: 2.1

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

Performance Measure: 2.1a (Weight: 10%)

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

Performance Assumption:

- -% of accurate custodian assignments for sensitive property (Weight = 33%)
- -% of accurate custodian assignments for equipment (Weight = 33%)
- -% of initial custodians assigned within 60 days (Weight = 34%)

* Points are evenly distributed among the three sub-measures above.

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: 3.0 Utilization of Property

SLAC will ensure proper utilization of government property. (Total Weight = 10%)

Performance Criterion: 3.1

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

Performance Measure: 3.1.a (Weight: 10%)

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 Assumption:

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 Gradient:

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: 4.0 Customer Satisfaction

SLAC will strive to improve customer satisfaction. (Total Weight = 10%)

Performance Criterion: 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: 4.1.a (Weight: 10%)

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, 2001 and its plan of action by April 1, 2002.

Performance Gradient:

- 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: 5.0 Information to Improve/Maintain Process

SLAC ensures that Property Management programs are consistent with policies and procedures approved by DOE. (Total Weight = 16%)

Performance Criterion: 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 (Weight: 16%)

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

Basis for Rating:

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

Performance Objective: 6.0 Cost Efficiency

SLAC ensures that property is managed appropriately to balance performance and cost. (Total Weight = 7%)

Performance Criterion: 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 (Weight: 7%)

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

Performance Gradient:

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			

Assumption:

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 man-hours. 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: 7.0 Learning and Growth

SLAC shall ensure that there is a program for achieving and maintaining learning and growth in the property management organization. (Total Weight = 7%)

Performance Criterion: 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 (Weight: 7%)

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, 2001, providing the expected activities to be measured and milestones for completion of activities.

Performance Assumption:

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 Gradient:

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

Performance Objective: 1.0 Customer Satisfaction

SLAC shall periodically assess the degree of satisfaction with Purchasing's ability to meet customer needs in terms of timeliness, quality, and communications. (Total Weight = 15%)

Performance Criterion: 1.1 Customer Feedback

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

Performance Measure: 1.1.a Customer Satisfaction Rating (Weight: 15%)

A customer satisfaction rating for the Purchasing function shall be created from the results of transactional surveys. The satisfaction rating is to be tracked and trended. The parties will coordinate on the acceptability of the surveying process and contents.

Performance Assumption:

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

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

$$\text{Customer Satisfaction Rating} = \frac{\text{Number of Satisfied Customers}}{\text{Total Number of Customers Surveyed}}$$

Performance Gradient:

Outstanding	≥ 95% of customers responding to survey are satisfied.
Excellent	90 - 94.9% of customers responding to survey are satisfied.
Good	80 - 89.9% of customers responding to survey are satisfied.
Marginal	70 - 79.9% of customers responding to survey are satisfied.
Unsatisfactory	60 - 69.9% of customers responding to survey are satisfied.

Performance Objective: 2.0 Management of Internal Business Processes

SLAC shall have systems in place to ensure Purchasing Department programs operate in accordance with policies and procedures approved by DOE and which ensure that business operations are conducted at an optimum operational effectiveness level. (Total Weight = 55%)

Performance Criterion: 2.1 System Evaluation

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

Performance Measure: 2.1.a Assessing System Operations (Weight: 25%)

The SLAC purchasing system shall be assessed against system evaluation criteria as identified in its annual Balanced ScoreCard Self-Assessment Plan. This internal controls assessment shall measure the percentage of systems in full compliance with applicable laws, regulations, prime contract terms and conditions, and SLAC policies and procedures.

Performance Gradient:

Outstanding:	≥ 90% of systems in full compliance.
Excellent:	85 - 89.9% of systems in full compliance.
Good:	80 - 84.9% of systems in full compliance.
Marginal:	75 - 79.9% of systems in full compliance.
Unsatisfactory:	<75% of systems in full compliance.

Performance Criterion: 2.2 Supplier Performance

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

Performance Measure: 2.2.a Measuring Supplier Performance (Weight: 5%)

SLAC shall measure the performance of its suppliers by dividing the number of line items delivered on time by the total line items due (or total line items received).

Performance Assumption:

SLAC has designed a PeopleSoft query to capture vendor performance by line item deliveries. SLAC has elected to use a definition of on time delivery of up to 2 days after the purchase order due date allowing for internal processing of the delivered items.

The following formula shall be applied to measure supplier performance:

$$\text{Supplier Performance} = \frac{\text{Number of line items delivered on time}}{\text{Total line items due/received}}$$

Performance Gradient:

- Outstanding: $\geq 85\%$ of items delivered on time.
- Excellent: 75 – 84.9% of items delivered on time.
- Good: 65 – 74.9% of items delivered on time.
- Marginal: 55 – 64.9% of items delivered on time.
- Unsatisfactory: $< 55\%$ of items delivered on time.

Performance Criterion: 2.3 Effective Utilization of Alternative Procurement Approaches

SLAC shall measure the transfer of traditional purchasing activities such as supplier selection, best value determination, ordering and receiving, from the purchasing organization directly to the user organization.

Performance Measure: 2.3.a Traditional purchasing activities transferred. (Weight: 5%)

Percentage of transactions placed by users (JIT, Purchase Card, Blanket Order Releases).

The following formula shall be applied to measure the effective use of alternate procurement methods by users:

$$\text{Percentage of transactions placed by users} = \frac{\text{Total number of transactions placed by users}}{\text{Total number of transactions}}$$

Performance Assumption:

The CAPS target is set at 72.5%.

Performance Gradient:

- Outstanding: $> 75\%$ of transactions placed by users.
- Excellent: $> 70\%$ of transactions placed by users.
- Good: $> 65\%$ of transactions placed by users.
- Marginal: $> 60\%$ of transactions placed by users.
- Unsatisfactory: $< 55\%$ of transactions placed by users.

Performance Measure: 2.3.b Rapid purchasing activities transferred. (Weight: 5%)

Percentage of transactions placed through Rapid Purchasing Techniques (RPT) (number of transactions placed through Rapid Purchasing Techniques divided by the sum of total transactions including purchase cards, long-term purchasing agreements, e-commerce, JIT, ICPT, oral purchasing orders, strategic agreements and supplier programs).

The following formula shall be applied to measure the effective use of alternate procurement methods:

$$\text{Percentage of transactions placed by RPT} = \frac{\text{Total number of RPT transactions placed}}{\text{Total number of transactions}}$$

Performance Assumption:

The CAPS target is set at 82.5%.

Performance Gradient:

- Outstanding: >85% of transactions placed by RPT.
- Excellent: >80% of transactions placed by RPT.
- Good: >75% of transactions placed by RPT.
- Marginal: >70% of transactions placed by RPT.
- Unsatisfactory: <65% of transactions placed by RPT.

Performance Criterion: 2.4 Acquisition Process

SLAC shall measure the efficiency of the acquisition process by measuring the time between receipt of an approved purchase requisition and award of the purchase order.

Performance Measure: 2.4.a Average Cycle Time (Weight: 15%)

SLAC shall measure the efficiency of the acquisition process by measuring the time between receipt of an approved purchase requisition and award of the purchase order. Measurements will be calculated for all actions for comparison purposes to previous years data.

The following formula shall be applied to measure average cycle time(excluding Purchasing Authorization Card):

$$\text{Average Cycle Time} = \frac{\text{Total of Time Between Receipt of Requisitions and Award}}{\text{Total Number of Awards}}$$

Performance Assumption:

The DOE target for FY 2002 is 35 - 40 days average cycle time (CAPS) for actions greater than \$100,000. The procurement organization will provide in its annual self-assessment, for information purposes only, cycle time results in two categories: \leq \$100,000 and total cycle time for all actions.

Performance Gradient: for actions greater than \$100,000.

Outstanding:	< 30 days
Excellent:	30 - 35 days
Good:	36 - 40 days
Marginal:	41 - 45 days
Unsatisfactory:	> 46 days

Performance Criterion: 2.5 Socio-economic Subcontracting

SLAC shall support and promote socio-economic subcontracting programs.

Performance Measure: 2.5.a Meeting Socio-Economic Commitments

This performance measure shall not be weighted nor measured. The SLAC Purchasing Department will provide in its annual Balanced ScoreCard Self-Assessment Report, for information purposes only, the percentage of subcontract (includes purchase orders) dollars awarded in the following four categories:

- (a) Small Business
- (b) Small Disadvantaged Business
- (c) Small Women-Owned Small Business
- (d) 8 (a) Pilot Program Awards

The Balanced ScoreCard Self-Assessment Report will describe annual activities in support of the socio-economic program. Subcontracts qualifying in more than one category may be counted in more than one category e.g., Small Business and Small Disadvantage Business. Lower tier subcontracts cannot be counted toward the primary goal, but may be goaled and reported separately.

The purchasing base for purposes of this measure is all subcontracts awarded during the fiscal year period, excluding (1) Subcontracts with foreign corporation which will be performed entirely outside of the United States; (2) Utilities (gas, sewer, water, steam, electricity and regulated telecommunications services); (3) Federal Supply Schedule Orders when all terms of the GSA contract apply; (4) GSA Orders when all terms of the GSA contract apply; (5) Agreements with DOE management and operating contractors

and University campuses; (6) Federal government and DOE mandatory sources of supply; Federal prisons industries, Industries of blind and handicapped; and (7) Procurement card purchases.

Performance Objective: 3.0 Managing Financial Aspects

SLAC shall ensure optimum cost efficiency of its purchasing operations. (Total Weight = 10%)

Performance Criterion: 3.1 Process Cost

SLAC shall compare its operating costs for procurement as a percentage of total procurement dollars obligated to benchmarking data and industry standards and establish goals and gradients accordingly.

Performance Measure: 3.1.a Cost to Spend Ratio (Weight: 10%)

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

Performance Assumption:

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

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

Performance Gradient:

Outstanding	< \$.025
Excellent	\$.025 to \$.0279
Good	\$.028 to \$.0309
Marginal	\$.031 to \$.0339
Unsatisfactory	> \$.034

Performance Objective: 4.0 Learning and Growth

SLAC shall ensure that information and feedback mechanisms are available to purchasing employees to enhance continued successful purchasing operations. (Total Weight = 20%)

Performance Criterion: 4.1 Employee Feedback

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

Performance Measure: 4.1.a Employee Satisfaction Rating (Weight: 5%)

A Purchasing employee satisfaction rating shall be created from the results of an employee survey. The satisfaction rating is to be tracked and trended. The Parties will coordinate on the acceptability of the surveying process and contents.

Performance Assumption:

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

The following formula shall be applied to measure employee satisfaction:

$$\text{Employee Satisfaction Rating} = \frac{\text{Number of Satisfied Employees}}{\text{Total Number of Employees Surveyed}}$$

Performance Gradient:

- Outstanding: $\geq 80\%$ of employees responding to survey are satisfied
- Excellent: 70 - 79.9% of employees responding to survey are satisfied
- Good: 60 - 69.9% of employees responding to survey are satisfied
- Marginal: 50 - 59.9% of employees responding to survey are satisfied
- Unsatisfactory: $< 50\%$ of employees responding to survey are satisfied

Performance Criterion: 4.2 Employee Alignment

SLAC shall ensure individual goals are aligned with SLAC's organizational goals (Key Success Factors).

Performance Measure: 4.2.a Validate Alignment of Goals (Weight: 5%)

A review of each buyer's (employee) 2001/2002 Performance Evaluation shall be conducted to ensure the alignment of individual goals is consistent with organizational goals.

The following formula shall be applied to measure employee alignment:

$$\% \text{ of Employees Aligned} = \frac{\text{Number of Aligned Employees}}{\text{Total Number of Employees With Buying Function}}$$

Performance Gradient:

Outstanding:	90 – 100% of employees aligned
Excellent:	85 – 89.9% of employees aligned
Good:	80 – 84.9% of employees aligned
Marginal:	75 – 79.9% of employees aligned
Unsatisfactory:	70 – 74.9% of employees aligned

Performance Criterion: 4.3 Information Availability

SLAC shall make readily available to its employees current information important to the successful performance of their purchasing related functions.

**Performance Measure: 4.3a Measuring Availability of Information
(Weight: 10%)**

SLAC will track and trend the level of information available to Purchasing employees.

Performance Assumption:

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

The following formula shall be applied to measure the level of information availability:

$$\text{Level of Information Availability} = \frac{\text{Number of Information Items Available}}{\text{Number of Information Items Needed}}$$

Performance Gradient:

Outstanding:	90 - 100%
Excellent:	85 - 89.9%
Good:	80 - 84.9%
Marginal:	75 – 89.9%
Unsatisfactory:	70 – 74.9%

Performance Area: PROJECTS & FACILITIES MANAGEMENT

Performance Objective: 1.0 Real Property Management

The laboratory will effectively manage real property. (Total Weight = 17%)

Performance Criterion: 1.1 Real Property Management

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

Performance Measure: 1.1.a Program Implementation (Weight: 17%)

Number of completed milestones/milestones scheduled for completion.

Performance Assumption:

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

Performance Gradient:

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

Performance Objective: 2.0 Project Management (Total Weight = 15%)

Performance Criterion: 2.1 Facility Construction Projects

Facility construction projects with total project cost greater than or equal to \$500K are completed on cost, schedule, and technical baseline.

Performance Measure: 2.1.a (Weight: 8%)

Number of milestones completed on schedule/number of milestones planned.

Performance Assumption:

The intent is to measure actual progress against that planned for the fiscal year and for the Laboratory to execute facility construction projects within budget. A milestone list for all active projects 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, final evaluation may be adjusted because of changes to project final cost, for late/early completion, and/or for increased/diminished scope. DOE/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:	1.00
Excellent:	equal to or greater than 0.90 and less than 1.00
Good:	equal to or greater than 0.80 and less than 0.90
Marginal:	equal to or greater than 0.70 and less than 0.80
Unsatisfactory:	less than 0.70

Performance Criterion: 2.2 Construction Project Cost

Line Item project Research Office Building meets cost baselines.

Performance Measure: 2.2.a Total Estimated Cost (TEC) (Weight: 7%)

Actual costs during the fiscal year/planned costs during the fiscal year.

Performance Assumption:

The intent is to measure Laboratory performance in executing projects within the approved TEC. The baseline TEC may be adjusted for allowed cost or work scope changes, Baseline Change Proposals, DOE directed changes, uncontrolled forces, or changes in programmatic schedules. If TEC is exceeded, the rating will be determined based on the reason and severity of the cost overrun for the project.

Performance Gradient:

Outstanding:	less than or equal to 0.99
Excellent:	greater than 0.99 and less than 1.00
Good:	equal to 1.00

Marginal: greater than Total Estimated Cost
Unsatisfactory: greater than Total Estimated Cost

Performance Objective: 3.0 Maintenance Management

The Laboratory will maintain capital assets to ensure reliable operations in a safe and cost-effective manner. (Total Weight = 40%)

Performance Criterion: 3.1 Facilities Management

Facility operations and maintenance are effectively managed consistent with mission, risks, and costs.

Performance Measure: 3.1.a Program Implementation (Weight: 20%)

Sum of completion percentages for all milestones worked/milestones scheduled for completion.

Performance Assumption:

The intent is to measure the effectiveness and timeliness of the Laboratory's facility maintenance program. A list of mutually agreed milestones will be made a matter of record within the first month of the fiscal year. For multiple-facility milestones, completion percentage will be an average of the completion percentages for each facility included in the milestone. If no milestones are selected for the fiscal year, the weight of performance Measure 3.1.a will be added to Performance Measure 3.2.a.

Performance Gradient:

To be determined.

Performance Criterion: 3.2 Maintenance Program

The facility maintenance program is effectively managed and performed.

Performance Measure: 3.2.a Maintenance Index (Weight: 20%)

Performance index based on selected Maintenance Performance Indicators.

Performance Assumption:

A composite index will be calculated using a weighted average for selected performance indicators. The list of performance indicators, and the calculation algorithm will be made a matter of record within the first month of the fiscal year. Performance gradient

calculations will consider Best-in-Class for comparable Energy Facility Contractors Group (EFCOG) benchmarking participants and the EFCOG average for comparable activities/sites.

Performance Gradient:

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

**Performance Objective: 4.0 Energy Management
(Total Weight = 11%)**

Performance Criterion: 4.1 Use Energy Efficiently

Performance Measure: 4.1.a (Weight: 11%)

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

Performance Assumption:

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 within three months of an approved budget for the FY02 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 DOE/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 Objective: 5.0 Physical Assets Planning

(Total Weight = 17%)

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 (Weight: 17%)

Assess how the planning process is implemented to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory Needs. Integrate the space planning office into the process.

Performance Assumption:

The planning process is executed to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs. SLAC will document the major planning activities with associated milestones within the first month of the fiscal year.

Performance Gradient:

The adjectival rating will be determined by a combination of criteria: a) impact of process improvements throughout the year; b) successful development of a work plan (milestones); c) the successful execution of the work plan, and; d) other planning and land use activities throughout the fiscal year.

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: SAFEGUARDS & SECURITY

Performance Objective: 1.0

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. (Total Weight 35%)

Performance Criterion: 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 (Weight: 35%)

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

Performance Assumptios:

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: 2.0

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. (Total Weight = 30%)

Performance Criterion: 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 (Weight: 30%)

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

Performance Assumption:

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, SSO, will **annually** address applicable topical and sub-topical areas as required by applicable DOE policies and directives.
3. **Corrective Action Plan milestones are to be completed in such a manner as to ensure timely completion of the corrective action plan by the date designated.**
4. A corrective action will be considered completed at the time that the action is documented and completed.
5. 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: 3.0

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. (Total Weight = 35%)

Performance Criterion: 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

(Weight: 35%)

The extent to which vulnerabilities are reduced.

Performance Assumption:

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 Criterion: 1.2

Collaborative R&D Projects.

Performance Measure: 1.2.a (Weight: 50%)

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

Performance Assumption:

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

Section C – ASSESSMENT and APPRAISAL PROCESS

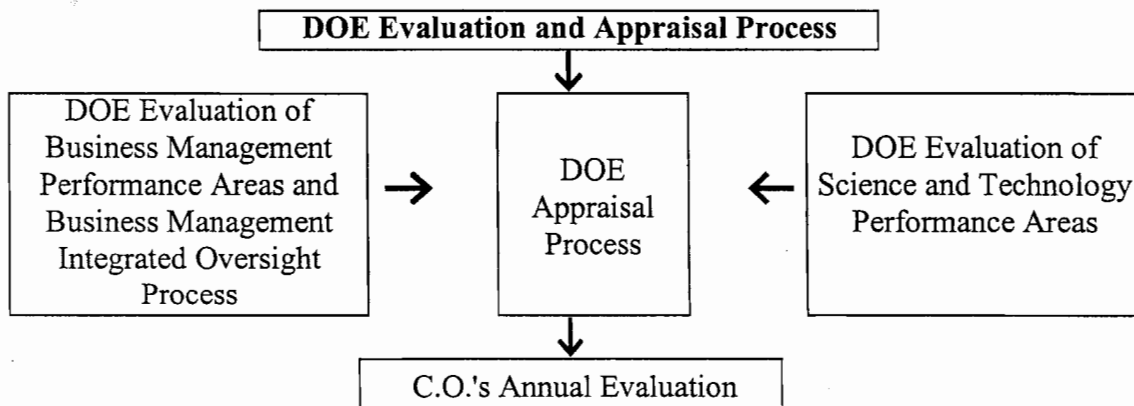
Part I – ASSESSMENT

SLAC Self-Assessment

Annually SLAC will perform a comprehensive Peer Review process of the Science and Technology programs in each Performance Area in accordance with the Performance Objectives, Criteria, and Measures listed in Section A of this appendix. In addition, the SLAC Management team will annually evaluate Business Management in each Performance Area based on the established Performance Objectives, Criteria, Measures, Assumptions, and Gradients listed in Section B of this appendix. The result of these evaluations will be combined and reported to DOE in a Self-Assessment Report.

DOE Evaluation

The DOE will annually evaluate Science and Technology and Business Management in each Performance Area. The evaluation will be based upon input from the Business Management Integrated Oversight Process and appraisal of each Performance Area in accordance with the Performance Objectives, Criteria, Measures, Assumptions, and Gradients listed in Section A and B of this appendix. Annually, the Contracting Officer shall provide to the Contractor a written assessment of SLAC's performance based upon the DOE evaluation of Science and Technology and Business Management and the Contracting Officer's evaluation of SLAC's self-assessment.



Part II – EVALUATION PROCESS

SLAC and the DOE will independently perform the following evaluation process.

The total points available for Science and Technology is 600 while the total points available for Business Management is 400. Points assigned to each Performance Area are established by the parties at the beginning of each annual evaluation cycle. Any modification of points assigned to individual Performance Areas at the beginning of the

annual evaluation will continue to cause the total points available for Science and Technology and the total points available for Business Management to remain unchanged. The following table shows the Performance Areas in Business Management and Science and Technology along with their associated point assignments.

Business Management		Science and Technology	
Environment, Safety & Health	110 pts	High Energy Physics	500 pts
Equal Opportunity and Affirmative Action	15 pts	Synchrotron Radiation	100 pts
Financial Management	55 pts		
Information Management Program	30 pts		
Communication and Public Affairs	10 pts		
Personal Property	30 pts		
Human Resource Management	35 pts		
Procurement	25 pts		
Projects and Facilities Management	60 pts		
Safeguards and Security	20 pts		
Technology and Intellectual Property	10 pts		

Total = 400 Points

Total = 600 Points

The Performance Area evaluation begins by assigning ratings to the Performance Objectives. The Performance Objective ratings are expressed as percentages and reflect the Evaluation Rating on that objective. The ratings are developed in Business Management by assessing the Performance Objectives using the Performance Assumptions and Gradients. In Science and Technology the ratings represent a subjective assessment of the Performance Objectives. The following table relates these elements.

Performance Objective Ratings	Evaluation Rating	Business Management	Science and Technology
90 – 100%	Outstanding	Use assumptions and gradients to determine rating.	Rating is determined by subjective assessment of Performance Measure.
80 – 89%	Excellent		
70 – 79%	Good		
60 – 69%	Marginal		
Less than 60%	Unsatisfactory		

Once the Performance Objective Ratings have been determined, they are multiplied by the percent weight assigned to each weighted Performance Measure. This gives the

weighted percentage rating for each Performance Measure. The sum of the weighted percentage ratings yields the total percentage rating for the Performance Areas. The sum percentage ratings multiplied by the points available for the Performance Areas determine the points earned for each area. The sum of the points earned for each area establishes the total points earned for Science and Technology and for Business Management and, ultimately, for total SLAC. The total points earned can then be correlated with a comprehensive Evaluation Rating for SLAC through the following table.

**Correlation of Total Points Earned to Evaluation Ratings and
Definition of Evaluation Ratings**

Total Points Earned	Evaluation Ratings	Definition
900 - 1000	Outstanding	Significantly exceeds the standard of performance; achieves noteworthy results; accomplishes very difficult tasks in a timely manner.
800 - 899	Excellent	Exceeds the standard of performance; although there may be room for improvement in some elements, better performance in all other elements offset this.
700 - 799	Good	Meets the standard of performance; assigned tasks are carried out in an acceptable manner - timely, efficiently, and economically. Deficiencies do not substantively affect performance.
600 - 699	Marginal	Below the standard of performance; deficiencies are such that management attention and corrective action are required.
Less than 600	Unsatisfactory	Significantly below the standard of performance; deficiencies are serious, may affect overall results, and urgently require senior management attention. Prompt corrective action is required.

Part III – EXAMPLE OF RATING PROCESS

For example purposes, assume the following:

- Science and Technology and Business Management each consist of two Performance Areas;

- the first Performance Area has three Performance Measures while the second has two;
- the first Performance Area in Science and Technology has been assigned 500 points and the second 100 points;
- the first Performance Area in Business Management has been assigned 250 points and the second 150 points;
- the Performance Measure scores and percent weights are given.

POCM Rating Calculation

	<u>PM Rating</u>	<u>% Earned Weight</u>	<u>% Rating</u>	<u>Available Points</u>	<u>Points</u>
Science and Technology					
Performance Area "A"					
Performance Measure 1	90%	15%	13.5%		
Performance Measure 2	85%	40%	34.0%		
Performance Measure 3	92%	45%	41.4%		
			<u>88.9%</u>	500	444.5
Performance Area "B"					
Performance Measure 1	95%	45%	42.8%		
Performance Measure 2	88%	55%	48.4%		
			<u>91.2%</u>	100	91.2
Science and Technology Total Earned Points					<u>535.7</u>
Business Management					
Performance Area "C"					
Performance Measure 1	95%	20%	19.0%		
Performance Measure 2	88%	55%	48.4%		
Performance Measure 3	92%	25%	23.0%		
			<u>90.4%</u>	250	226.0
Performance Area "D"					
Performance Measure 1	98%	60%	58.8%		
Performance Measure 2	94%	40%	37.6%		
			<u>96.4%</u>	150	144.6
Business Mgt Total Earned Points					<u>370.6</u>
Total Earned Points					<u>906.3</u>
Evaluation Rating = <u>Outstanding</u>					

SLAC MEMORANDUM

Business Services Division, MS 02

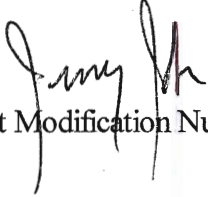
jlj@slac.stanford.edu

Phone: 4245

FAX: 5360

January 25, 2002

TO: Distribution

FROM: Jerry L. Jobe 

SUBJECT: SLAC Contract Modification Number M413

Attached is a signed copy of the SLAC Contract Modification Number M413 dated January 24, 2002 for your records and files.

JLJ:rt
Enclosures

Distribution

G. Grant – Mail Code 6025
K. Hodgson – SSRL – MS 69
D. Dungan – SSRL – MS 69
B. Todaro – MS 01
M. Chang – MS 03

EXCEPTION TO SF 30, APPROVED BY NARS 5/79				1. CONTRACT ID CODE		PAGE OF PAGES 1 of 2	
AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT							
2. AMENDMENT/MODIFICATION NO. M413		3. EFFECTIVE DATE See Block 16 C		4. REQUISITION/PURCHASE REQ. NO.		5. PROJECT NO. (If applicable)	
6. ISSUED BY U.S. Department of Energy Oakland Operations Office 1301 Clay Street, 700N Oakland, CA 94612		CODE		7. ADMINISTERED BY (If other than Item 6)			
8. NAME AND ADDRESS OF CONTRACTOR (No., street, country, State, and ZIP Code) Director of Sponsored Projects Stanford University 651 Serra Street - Room # 260 Stanford, CA 94305-4125				()		9A. AMENDMENT OF SOLICITATION NO.	
						9B. DATED (SEE ITEM 11)	
				x		10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC03-76SF00515/M339	
						10B. DATED (SEE ITEM 13) December 31, 1998	
CODE		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) NA							
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).							
X C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: Agreement of the parties.							
D. OTHER (Specify type of modification and authority)							
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, Co-Director				16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Stanley L. Wheeler, Contracting Officer U.S. Department of Energy, Oakland Operations Office			
15B. CONTRACTOR/OFFEROR Lillie Ryans-Culclager (Signature of person authorized to sign)		15C. DATE SIGNED 1/22/01		16B. UNITED STATES OF AMERICA Stanley L. Wheeler (Signature of Contracting Officer)		16C. DATE SIGNED 1-24-01	
30-105				STANDARD FORM 30			

1. The purpose of this modification is to update Appendix A – Personnel Policies, Appendix B – Performance Criteria and Measures, and Appendix E – DOE Directives List as follows:

2. In Appendix A, Personnel Policies, Part II. D., Special Housing Assistance Policy, delete the current narrative in its entirety and add the following:

Special circumstances decisions will be made by the Director of Human Resources. Eligibility of Senior SLAC Scientific and Administrative Staff not otherwise eligible will be determined individually by the SLAC Director on a case-by-case basis. Annual report on cost will be provided to the Department of Energy.

3. In Appendix B, Performance Criteria and Measures, delete the Human Resource Management Performance Area in its entirety and add the Human Resource Management Performance Area attached to this modification.

4. The following applies to Appendix E:

Human Resources – Add the following:

DOE N350.6 – Worker’s Compensation Claims, CRD only, 1-12-01.

DOE O221.1 – Reporting Fraud, Waste, and Abuse To The Office Of Inspector General, CRD only, 3-22-01.

DOE O221.2 – Cooperation With The Office Of Inspector General, CRD only, 3-22-01.

Scientific and Technical Information – Add the following:

DOE O241.1A – Scientific And Technical Information Management, CRD only, 4-9-01.

Safeguards & Security – To the DOE Directives List add the category Safeguards & Security and to that category add the following:

DOE N471.3 – Reporting Incidents of Security Concern, CRD only, 4-13-01.

5. All other terms and conditions remain in full force and effect.

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 Average Salary Available Points: 10.0

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 Benefit Program Available Points: 5.0

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.

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. M418	3. EFFECTIVE DATE 10-1-01	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. (If applicable)
---------------------------------------	------------------------------	----------------------------------	--------------------------------

ISSUED BY U.S. Department of Energy Oakland Operations Office 1301 Clay Street, 700N Oakland, CA 94612	CODE	7. ADMINISTERED BY (If other than Item 6)	7. ADMINISTERED BY (If other than Item 6)
--------------------------------------------------------------------------------------------------------------------	------	-------------------------------------------	-------------------------------------------

8. NAME AND ADDRESS OF CONTRACTOR (No., street, country, State, and ZIP Code) Director of Sponsored Projects Stanford University 651 Serra Street - Room # 260 Stanford, CA 94305-4125	()	9A. AMENDMENT OF SOLICITATION NO.
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----	-----------------------------------

Mail To: Jerry L. Jobe, Associate Director Business Services Div. Stanford Linear Accelerator Center 2575 Sand Hill Road, M/S 02 A&E Building, Room 203 Menlo Park, Ca 94025	x	9B. DATED (SEE ITEM 11) 10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC03-76SF00515/M339
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---	--------------------------------------------------------------------------------------------------

CODE	FACILITY CODE	10B. DATED (SEE ITEM 13) 12/31/98
------	---------------	--------------------------------------

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)

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, appropriation data, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103 (b).
X	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: Agreement of the parties pursuant to Article 13 of the Contract.
D.	OTHER (Specify type of modification and authority)

IMPORTANT: Contractor is not, X 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.)

Please 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) <i>Lillie Ryans-Cuklager</i>	16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Stanley Wheeler, Contracting Officer U.S. Department of Energy, Oakland Operations Office
15B. CONTRACTOR/OFFEROR <i>Lillie Ryans-Cuklager</i> (Signature of person authorized to sign)	15C. DATE SIGNED <i>5/8/02</i>
16B. UNITED STATES OF AMERICA <i>Stanley Wheeler</i> (Signature of Contracting Officer)	16C. DATE SIGNED <i>5/17/02</i>

1. The purpose of this modification is to update Appendix B – Performance Criteria and Measures as follows:

a. Delete the Human Resource Management Performance Area in its entirety and add the Human Resource Management Performance Area attached to this modification.

b. Delete the Communications and Public Affairs Performance Area in its entirety and add the Communications and Public Affairs Performance Area attached to this modification.

c. Delete the Safeguards and Security Performance Area in its entirety and add the Safeguards and Security Performance Area attached to this modification.

2. All other terms and conditions remain in full force and effect.

Performance Area: HUMAN RESOURCE MANAGEMENT

Performance Objective: 1.0 Customer Needs

Human Resources management will monitor employee/customer feedback in order to ensure high quality service to its employees.

Performance Criteria: 1.1

The requirements, expectations, and preferences of customers are collected and addressed.

Performance Measure: 1.1.a (Weight: 32%)

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

Performance Gradient:

- Unsatisfactory - no customer survey data is collected.
- Marginal - survey data is collected, but no action plans are developed to respond in needed areas.
- Good – action plans are developed that are directly responsive to valid customer feedback or overall customer feedback is between 3 and 3.5 on a 5-point scale.
- Excellent – action plans are implemented and measurable progress or action is taken or overall customer feedback is between 3.5 and 4.0.
- Outstanding – improvements are achieved which directly respond to the survey data or overall customer feedback exceeds 4.0.

Performance Objective: 2.0 HR Systems and Processes

The Laboratory strives to provide efficient HR systems and processes.

Performance Criteria: 2.1

Human Resource systems and processes will optimize the delivery of services with respect to quality and efficiency.

Performance Assumptions:

The system or process reviewed will be characterized in one of three ways: (1) it currently provides optimal quality and efficiency, (2) it needs improvement and a project will be initiated or (3) it needs improvement but it is considered not cost-beneficial to initiate a project. The Laboratory will identify the status of the system when first reviewed, will report baseline data at that time, and will report the results of either the improvement or the decision to leave the system as is.

Performance Measure: 2.1.a (Weight: 34%)

The laboratory will evaluate HR systems and processes for improvements.

Performance Gradients:

- Unsatisfactory: little or no effort has been demonstrated towards achievement of the performance measure.
- Marginal: some effort is demonstrated, but the results fall short of the expectations for “good” gradient.
- Good: one or two major systems or processes are identified for review, baseline data has been taken, and, if action is initiated, there is measurable progress toward improvement.
- Excellent: if action was initiated, analysis against baseline data for the system or process improvement shows clear improvement or the system is streamlined, enhanced or eliminated or baseline data and the review show the systems meet our expectations.
- Outstanding: in addition to the significant improvements in “excellent”, the completion of the project is ahead of schedule and the expected results are achieved or analysis against baseline data indicates the systems are excellent.

Performance Objective: 3.0 Attraction and Retention of Qualified People.

SLAC will attract and retain highly qualified people by having a cost effective total compensation program competitive with the relevant job market and by initiating methodologies to attract and recruit qualified candidates.

Performance Criteria: 3.1 Total Compensation

Total compensation is assessed for competitiveness of its tangible and intangible elements.

Performance Assumptions:

SLAC will identify three significant positions from the various job families and benchmark these positions with our surrounding employment market. The benchmark positions will be compared to a small sample of the relevant market for total compensation that will include average salary, paid leave, holidays, health and welfare, education benefits, retirement benefits, and other intangibles. The intangibles might include health promotion activities and classes, employee assistance program, availability of childcare, internal employee recognition award programs.

Performance Measure: 3.1.a (Weight: 17%)

SLAC will compare the total compensation for its benchmark positions to those in the surrounding labor market.

Performance Gradient:

- Unsatisfactory – benchmark positions are not identified or are not compared to the market.

- Marginal – total compensation is more than 20% above or below the average market for the benchmarks.
- Good – total compensation is within 10% of the local market.
- Excellent – total compensation is within 5-10% of the local market.
- Outstanding – total compensation is within 5% of the local market.

Performance Criteria: 3.2 Attraction and Recruitment Methodologies

HR maximizes the use of attraction/recruitment methodologies to meet critical hiring goals.

Performance Assumptions:

SLAC Employment Services will identify critical positions that are defined as those with a target hire date negotiated between Employment Services and the hiring officer.

Performance Measure: 3.2.a (Weight: 17%)

SLAC Employment Services will utilize methodologies specifically designed to attract and recruit candidates for each critical position, to meet each target date.

Performance Gradient:

- Unsatisfactory – no activity is undertaken at all to meet the negotiated target date.
- Needs Improvement – actions are initiated by Employment Services but critical positions on the average are hired more than one month beyond the target date.
- Good – actions are initiated and critical positions on the average are hired between 3 weeks and one month after the targeted date.
- Excellent – actions are initiated and critical positions on the average are hired within one week after the target date.
- Outstanding – actions are initiated by Employment Services and critical positions on the average are hired before the target date.

Performance Area: COMMUNICATIONS and PUBLIC AFFAIRS

Performance Objective: 1.0

The SLAC Office for Communications will have systems in place to effectively communicate the mission of the laboratory both internally and externally and to support the scientific programs and achievements.

Performance Criteria: 1.1

The Office for Communications will maintain SLAC's position as a constructive participant with the general public, neighbors and media representatives. Provide information to the public on the laboratory's scientific programs and achievements. Conduct community relations programs with minimum impact on laboratory operations.

Performance Measure: 1.1a (Weight 70%)

The Office for Communications will provide appropriate staffing and resources for development of effective communication processes and informational materials. Community relations and outreach efforts will convey the laboratory mission, scientific programs and achievements.

Performance Criteria: 1.2

The Office for Communications will maintain SLAC's position as a constructive participant with staff members and the international scientific community. Provide information to the laboratory community on the laboratory's scientific programs and achievements.

Performance Measure: 1.2a (Weight 30%)

The Office for Communications will improve and develop effective internal processes for information dissemination and services to the laboratory community. Analyze and implement mechanisms to facilitate participation by members of the laboratory community.

Performance Assumptions:

The Office for Communications encompasses internal and external relations. External relations include liaison with DOE, Stanford University, local communities, media representatives and local educational institutions. Education programs are based on available funding each year. Internal areas include management of information channels (such as web-based information vehicles and staff newsletter) and support functions (including conference management and multimedia services).

Communications and Public Affairs used a track and trend gradient for FY00-FY01. The data collected may serve as a baseline. Public access to the laboratory can be demonstrated quantitatively (e.g. number of people on tours and at public functions, number of hits on public web pages). Qualitative evaluation may also be provided from visitor feedback for SLAC tours, web page comments and/or attendees at public functions.

Performance Gradient:

Composite score of quantifiable metrics developed jointly by the SLAC Office for Communications and OAK annually. The rating category will be subjectively determined by DOE/OAK in agreement with SLAC.

- | | |
|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Outstanding: | Results demonstrate improvements have occurred and more effective processes are in place to systematically achieve the performance measures. |
| Excellent: | Results demonstrate some improvements have occurred and effective processes are in place towards more consistently achieving the performance measures. |
| Good: | Results fall short of expectations for the Excellent gradient; however, some improvements have occurred and some processes are in place towards achieving the performance measures. |
| Marginal: | Results fall short of the expectations for the Good gradient; however, some effort has been made towards achieving the performance measures. |
| Unsatisfactory: | No demonstrated improvements and little or no effort expended to develop effective processes towards achievement of the performance measures. |

Performance Area: SAFEGUARDS and SECURITY

The objectives of the safeguards and security performance measures are to:

- reduce security incidents, property losses and theft;
- ensure the protection of proprietary information;
- ensure protection of government and personal property; and
- Ensure the health and safety of SLAC personnel and the general public.

Performance Objective: 1.0 Protection of Assets

Reduce the number of security incidents and loss amounts report and document steps taken to alter adverse activity. SLAC will conduct safeguards and security operations to ensure effective protection of proprietary information, personnel, property and the general public

Performance Criteria: 1.1

Through cost-effective utilization of tools and procedures, establish a Safeguards and Security program that minimizes incidents and loss amounts while providing data to track how SLAC is improving and to identify which elements need most attention.

Performance Measure: 1.1.a (Weight: 35%)

Maintain data on implementation of Safeguards and Security for:

- Incident Closures – consist of how SLAC is evaluating the incidents they have reported in a timely and effective manner.
- Corrective Action Status – identifies how well SLAC is responding to findings identified internal and external audit groups. Specifically identifies the findings having associated corrective action plans as well as the plans that are on schedule.
- Protective Force – Records of overtime and staffing levels are readily available to the DOE.

Performance Assumptions:

A site security plan, acceptable to DOE, has been developed, implemented and is updated annually.

- An event is a theft, or unaccounted for property as defined in the SLAC Site Security Plan.
- A security loss rate, specific to SLAC, can be developed in order to identify adverse activities regarding property accountability and allow redistribution or reallocation of safeguards and security resources to reverse identified areas experiencing increased loss of property.

Performance Gradient:

The performance gradient in this Measure 1.1.a shall be based on how effectively the contractor develops a meaningful set of objective criteria to implement the above data of Safeguards and Security in a form of a management tool that program elements that require attention.

Outstanding	90% - 100%	Contractor has documented excellent and meaningful data that address all applicable aspects of security incidents and loss criteria
Excellent	80% - 89%	Contractor has documented excellent and meaningful data that address 80% of security incidents and loss criteria
Good	70% - 79%	Contractor has documented meaningful data that address a majority (>60%) of security incidents and loss criteria
Marginal	60% - 69%	Contractor has been unsuccessful in documenting meaningful data, however there is evidence of a good-faith effort by the Contractor to do so.
Unsatisfactory	<60%	No evidence of a good-faith effort by the Contractor to obtain meaningful data in this area.

Performance Objective: 2.0 Self-Assessments

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 and aggressive correction.

Performance Criteria: 2.1 Internal Assessments

The SLAC safeguards and security program will perform comprehensive self-assessments of management systems, operational practices and internal controls as defined by applicable topical and sub-topical areas.

Performance Measure: 2.1.a S&S Self-Assessment (Weight: 30%)

An effective self-assessment program, meeting requirements of DOE Order 470.1, *Safeguards and Security Program*, Chapter X, and DOE Guide 470.1-2, *Safeguards and Security Survey and Self-Assessment Guide*, shall be in place to identify compliance related toward meeting self-assessment requirements of topical and sub-topical areas.

Performance Assumptions:

- A site security plan, acceptable to DOE, has been developed, implemented and is updated annually.
- The safeguards and security self-assessment program, as mutually agreed upon between SLAC and DOE, will address applicable topical and sub-topical areas as reflected in DOE Form 5634.1, *Safeguards and Security Survey Report*.

Performance Gradients:

Outstanding All surveys complete, accurate and timely

Excellent	99% - 80% complete, accurate and timely
Good	70% - 79% complete, accurate and timely
Marginal	60% - 69% complete, accurate and timely
Unsatisfactory	<60% complete, accurate and timely

Performance Criteria: 2.2 Corrective Action Planning

A deficiency management program will be in place to ensure corrective actions for discovered deficiencies are developed and completed in a timely fashion.

Performance Measure: 2.2.a Corrective Action Completion (Weight: 35%)

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

Performance Assumptions:

A corrective action plan will be considered completed at the time that the action is documented and completed on schedule.

When a corrective action plan is dependent upon an action (other than validation), that must be completed by an outside agency that SLAC has no direct control over the subject corrective action will not be tabulated as part of the overall percentage.

If a corrective action plan has multiple milestones and the final milestone is scheduled for completion on a date beyond the assessment period, credit for the corrective action plan being on schedule will be awarded if the last milestone that is scheduled for completion during this assessment period has been completed on schedule.

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 Gradients:

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