SLAC MEMORANDUM

Business Services Division, MS 02
jlj@slac.stanford.edu
Phone: 4245
FAX: 5360

September 25, 2003

TO: Distribution

FROM: Jerry L. Jobe

SUBJECT: SLAC Contract Modification Number M454

Attached is a signed copy of the SLAC Contract Modification Number M454 dated September 16, 2003 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 1

2. AMENDMENT/MODIFICATION NO. M454	3. EFFECTIVE DATE See Block 16C	4. REQUISITION/PURCHASE REQ. NO.	**5. PROJECT NO.** *(If applicable)*
6. ISSUED BY CODE		7. ADMINISTERED BY *(If other than Item 6)*	
U.S. DOE/NNSA Service Ctr. Oakland Office 1301 Clay Street, 700N Oakland, CA 94612			

8. NAME AND ADDRESS OF CONTRACTOR *(No., street, country, State, and ZIP Code)*	(.)	9A. AMENDMENT OF SOLICITATION NO.
Director of Sponsored Projects Stanford University 651 Serra Street – Room # 260 Stanford, CA 94305-4125		
Mail To:		9B. DATED *(SEE ITEM 11)*
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	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC03-76SF00515/M339
		10B. DATED *(SEE ITEM 13)*
CODE FACILITY CODE		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)*

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: Mutual Agreement of 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 2 copies to the issuing office.

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

The purpose of this modification is to replace FY2003 Performance Criteria and Measures for Equal Opportunity and Affirmative Action in its entirety. Delete Appendix B- Performance Criteria and Measures for FY2003 Equal Opportunity and Affirmative Action pages 28 and 29, and replace with attached revised FY2003 Performance Criteria and Measures for Equal Opportunity and Affirmative Action.

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)*	16A. NAME AND TITLE OF CONTRACTING OFFICER *(Type or print)*
ANITA GILDEA-PHILLIPS SENIOR CONTRACT OFFICER	**Tyndal L. Lindler** **Contracting Officer**

15B. CONTRACTOR/OFFEROR	15C. DATE SIGNED	16B. UNITED STATES OF AMERICA	**16C. DATE SIGNED**
(Signature of person authorized to sign)	9.3.03	*(Signature of Contracting Officer)*	9/16/03

FY 2003 EEO Performance Measure

Performance Area: **EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION**
Cumulative Available Points 15

Performance Objective #1 **Equal Employment Opportunity**

Maintain effective internal program controls to ensure SLAC establishes and maintains an effective Equal Employment Opportunity Program through accomplishment of good faith efforts.

Performance Criteria: **1.1**

The Stanford Linear Accelerator Center develops and maintains an Equal Employment / Affirmative Action Program that meets contractual requirements and demonstrates good faith efforts to improve the representation of minorities and/or women in the workforce.

Performance Measure: 1.1.a **Available Points: 15**

An Annual Strategic Plan will be evaluated to determine the degree to which outlined goals have been achieved.

Performance Assumptions:

Good faith efforts will be taken to improve the representation of minorities and/or women in the workforce.

An annual Strategic Plan will be developed which states reasonably attainable and tangibly measurable short-term goals for improvement in identified and targeted high priority underutilized occupational areas (i.e., significantly underutilized occupations in which hiring is expected during the performance period).

The Strategic Plan will be submitted annually, within the first quarter of the rating period, for DOE OAK review and concurrence.

Self-assessment and DOE evaluation will be based upon the degree to which Strategic Plan goals are achieved during the rating period.

Self-assessment will address topics such as:

- Recruitment selection and retention accomplishments and efforts relevant to improved representation of minorities and women in high priority underutilized occupational areas
- Workforce data, a year apart, depicting high priority job group tables which list employment by ethnicity and gender and which identify the representation and level of utilization for minorities and women in high priority underutilized occupational areas
- Coupling of outreach and recruitment efforts in high priority occupational areas
- Outcomes and impacts of actions/accomplishments, and
- Good faith efforts to accomplish Strategic Plan goals.

FY 2003 EEO Performance Measure

Performance Gradient:

Outstanding: In addition to criteria for Excellent,
There is measurably significant placement of minorities or women in the high priority underutilized occupational areas (as identified in the annual Strategic Plan).

Excellent: In addition to criteria for Good,

1. The majority of Strategic Plan goals have been accomplished; or
2. There is measurable progress in the representation of minorities or women in high priority underutilized occupational areas (as identified in the annual Strategic Plan).

Good:

1. At least 50% of stated Strategic Plan goals are accomplished; or
2. There is measurable progress in the representation of minorities or women through special initiatives/efforts not captured in the Strategic Plan.

Marginal: Some effort is demonstrated; however, results fail to fully meet the Good Gradient criteria.

Unsatisfactory: Demonstrates little or no effort toward achievement of the Performance Measure.

SLAC MEMORANDUM

Business Services Division, MS 02
jlj@slac.stanford.edu
Phone: 4245
FAX: 5360

June 16, 2003

TO: Distribution

FROM: Jerry L. Jobe

SUBJECT: SLAC Contract Modification Number M448

Attached is a signed copy of the SLAC Contract Modification Number M448 dated May 20, 2003 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

06-13-03P02:49 RCVD

EXCEPTION TO SF 30, APPROVED BY NARS 5/79

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT	1. CONTRACT ID CODE	PAGE OF PAGES 1 of 1

2. AMENDMENT/MODIFICATION NO. M448	3. EFFECTIVE DATE See Block 16C	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. *(If applicable)*
6. ISSUED BY CODE U.S. DOE/NNSA Service Ctr. Oakland Office 1301 Clay Street, 700N Oakland, CA 94612		7. ADMINISTERED BY *(If other than Item 6)*	

8. NAME AND ADDRESS OF CONTRACTOR *(No., street, country, State, and ZIP Code)*	(,)	9A. AMENDMENT OF SOLICITATION NO.
Director of Sponsored Projects Stanford University 651 Serra Street – Room # 260 Stanford, CA 94305-4125		
Mail To:		9B. DATED *(SEE ITEM 11)*
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	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC03-76SF00515/M339
		10B. DATED *(SEE ITEM 13)*
CODE / FACILITY CODE		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.

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X	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: Mutual agreement of 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 2 copies to the issuing office.

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

Delete Appendix B- Performance Criteria and Measures for FY 2003 Environment, Safety and Health pages 7 thru 27 and replace with attached revised FY 2003 Performance Criteria and Measures for Environment, Safety and Health..

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)*	16A. NAME AND TITLE OF CONTRACTING OFFICER *(Type or print)*
ANITA GILDEA-PHILLIPS SENIOR CONTRACT OFFICER	Tyndal L. Lindler, Contracting Officer U.S. Dept. of Energy
15B. CONTRACTOR/OFFEROR *(Signature of person authorized to sign)*	15C. DATE SIGNED 5.19.03
16B. UNITED STATES OF AMERICA *(Signature of Contracting Officer)*	16C. DATE SIGNED 5/20/03

BUSINESS MANAGEMENT

Performance Area: ENVIRONMENT, SAFETY & HEALTH

Performance Objective: 1.0 (Weight: 17%)

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

Performance Criterion: 1.1

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

Performance Measure: 1.1.a (Weight: 3%)

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 FY03 the performance period is October 1, 2002 through September 30, 2003.
- 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 any required beryllium sampling is conducted 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 any required beryllium sampling is conducted 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, 2002.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 2002.
- A list of Vulnerable Systems is prepared by October 31, 2002.
- 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.
- 90% of any required beryllium sampling is conducted during the performance period.
- The Beryllium Program (developed in complicance with the Beryllium Rule 10 CFR 850) is maintained as applicable to the current needs of SLAC. (Although no Beryllium work is planned, certain minimum Program elements must be maintained in cluding at least the following:
    - Air sampling of all Be operations that occur (none are planned).
    - Periodic review of medical surveillance to ensure it is up-to-date (includes offering chest x-rays to Be workers).
    - Clean up and discovered surface contaminatin.
    - Maintain list of former Be workers and current Be workers.
    - Maintain emergency response procedures in case of any Be emergencies.
    - Continue electronic reporting of data to EH (personnel, exposure and medical data be reported to Be Registry in electronic 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: 3%)**

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 FY03 the performance period is July 1, 2002 through June 30, 2003.

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 FY03 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 Cas2es) 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.

Performance Measure: 1.3.a **(Weight: 3%)**

ORPS-reportable occurences of SLAC-based occupational external radiation doses, intakes of radioactivity, or skin contamination are managed and minimized.

Performance Assumption:

1. For FY03, the performance period is January 1, 2002 to December 31, 2002;
2. Each ORPS-reportable occurrence of SLAC-based occupational external radiation doses, intakes of radioactivity, or skin contamination is considered a reportable occurrence.
3. The performance gradient scoring will be based on the highest attained gradient level of those listed below.
4. The number of non-radiological workers who exceed 100 mrem Total Effective Dose Equivalent (TEDE) may be considered in the final scoring of this performance measure.

Performance Gradient:

Outstanding:	The number of reportable occurences is equal to no more than zero (0).
Excellent:	The number of reportable occurences is equal to no more than one (1).
Good:	The number of reportable occurences is equal to no more than two (2).
Marginal:	The number of reportable occurences is equal to no more than four (4).
Unsatisfactory:	The number of reportable occurrences is more than four (4).

Performance Measure: 1.3.b **(Weight: 2%)**

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.

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

Radioactive materials, including contaminated and/or activated materials, are controlled at all times.

Performance Assumption:

1. Radioactive material for the purpose of this performance measure is defined as only the radioactive material and any radioactive material shipping considerations over which SLAC has direct control.

2. For FY2003, the performance period is October 1, 2002 through September 30, 2003.

3. 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 or less than 1.0.
Excellent:	The weighted number of occurrences is greater than 1.0 and less than or equal to 2.0.
Good:	The weighted number of occurrences is greater than 2.0 and less than or equal to 3.
Marginal:	The weighted number of occurrences is greater than 3.0 and less than or equal to 4.0
Unsatisfactory:	The weighted number of occurrences is greater than 4.0.

Performance Criterion: 1.5

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

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

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 (Weight: 3%)

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

Performance Criterion: 2.1

Environmental violations and releases will be adequately controlled.

Performance Measure: 2.1.a (Weight: 3%)

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, 2002 to September 30, 2003.

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 (Weight: 13%)

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

Performance 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 the SLAC 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: 3%)

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

Performance Assumption:

1. The performance period is October 1, 2002 through September 30, 2003.

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 65% by the year 2005, using 1993 as a baseline; and,
   - Recycle 50% 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	>62	≥ 43
Excellent	56 to 61	37 to 42
Good	50 to 55	31 to 36
Marginal	44 to 49	25 to 30
Unsatisfactory	≤ 43	≤24

Performance Criterion: 3.2

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

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

Hazardous waste generated will be managed by the Waste Management Department 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 does 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. 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.

4. Class 1 and Class II violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.

5. 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.

6. The performance period is October 1, 2002 through September 30, 2003.

Performance Measure: 3.2.b **(Weight: 2%)**

Low-level waste generated will be managed by the Radioactive Waste and Materials Group of the Operational Health Physics Department 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:

1. The non-compliance levels for this performance measure are defined as:

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.

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

3. The performance period is October 1, 2002 through September 30, 2003.

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: 7%)**

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):

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):

SLAC and DOE will agree on the tasks to be performed, percent of available budget spent and the number of points to be awarded for each. 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):

Project management documents must be developed each year to enable DOE/OAK to plan and manage the SLAC restoration project, in concert with other DOE/OAK environmental management projects. The timely development of the following deliverables will be measured:

- Revised baseline requirements -

  11/30/02/ Baseline summary level schedules for FY03 to FY07 including level 1 milestones. (2 & ½ points).

  03/31/03 Baseline schedule include Work Breakdown Structure (WBS), Gantt Chart with schedule, milestone schedule, critical path schedule, and cost estimates. (Note: DOE is responsible for narrative and release site table). This input is required to support Level 1 Baseline Change Proposal and Planning Module Update (2 & ½ points).

- FY04/FY05 Multi-Year Work Plan (MYWP) – The MYWP shall include detailed schedules of the work to be performed over a two-year period, milestone schedule, and a table that provides monthly Budgeted Cost of Work Scheduled (BCWS). Similar to the baseline, DOE is responsible for the narrative and release site table. Inputs must be developed by October 31, 2003 (2&1/2 points).
- Monthly Budget Analysis Reports – to include monthly and cumulative year-to-date tracking of expenditures, comparison of expenditures (ACWP) to planned work (BCWS) at the project level, and commitments at the WBS and project level are required to be provided by the 20th of the following month. Any significant variances of negative 10% or greater with a minimum dollar value of $20,000 between the budget and actual (or estimated) expenditures for any WBS as identified by the DOE project manager should be analyzed and reported within fifteen calendar day from the date of notification by the DOE project manager. (2&1/2 points).

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.

Strategic Integrated Safety Management System (ISMS) Performance Measure

Performance Area: **ENVIRONMENT, SAFETY & HEALTH**

Strategic Integrated Safety Management System (ISMS) Performance Measure

The following ISMS performance objectives, criterion and metrics were derived from the tasks and milestones in the Corrective Active Plan (CAP) submitted by the Laboratory and agreed to by DOE in response to the Judgments of Need and conclusions identified in the February 2003 DOE Accident Investigation Board final report. The ISMS performance measure is fundamentally linked to the seven Guiding Principles and five Core Functions of Integrated Safety Management System (ISMS) and the specific DOE/Stanford University contract provision (Article 42, DEAR 970.5204-2) that requires SLAC to integrate environment, safety and health into work planning and execution. For the purposes of the contract and this strategic ISMS performance measure, "safety" encompasses environment, safety, and health including pollution prevention and waste minimization.

The CAP addresses the need for SLAC to develop effective performance evaluation standards to promote line management accountability for safety. The standards will derive from the Laboratory's ES&H goals and objectives and flow down through line management to employees through performance evaluations.

The CAP also addresses the need to develop and implement processes for work planning and control that ensure that task-specific hazards are analyzed and hazard controls are in place prior to authorizing and conducting work. The criteria for conducting and documenting task-specific hazard analyses will be robust and comprehensive enough to evaluate routine and high hazard activities conducted at the site.

Performance Objectives: **4.0** **(Weight: 67%)**

SLAC will develop effective performance evaluation standards to ensure greater line management responsibility and accountability for safety.

SLAC will develop and implement processes for work planning and control that: define the scope of work; establish criteria for performing task-specific hazards analyses; develop procedures for implementing task-specific hazards analyses; authorize work; provide feedback to and from the workers and, ensure that line management is actively engaged in the process for controlling hazards.

SLAC will develop a robust and comprehensive line organization self-assessment program to effectively assess the Laboratory's overall ES&H performance on implementation of ISMS in all work activities and to facilitate continuous improvement.

Performance Criteria: 4.1

SLAC will enhance the process for developing ISMS line management responsibility to promote greater accountability for performance in environment, safety and health. SLAC ES&H goals will be developed and flowed down to SLAC line management and employees.

SLAC will explore use of a performance evaluation system wherein workers and safety coordinators evaluate their managers and supervisors on safety effectiveness.

SLAC will develop, track and provide reports to DOE on safety performance metrics in the form of leading indicators to supplement the current site-specific and Office of Science lagging indicators of ES&H performance.

Performance Measure: 4.1.a (Weight: 25%)
Points

A. Line Management Responsibility and Accountability for Safety

Milestone 1 WF 0.10

Due Date: May 1, 2003

The SLAC Associate Director of Environment, Safety, and Health (ES&H) will discuss with the Laboratory Directorate and Environment, Safety and Health Coordinating Council (ES&HCC) the concept of identifying and utilizing ES&H goals for the improvement of SLAC ES&H performance requirements.

Milestone 2 WF 0.50

Due Date: June 1, 2003

The Associate Director of ES&H and the ES&HCC will establish a Vertical Integration Working Group (VIWG) that will develop a list of criteria needed to define an effective employee performance evaluation process that promotes line management accountability for safety from top to bottom. A deliverable within the milestone will be a requirement for providing several example models of ES&H performance standards. Line management in developing safety performance requirements can use these model standards. The VIWG will include employees and all levels of management, including two Associate

Directors. The Associate Director of ES&H will appoint a Chairperson who will develop the VIWG Charter.

Milestone 3

Due Date: July 1, 2003 **WF 0.20**

VIWG will define an ES&H process for communicating ES&H goals that promote line management accountability for ES&H. The ES&HCC and Directorate will approve this process.

Milestone 4 **WF 0.20**

Line Management Self-Assessment Program: This line management responsibility and accountability component of the ISMS startegic performance measure addresses the development of a robust and effective line organization self-assessment program. SLAC is in the process of developing and tracking safety performance metrics in the form of leading indicators to supplement the current site-specific and Office of Science lagging indicators of ES&H performance. A report summarizing ES&H performance by the SLAC ES&H Division and line organizations will be submitted to DOE on a quarterly basis. In FY03, SLAC will continue to focus on developing additional performance metrics and tracking the Laboratory's progress against those safety performance metrics.

On a quarterly basis, each SLAC Associate Director will review and measure progress against their individual ES&H expectations with the Environment, Safety and Health Coordinating Council (ES&HCC) with focus on the development of metrics for FY04. The deliverables to DOE are the quarterly divisional safety reports and ES&H Division reports, with specific performance tracking data for the identified leading and lagging metrics that will be included in the records of the ES&HCC meetings and will provide data for establishing a baseline for development of an FY04 performance gradient.

Schedule: The SLAC ES&HCC will continue to receive quarterly divisional safety reports with the quarterly ES&H Division's report. The SLAC-wide performance will be provided to the Director and DOE on at least a quarterly basis.

Milestone 4a (25%)

Q1FY03 Metrics Evaluated and Reported to DOE (10/1/02-12/31/02)

Due Date: First Q2FY03 ES&HCC Meeting.

Milestone 4b (25%)

Q2FY03 Metrics Evaluated and Reported to DOE (1/1/03-3/31/03)

Due Date: First Q3FY03 ES&HCC Meeting.

Milestone 4c (25%)

Q3FY03 Metrics Evaluated and Reported to DOE (4/1/03-6/30/03)

Due Date: First Q4FY03 ES&HCC Meeting.

Milestone 4d (25%)

Q4FY03 Metrics Evaluated and Reported to DOE (7/1/03-9/30/03)

Due Date: September 30, 2003

Performance Assumptions:

1. Rating period is October 1, 2002 to September 30, 2003 (FY03).

Performance Gradients:

Outstanding:	28-30 points
Excellent:	26-27 points
Good:	21-25 points
Marginal:	18-20 points
Unsatisfactory:	<18 points

Performance Criteria: 4.2

SLAC will enhance the process for analysis of routine work activities, identification of hazards and controls necessary to mitigate or eliminate hazards, and identification of opportunities to improve safety.

SLAC will enhance the hazard analysis process by defining the criteria for performing task-specific hazard analyses, providing tools to facilitate a comprehensive and workable hazard analyses process, and preparing new ES&H ISMS-focused training programs for employees and supervisors.

SLAC will conduct a site-wide safety standdown to communicate lessons learned and corrective actions resulting from the Type B accident investigation of the January 28, 2003 ladder-related accident at Building 514.

Performance Measure: 4.2.a (Weight: 42%)

B. Work Planning and Controls

Milestone 1 **WF 0.10**

Due Date: May 1, 2003

The Laboratory Director will establish a Hazard Analysis Working Group (HAWG).

Milestone 2 **WF 0.10**

Due Date: May 15, 2003

The Laboratory Director will appoint a Chairperson to the HAWG. In coordination with the Associate Director of Environment, Safety, and Health, the Lead will develop a charter with specific deliverables for the working group.

Milestone 3 **WF 0.80**

Due Date: August 30, 2004

Milestone 3a, 10%

Evaluate hazard analysis systems used by other DOE laboratories and other organizations by June 15, 2003.

Milestone 3b, 20%

Prepare a plan to complete Task 1. The plan will describe the enhanced hazard analysis process for SLAC. This plan will include required activities, responsible parties, schedule, and cost by September 1, 2003.

Milestone 3c, 20%

Define when and how a hazard analysis is to be completed within this corrective action plan by September 1, 2003.

Milestone 3d, 50%

Establish criteria for activities that fall into high-hazard categories and recommend tools for determining what constitutes a high hazard by September 1, 2003.

Performance Assumptions:

1. Rating period is October 1, 2002 to September 30, 2003 (FY 03).
2. DOE may participate in quarterly ES&HCC meetings involving self-assessment program metrics evaluated and reported. DOE participation will be limited to one individual who will act as an observer only.
3. SLAC will evaluate and report on the ISMS Strategic Performance Measure as part of the annual Self -Assessment process.
4. If DOE and SLAC determine that a performance metric is not an appropriate indicator of the Laboratory's safety performance, SLAC will identify a substitute metric(s) to be evaluated for as much of FY03 as possible from the list of leading indicators provided in the ES&H Quarterly Report for the third quarter of FY02. SLAC will notify DOE of the proposed change(s) in metrics.

5. The final ratings for this strategic ISMS performance measure will be based on the calculated points (using weighting factors) for each Performance Measure, 4.1a (Line Management Responsibility and Accountability for Safety) and 4.2a. (Work Planning and Control).

Performance Gradient

Outstanding:	48-50	points
Excellent:	45-47	points
Good:	40-44	points
Marginal:	35-39	points
Unsatisfactory:	< 35	points

SLAC MEMORANDUM

Business Services Division, MS 02
jlj@slac.stanford.edu
Phone: 4245
FAX: 5360

March 18, 2003

TO: Distribution

FROM: Jerry L. Jobe

SUBJECT: SLAC Contract Modification Number M431

Attached is a signed copy of the SLAC Contract Modification Number M431 dated March 14, 2003 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 1

2. AMENDMENT/MODIFICATION NO.	3. EFFECTIVE DATE	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. *(If applicable)*
M431	10/01/02		

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

8. NAME AND ADDRESS OF CONTRACTOR *(No., street, country, State, and ZIP Code)*	(.)	9A. AMENDMENT OF SOLICITATION NO.
Director of Sponsored Projects Stanford University 651 Serra Street – Room # 260 Stanford, CA 94305-4125		
Mail To:		9B. DATED *(SEE ITEM 11)*
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	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC03-76SF00515/M339
		10B. DATED *(SEE ITEM 13)*
CODE / FACILITY CODE		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)*
N/A

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: Mutual 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 2 copies to the issuing office.

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 2003 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)*	16A. NAME AND TITLE OF CONTRACTING OFFICER *(Type or print)*
ANITA GILDEA-PHILLIPS, SR. CONTRACT OFFICER	Tyndal L. Lindler, Contracting Officer U.S. Department of Energy, Oakland Operations Office

15B. CONTRACTOR/OFFEROR	15C. DATE SIGNED	16B. UNITED STATES OF AMERICA	16C. DAT SIGNED
(Signature of person authorized to sign)	2/4/03	*(Signature of Contracting Officer)*	3/14/0

PERFORMANCE OBJECTIVES, CRITERIA & MEASURES

for

Fiscal Year 2003

Contents **Page**

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 and particle astrophysics, 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; biological and environmental research; 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: 15%)**

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: 25%)**

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**
(Basic Energy Science: Biological and Environmental Research)

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: 15%)**

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; operate a major Synchrotron Light Source for use in materials science and other discipline; 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: 25%)**

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 Basic Energy Science (Synchrotron Radiation) reviews may be carried out separately.

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 = 41%)

Performance Criterion: 1.1

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

Performance Measure: 1.1.a (Weight: 8%)

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 FY03 the performance period is October 1, 2002 through September 30, 2003.
- 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 any required beryllium sampling is conducted 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 any required beryllium sampling is conducted 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, 2002.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 2002.
- A list of Vulnerable Systems is prepared by October 31, 2002.
- 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.
- 90% of any required beryllium sampling is conducted during the performance period.
- The Beryllium Program (developed in complicance with the Beryllium Rule 10 CFR 850) is maintained as applicable to the current needs of SLAC. (Although no Beryllium work is planned, certain minimum Program elements must be maintained in cluding at least the following:
    - Air sampling of all Be operations that occur (none are planned).
    - Periodic review of medical surveillance to ensure it is up-to-date (includes offering chest x-rays to Be workers).
    - Clean up and discovered surface contaminatin.
    - Maintain list of former Be workers and current Be workers.
    - Maintain emergency response procedures in case of any Be emergencies.
    - Continue electronic reporting of data to EH (personnel, exposure and medical data be reported to Be Registry in electronic 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: 8%)**

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 FY03 the performance period is July 1, 2002 through June 30, 2003.

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 FY03 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 Cas2es) 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.

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

ORPS-reportable occurences of SLAC-based occupational external radiation doses, intakes of radioactivity, or skin contamination are managed and minimized.

Performance Assumption:

1. For FY03, the performance period is January 1, 2002 to December 31, 2002;

2. Each ORPS-reporable occurrence of SLAC-based occupational external radiation doses, intakes of radioactivity, or skin contamination is considered a reportable occurrence.

3. The performance gradient scoring will be based on the highest attained gradient level of those listed below.

4. The number of non-radiological workers who exceed 100 mrem Total Effective Dose Equivalent (TEDE) may be considered in the final scoring of this performance measure.

Performance Gradient:

Outstanding:	The number of reportable occurences is equal to no more than zero (0).
Excellent:	The number of reportable occurences is equal to no more than one (1).
Good:	The number of reportable occurences is equal to no more than two (2).
Marginal:	The number of reportable occurences is equal to no more than four (4).
Unsatisfactory:	The number of reportable occurrences is more than four (4).

Performance Measure: 1.3.b (Weight: 3%)

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.

Performance Measure: 1.4.a **(Weight: 4%)**

Radioactive materials, including contaminated and/or activated materials, are controlled at all times.

Performance Assumption:

1. Radioactive material for the purpose of this performance measure is defined as only the radioactive material and any radioactive material shipping considerations over which SLAC has direct control.

2. For FY2003, the performance period is October 1, 2002 through September 30, 2003.

3. Each unusual occurrence as defined in SLAC Workbook for Occurrence Reporting that involves will have a weighting factor of 1.5.

Performance Gradient:

Outstanding:	The weighted number of occurrences is equal to or less than 1.0.
Excellent:	The weighted number of occurrences is greater than 1.0 and less than or equal to 2.0.
Good:	The weighted number of occurrences is greater than 2.0 and less than or equal to 3.
Marginal:	The weighted number of occurrences is greater than 3.0 and less than or equal to 4.0
Unsatisfactory:	The weighted number of occurrences is greater than 4.0.

Performance Criterion: 1.5

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

Performance Measure: 1.5.a **(Weight: 3%)**

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: 4%)**

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: 4%)**

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: 3%)

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 Criterion: 2.1 (Total Weight = 6%)

Environmental violations and releases will be adequately controlled.

Performance Measure: 2.1.a (Weight: 6%)

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 = 20%)

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: 4%)

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

Performance Assumption:

1. The performance period is October 1, 2002 through September 30, 2003.

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 65% by the year 2005, using 1993 as a baseline; and,
   - Recycle 50% 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	>62	≥ 43
Excellent	56 to 61	37 to 42
Good	50 to 55	31 to 36
Marginal	44 to 49	25 to 30
Unsatisfactory	≤ 43	<24

Performance Criterion: 3.2
SLAC will manage hazardous and radioactive wastes in a manner that meets regulatory requirements and is cost effective.

Performance Measure: 3.2.a **(Weight: 4%)**

Hazardous waste generated will be managed by the Waste Management Department 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 does 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. 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.

4. Class 1 and Class II violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.

5. 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.

6. The performance period is October 1, 2002 through September 30, 2003.

Performance Measure: 3.2.b **(Weight: 4%)**

Low-level waste generated will be managed by the Radioactive Waste and Materials Group of the Operational Health Physics Department 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:

1. The non-compliance levels for this performance measure are defined as:

   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.

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

3. The performance period is October 1, 2002 through September 30, 2003.

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: 8%)**

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, 2002, 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):

Project management documents must be developed each year to enable DOE/OAK to plan and manage the SLAC restoration project, in concert with other DOE/OAK environmental management projects. The timely development of the following deliverables will be measured:

- Revised baseline requirements -
  11/30/02/ Baseline summary level schedules for FY03 to FY07 including level 1 milestones. (2 & ½ points).

03/31/03 Baseline schedule include Work Breakdown Structure (WBS), Gantt Chart with schedule, milestone schedule, critical path schedule, and cost estimates. (Note: DOE is responsible for narrative and release site table). This input is required to support Level 1 Baseline Change Proposal and Planning Module Update (2 & ½ points).

- FY04/FY05 Multi-Year Work Plan (MYWP) – The MYWP shall include detailed schedules of the work to be performed over a two-year period, milestone schedule, and a table that provides monthly Budgeted Cost of Work Scheduled (BCWS). Similar to the baseline, DOE is responsible for the narrative and release site table. Inputs must be developed by October 31, 2003 (2&1/2 points).
- Monthly Budget Analysis Reports – to include monthly and cumulative year-to-date tracking of expenditures, comparison of expenditures (ACWP) to planned work (BCWS) at the project level, and commitments at the WBS and project level are required to be provided by the 20th of the following month. Any significant variances of negative 10% or greater with a minimum dollar value of $20,000 between the budget and actual (or estimated) expenditures for any WBS as identified by the DOE project manager should be analyzed and reported within fifteen calendar day from the date of notification by the DOE project manager. (2&1/2 points).

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

Performance Area: **ENVIRONMENT, SAFETY & HEALTH**

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 System (ISMS) and the specific DOE/Stanford University contract provision (Article 42, DEAR 970.5204-2) that requires SLAC to integrate environment, safety and health into work planning and execution. For the purposes of the contract and this process

performance measure, "safety" encompasses environment, safety, and health including pollution prevention and waste minimization.

The SLAC Safety Management System (SMS) document that is reviewed and updated annually by DOE and SLAC describes how the Laboratory establishes, documents, and implements safety performance objectives, performance measures and commitments in response to DOE program and budget execution guidance while maintaining the integrity of the SMS. The implementation of the DOE annual review process for evaluating the overall effectiveness of ISMS implementation at SLAC is described in detail below.

Performance Objective: 4.0

SLAC effectively integrates ISMS 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 = 33%)

Performance Criteria: 4.1

SLAC systematically integrates the Integrated Safety Management System (ISMS) seven 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: 33%)

A. ISMS Reviews of Management Systems: The DOE Annual Review process for demonstrating accomplishment of the performance objective will be based on two jointly conducted Integrated Safety Management (ISMS) reviews by DOE and SLAC of 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 select for each review a safety or environmental management system, organization, activity/task or functional area 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 each from DOE and SLAC and led by DOE. At a minimum, the review team will include a representative from the Stanford Site Office (SSO), an OAK/NNSA 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, DOE headquarters personnel or SLAC line organization representatives may be also included on the review team as members or to provide additional technical support if appropriate based on the scope and complexity of the reviews. The review team members are expected to either have demonstrated knowledge of ISMS or to have received training prior to the beginning of the review.

Although the Annual Review Process will be conducted jointly by DOE and SLAC, the results of the ISMS reviews will be used by DOE to independently document completion of the DOE Annual Review for determining the overall effectiveness of ISMS implementation in work planning and execution. SLAC also may choose to independently use the results from the ISMS reviews for the Laboratory's annual self-assessment report on SLAC's performance against the ISMS process performance measure.

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

Performance Assumptions:

1. Rating period is October 1, 2002 to September 30, 2003 (FY03).
2. SLAC will independently incorporate the results from the ISMS reviews into the Laboratory's annual self-assessment report on all performance measures.

Performance Gradients:

The gradients will be based on an assessment of the effectiveness of performance against the seven elements described in Section 5 of the SLAC Safety Management System (SLAC-I-720-0A00B-001). These elements are implementation of ISMS:

1. Guiding Principles 1 and 2;
2. Guiding Principle 3;
3. Guiding Principle 4 and Core Function 1;
4. Guiding Principle 5;
5. Guiding Principle 6 and Core Functions 2 and 3;
6. Guiding Principle 7 and Core Function 4;
7. Core Function 5.

Each review will be scored on its effectiveness in implementing each ISMS element, that is, effective or not effective. The review will then be given an overall rating according to the following:

Outstanding:	at least 6 of ISMS 7 elements demonstrated to be effectively implemented
Excellent:	at least 5 of 7 ISMS elements demonstrated to be effectively implemented
Good:	at least 4 of 7 ISMS elements demonstrated to be effectively implemented

Marginal: at least 3 of 7 ISMS elements demonstrated to be effectively implemented
Unsatisfactory: < 3 of 7 ISMS elements demonstrated to be effectively implemented

The final overall rating for this component of the ISMS process performance measure will be determined as the average of the overall ratings from both reviews.

B. Line Self-Assessment Program: The second component of the ISMS process performance measure is the development of a robust and effective line self-assessment program. SLAC is in the process of developing and tracking safety performance metrics in the form of leading indicators to supplement the current site-specific and Office of Science lagging indicators of performance. A report summarizing SLAC ES&H performance by the ES&H Division and the SLAC line organizations throughout the site will be submitted to DOE on a quarterly basis. In FY03, SLAC will continue to focus on developing additional performance metrics and tracking the Laboratory's progress against those safety performance metrics.

On a quarterly basis, each SLAC Associate Director will review and measure progress against their individual ES&H expectations with the Environment, Safety & Health Coordinating Council (ES&HCC) with focus on the development metrics for FY04. The deliverables to DOE are the quarterly divisional safety reports and ES&H Division reports, with specific performance tracking data for the identified leading and lagging metrics that will be included in the records of the ES&HCC meetings and will provide data for establishing a baseline for development of an FY04 performance gradient. [GP #1-7; CF #1-5]

Schedule: The SLAC ES&HCC will continue to receive quarterly divisional safety reports with the quarterly ES&H Division's report including a summary of SLAC-wide performance for the metrics identified below as "Proposed Metrics for FY04 Process Performance Measure (4.0)." The SLAC-wide performance will be provided to the Director and DOE on at least a quarterly basis.

Milestone 1: Q1FY03 Metrics Evaluated and Reported to DOE (10/1/02-12/31/02)
Due Date: First Q2FY03 ES&HCC Meeting.
Status: Open

Milestone 2: Q2FY03 Metrics Evaluated and Reported to DOE (1/1/03-3/31/03)
Due Date: First Q3FY03 ES&HCC Meeting.
Status: Open

Milestone 3: Q3FY03 Metrics Evaluated and Reported to DOE (4/1/03-6/30/03)
Due Date: First Q4FY03 ES&HCC Meeting.

Status: Open

Milestone 4: Q4FY03 Metrics Evaluated and Reported to DOE (7/1/03-9/30/03)

Due Date: First Q1FY04 ES&HCC Meeting.

Status: Open

Milestone 5: DOE and SLAC finalize FY04 Process Performance Measure and Gradients

Due Date: 11/1/03.

Status: Open

Performance Assumptions:

1. Rating period is October 1, 2002 to September 30, 2003 (FY 03).
2. DOE may participate in quarterly ES&HCC meetings involving metrics evaluated and reported. DOE participation will be limited to one individual who will act as an observer only.
3. The schedule provides a basis for monitoring the progress toward the objective of establishing an FY04 performance gradient for assessing the Laboratory's implementation of the ISMS performance objectives.
4. The final rating is based on the completion of all deliverables identified in the "Schedule" section.
5. SLAC will evaluate and report on the ISMS Process Performance Measure as part of the annual Self -Assessment process.
6. If DOE and SLAC determine that a performance metric is not an appropriate indicator of the Laboratory's safety performance, SLAC will identify a substitute metric(s) to be evaluated for as much of FY03 as possible from the list of leading indicators provided in the ES&H Quarterly Report for the third quarter of FY02. SLAC will notify DOE of the proposed change(s) in metrics
7. The final overall rating for this process performance measure will be based on the aggregate results from the two ISMS reviews and the Laboratory's progress on the Self-Assessment program. Results from program/project reviews, self-assessments, ongoing DOE Operational Awareness activities, For Cause reviews by DOE and any external reviews that provide additional supporting evidence of management system improvements or breakdowns may be considered in the final rating for this process measure.

Performance Gradient

Outstanding:	Evaluation and reporting on 90% or more of metrics completed as scheduled.
Excellent:	Evaluation and reporting on 80%-89% of metrics completed as scheduled.

Good:	Evaluation and reporting on 70%-79% of metrics completed as scheduled.
Marginal:	Evaluation and reporting on 60%-69% of metrics completed as scheduled.
Unsatisfactory:	Evaluation and reporting on 60% or less of metrics completed as scheduled.

[NOTE: Only the above section will be incorporated into the DOE/Stanford University Contract Modification. The following section "**Proposed Metrics for FY04 Process Performance Measure (4.0)**" will be the working document for meeting the milestones noted above and will not be shown in the Contract Modification for FY03. Changes in metrics may be made in ac

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 ISMS implementation at SLAC is described below.

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

Performance Objective: **1.0 Equal Employment Opportunity**

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

	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 Customer Needs

Human Resources management will monitor employee/customer feedback in order to ensure high quality service to its employees. (Total Weight = 32%)

Performance Criterion: 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, in Human Resources Department will establish action plans to improve those areas that does 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. (Total Weight = 34%)

Performance Criteria: 2.1

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

Performance Assumption:

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 evalaute HR systems and processes for improvements.

Performance Gradient:

- Unsatisfactory: little or no effort has ben demonstrated towards achievements 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, anaylsis against baseline data for the sytem or process improvement shows clear improvement or the sytem is streamlined, enhanced or eliminated or baseline data and the review show the system 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.
(Total Weight = 34%)

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% - 20% 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.

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 = 10%)

Performance Criterion: 1.1

Accounts receivable delinquencies are minimized.

Performance Measure: 1.1.a **(Weight: 5%)**

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: 5%)

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: In addition to the significant improvements in "excellent", process improvements are accomplished ahead of schedule or the expected results exceed expectations.

Excellent: A review of the improvements made to a system or process clearly identifies areas that were streamlined, enhanced, or eliminated or the review shows that improvements made meet expectations.

Good: One or two major systems are identified for review and if steps are taken to make process improvements there is some measurable progress.

Marginal: Some effort is demonstrated but the results fall short of the expectations for the "good" gradient.

Unsatisfactory: Little or no effort has been demonstrated towards achievement of the performance measure.

Performance Objective: 2.0 Financial Stewardship

Quality Budget Formulation and Effective Budget Execution. (Total Weight = 29%)

Performance Criterion: 2.1

Budgets are timely submitted

Performance Measures: 2.1.a **(Weight: 8%)**

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% or all programs planned for validation for specified FY 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: 8%)**

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: 13%)**

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 = 14%)

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: 7%)**

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.

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 = 18%)

Performance Criterion: 1.1

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

Performance Measures: 1.1.a **(Weight: 8%)**

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	4th Workday, 10:00 a.m.
Reimbursable Work Overrun Reports	Monthly – 10th 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 2001 Financial Statements hold up under audit by DOE/OIG or Stanford Internal Audit.

Performance Measures: 1.2.a **(Weight: 10%)**

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:
Performance Gradient: 2.1.a

Outstanding:	In addition to the significant improvements in "excellent", process improvements are accomplished ahead of schedule or the expected results exceed expectations or the implementation shows clear modification of the original plan that is itself an improvement over the original plan.
Excellent:	If an improvement plan is developed and implemented, a review of any improvements made clearly identifies areas that were streamlined, enhanced, or eliminated or the review shows that improvements made meet expectations.
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 = 22%)

Performance Criterion: 3.1

SLAC manages its indirect costs.

Performance Measure: 3.1.a **(Weight: 12%)**

Policies, data, and reports consistent with Cost Accounting Standards (CAS) complicance and DOE requirements; financial practices are consistent with the 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 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 includes:

- agreed audit report findings.
- Proactive interaction with DOE.
- Training and development of staff and relevant program personnel.

Performance Measure: 3.1.b **(Weight: 10%)**

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 of 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: PERSONAL PROPERTY

Performance Objective: 1.0 Personal Property Excellence

The Laboratory will maintain a personal property system that ensures Property programs incorporate best practices as applicable, promote customer service, and operate in accordance with policies and procedures approved by DOE and the requirements of the Prime Contract. (Total Weight = 100%)

Performance Criterion: 1.1 Assessing Degree of Excellence Achieved

The Laboratory documents and reports its performance results against established submeasures contained in the Personal Property Assessment Model (PPAM).

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

Measuring System and Service Levels

An overall Personal Property excellence score is determined as a result of the points achieved on the PPAM. The PPAM is the management system framework that establishes and maintains a customer focus, a continuous and breakthrough process improvement culture, and an emphasis on results.

Gradient:

Points	Rating
≥ 90 Points	Outstanding
80-89 Points	Excellent
70-79 Points	Good
60-69 Points	Marginal
< 60 Points	Unsatisfactory

Performance Area: PROCUREMENT

Performance Objective: 1.0 Procurement Excellence

The Laboratory will maintain a procurement system that ensures Procurement programs incorporate best practices as applicable, promote customer service, and operate in accordance with policies and procedures approved by DOE and the requirements of the Prime Contract. (Total Weight = 100%)

Performance Criterion: 1.1

Assessing Degree of Excellence Achieved

The Laboratory documents and reports its performance results against established submeasures contained in the Procurement Assessment Model (PROAM).

Performance Measure 1.1.a (Weight: 100%)

Measuring System and Service Levels

An overall Procurement excellence score is determined as a result of the points achieved on the PROAM (see below). The points are then converted to a percentage of total PROAM points available and that percentage is then applied, in turn, to the POCM points available for Procurement to obtain the POCM score. The PROAM is the management system framework that establishes and maintains a customer focus, a continuous and breakthrough process improvement culture, and an emphasis on results.

Gradient:

Points	Rating
≥ 90 Points	Outstanding
80-89 Points	Excellent
70-79 Points	Good
60 – 69 Points	Marginal
< 60 Points	Unsatisfactory

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 Critierion: 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 Area: Communications and Public Affairs Total Weight: 100%

Performance Objective: 1.0

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

Performance Criteria: 1.1

Communications and Public Affairs 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 organization 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 Gradient:

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

Outstanding:	Results demonstrate significant 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 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 Criteria: 1.2

Communications and Public Affairs 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 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 SLAC 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 SLAC Communications and Public Affairs and OAK annually. The rating category will be subjectively determined by DOE/OAK in agreement with SLAC.

Outstanding: Results demonstrate significant 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 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: 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:	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 Measure: 2.1 b (Weight: 7%)

Actual funds committed during the first year/planned funds committed during the fiscal year.

Performance Gradient:

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

Performance 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:

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 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 or greater
Excellent:	0.80 to 0.899
Good:	0.70 to 0.799
Marginal:	0.60 to 0.699
Unsatisfactory:	less than 0.600

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 Contractor Order requirement in DOE 430.2A. The multi-year plan will include annual goals and will be negotiated and made a matter of record within two months of an approved laboratory budget for project funds. Goals may be revised during the year by mutal 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 and requirements.

Performance Assumption:

The planning process is executed to achieve maximum effectiveness in land use and physical assets planning by anticipating and articulating DOE and SLAC needs. SLAC will document the major planning activities (work plan) 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

Sustain and enhance the effectiveness of Integrated Safeguards and Security Management (ISSM). (Total Weight 60%)

Performance Criterion: 1.1

Safeguards and Security (SAS) is integrated into the culture of the organization for effective deployment of the management system.

Description:

This indicator will assess the degree to which the requirements and practice of the Safeguards and Security management system are integrated into the day-to-day operating culture of the Laboratory. The degree of integration will be determined using the following measures:

Performance Measures 1.1.a **(Weight: 60%)**

- Implementation status of the Integrated SAS Management (ISSM) Action Plan Milestones/Objectives is on track with schedules.
- Customer satisfaction survey relative to SAS knowledge and acceptance/involvement by Laboratory staff has positive results.
- SAS requirements are adequately defined and disseminated to Laboratory staff.
- The SAS self-assessment program and resulting corrective actions will be conducted in accordance with applicable requirements and expectations.

Definitions:
SAS Assets (also referred to as "security interests"): A general term for any DOE or Stanford asset, resource, or property, which requires protection from malevolent acts. It may include (but is not limited to) sealed sources, intellectual property and Official use only, business, or technical information, precious metals, high value items, general property and facilities, and controlled substances.

Performance Assumptions: There are no significant changes in requirements. There are no significant changes in SAS assets at the Laboratory.

Performance Gradient

Outstanding:

- 95%-100% of Milestones/Objectives for ISSM Action Plans are on track with schedules; an overall score of 3.5 or above on customer satisfaction surveys relative to SAS;
- 90%-100%; Self-assessments will be completed/actions completed in accordance with developed/managed schedules

Excellent:

- 85%-94% of Milestones/Objectives for ISSM Action Plan are on track with schedules; an overall score within the range of 2.5 – 3.5 on the customer satisfaction surveys relative to SAS;
- 80%-89% Self-assessments will be completed/actions completed

Good:

- 75% - 84% of Milestones/Objectives for ISSM Action plan are on track with schedules; Results from customer satisfaction survey relative to SAS will not drop more than 10% from the baseline survey results;
- 70%-79% Self-assessments will be completed/actions completed

Marginal:

- Less than 75% of Milestones/Objectives for ISSM Action Plan are on track with schedules; an overall score of ranging from 0.5 – 1.5 from customer satisfaction survey relative to SAS.

- Unsatisfactory: No Action taken.

- **Example (Draft) Scales for ISSM Surveys**

The following are some examples of how we can convert subjective answers into a numerical rating scale to get

Example #1:

How satisfied are you that SLAC is maintaining a proper level of Safeguards and Security protection for the site? (Weight = XXX)

Very Satisfied **(4)**	Satisfied **(3)**	Acceptable with some minor adjustments **(2)**	I see some areas that need serious attention **(1)**	Overall, the level of security is unsatisfactory in my opinion **(0)**

Example #2:

How would you rate <u>your</u> awareness of ISSM here at SLAC? (Weight = XXX)

I am fully aware and have numerous reminders throughout the year **(4)**	I am aware of most of ISSM activities, but I probably miss some **(3)**	I am generally aware because of the big "All Hands" items, but that's the extent of my awareness **(2)**	I hear about it infrequently and am not really sure of how important it really is to my work **(1)**	I am not aware of it and I don't understand what my role is in ISSM **(0)**

For every question, it will a combination of "Weight x Rating = Numerical Score" to make sure that certain key questions have the proper weighting in the overall scoring.

Performance Objective: 2.0

Sustain and enhance the effectiveness of Integrated Safeguards and Security (SAS). (Total Weight 40%)

Performance Criterion 2.1

Emerging threats are identified, reported, and mitigated as necessary
(Weight 40%)

<u>Description</u>: This indicator will assess the Laboratory's ability to identify report and mitigate, as necessary, any emerging threats. Performance against this indicator will be measured using the following parameters and the criteria specified in the Performance Evaluation section, below.

Performance Measure: 2.1.a **(Weight: 40%)**

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated.
- Security events are reported in a timely manner and managed as required identifying and repairing weaknesses in procedures and policies that are designed to protect government interests.
- Corrective actions for identified threats or issues are developed and implemented by the line organizations in a timely manner.

Definitions:
Incidents of security concern are:
Any actions or inactions that—

1. Pose an immediate danger or short- or long-term threat to national security interests and/or critical DOE assets, that potentially create a serious security situation, or that create high-visibility media interest;
2. Pose long-term threats to DOE security interests or that potentially degrade the overall effectiveness of the Department's protection program; and
3. In combination and over time, adversely impact the level of security awareness and program responsiveness necessary to protect DOE's security interests.

Significant incidents of a security concern:

1. Any Security Event that can be expected to cause damage to national security or DOE security interests.
2. Events applicable to this indicator will be those that are within the control of SLAC.

Performance Assumptions: There are no significant changes in requirements. There are no significant changes in SAS assets at the Laboratory.

Performance Gradient:
Outstanding:

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated (0 to 2 events);
- 100% of the applicable security events are reported and managed as required in a timely manner in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and
- When applicable, all (100% of) corrective actions for identified threats or issues are developed and fully implemented by the line organizations in a timely manner and in accordance with internal schedules.

Excellent:

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated (3 events);
- 80%-99% of the applicable security events are reported and managed in a timely manner in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and
- When applicable, (80% to 99% of) corrective actions for identified threats or issues are developed and implemented by the line organizations in a timely manner and in accordance with internal schedules.

Good:

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated (4 events);
- 70%-79% of the applicable security events are reported and managed in a timely manner in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and
- When applicable, (70%-79% of) corrective actions for identified threats or issues are developed and implemented by the line organizations in a timely manner and in accordance with internal schedules.

Marginal:

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated (5 events);
- 60-69% of the applicable security events are reported and managed in a timely manner in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and
- When applicable, (60%-69% of) corrective actions for identified threats or issues are developed and/or implemented by the line organizations in a timely manner and in accordance with internal schedules.

Unsatisfactory:

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and/or are not mitigated (6 events or more);
- Security events are not reported in a timely manner and/or managed as required in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and
- Corrective actions for identified threats or issues are not developed and/or are not implemented by the line organizations in a timely manner, as applicable.

Performance Area: TECHNOLOGY AND INTELLECTUAL PROPERTY

Performance Objective: 1.0

The mission of the Technology and Intellectual Property Management program at SLAC is to manage the utilization, protection, and transfer of Laboratory technology and intellectual property to benefit DOE, SLAC, the scientific community, and private industry. This mission is accomplished by effective management processes for identifying, assessing, disclosing, and protecting technology as intellectual property; by transfer and licensing of innovative SLAC technology to the U.S. private sector; and by R&D collaborations with non-Federal partners for the development of innovative technology. (Total Weight = 100%)

Performance Criterion: 1.1

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

Performance Measure: 1.1.a (Weight: 50%)

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

Performance Assumption:

1. SLAC has effective administrative systems for identifying and evaluating technologies, disclosing inventions, obtaining intellectual property protection as necessary, and licensing.

2. SLAC has effective inreach and outreach programs to generate and transfer technology.

Performance Gradient:

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

Performance 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

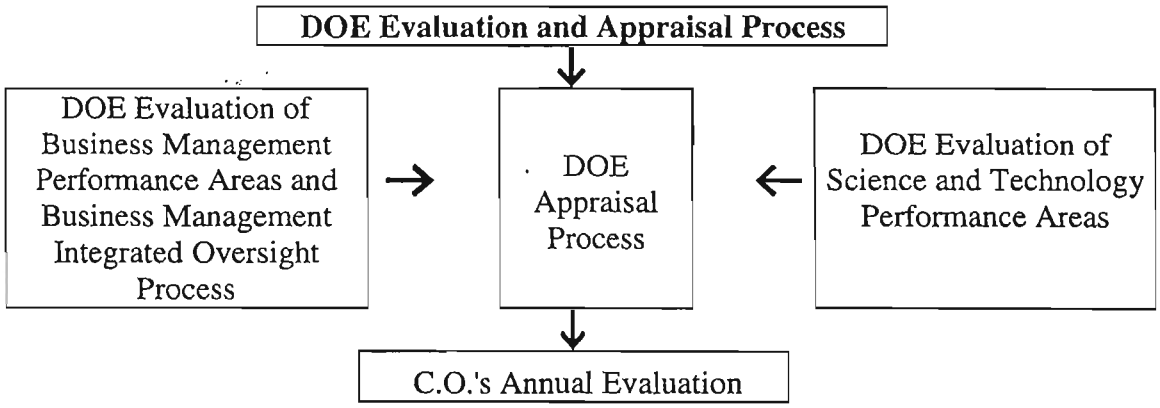
Part I – ASSESSMENT

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. A formal presentation will be presented by SLAC of the 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	120 pts	High Energy Physics	500 pts
Equal Opportunity & Affirmative Action	30 pts	Synchrotron Radiation	100 pts
Financial Management	55 pts		
Human Rource Management	25 pts		
Communications & Public Affairs	15 pts		
Procurement	25 pts		
Personal Property	15 pts		
IMD	30 pts		
Projects & Facility Mgmt.	45 pts		
Safeguards & Security	30 pts		
Technology & 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

	PM Rating	% Weight	% Earned Rating	Available Points	Points
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%		
			88.9%	500	444.5
Performance Area "B"					
Performance Measure 1	95%	45%	42.8%		
Performance Measure 2	88%	55%	48.4%		
			91.2%	100	91.2
		Science and Technology Total Earned Points			535.7
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%		
			90.4%	250	226.0
Performance Area "D"					
Performance Measure 1	98%	60%	58.8%		
Performance Measure 2	94%	40%	37.6%		
			96.4%	150	144.6
		Business Mgt Total Earned Points			370.6
		Total Earned Points			**906.3**

Evaluation Rating = Outstanding