

SLAC MEMORANDUM

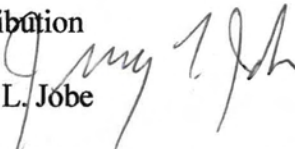
Business Services Division, MS 02

jlj@slac.stanford.edu

Phone: 4245

FAX: 5360

October 24, 2005

TO: Distribution
FROM: Jerry L. Jobe 
SUBJECT: SLAC Contract Modification Number M506

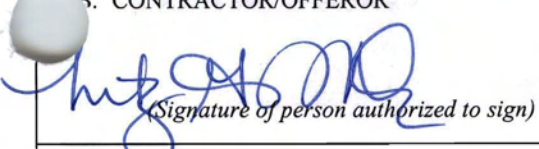
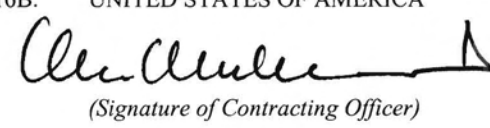
Attached is a signed copy of the SLAC Contract Modification Number M506 dated October 24, 2005 for your records and files.

JLJ:rt
Enclosures

Distribution

Anne Hannigan – 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. M506	3. EFFECTIVE DATE See Block 16C	4. REQUISITION/PURCHASE REQ. NO. N/A	5. PROJECT NO. (If applicable)
ISSUED BY CODE		7. ADMINISTERED BY (If other than Item 6)	
U.S. Department of Energy Office of Science, Stanford Site Office 2575 Sand Hill Road, Bldg.41, Rm.118 Menlo Park, CA 94025		DOE Points of Contact: Contracting Officers: Tyndal L. Lindler (650) 926-5076 or Georgia M. McClelland (650)926-8608	
8. NAME AND ADDRESS OF CONTRACTOR (No., street, country, State, and ZIP Code)		()	9A. AMENDMENT OF SOLICITATION NO.
Board of Trustees for the Leland Stanford, Jr. University 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 #41, Room 203 Menlo Park, Ca 94025		x	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC02-76SF00515/M474
CODE			10B. DATED (SEE ITEM 13) 3/29/04
FACILITY CODE			
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS			
The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers is extended. is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended by one of the following methods: (a) By completing Items 8 and 25, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.			
12. ACCOUNTING AND APPROPRIATION DATA (If required) 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).			
C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:			
X D. OTHER (Specify type of modification and authority) Clause H.021 "Standards of Contracting Performance Evaluation" of the contract..			
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 incorporate the FY 2006 Contractor Performance Evaluation and Measurement Plan (PEMP) 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) NITZI GILDEA-PHILLIPS DEPUTY DIRECTOR		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) GEORGIA M. McCLELLAND CONTRACTING OFFICER	
13. CONTRACTOR/OFFEROR  (Signature of person authorized to sign)		15C. DATE SIGNED 10.17.05	
		16B. UNITED STATES OF AMERICA  (Signature of Contracting Officer)	
		16C. DATE SIGNED 10/24/05	
FORM 30		30-105	
		STANDARD	

FY 2006

**CONTRACTOR PERFORMANCE EVALUATION AND MEASUREMENT
PLAN**

For

**Management and Operations of the
Stanford Linear Accelerator Center**

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INTRODUCTION

This document describes the primary measurement basis for DOE's Quality Assurance/Surveillance Plan (QASP) for the evaluation of *Stanford University* (hereafter referred to as "the Contractor") performance regarding the management and operations of the *Stanford Linear Accelerator Center* (hereafter referred to as "the Laboratory") for the evaluation period from October 1, 2005, through September 30, 2006. The performance evaluation provides a standard by which to determine whether the Contractor is managerially and operationally in control of the Laboratory and is meeting the mission and requirement performance expectations/objectives of the Department as stipulated within this contract.

The Performance Goals (hereafter referred to as Goals), Performance Objectives (hereafter referred to as Objectives), set of Performance Measures (hereafter referred to as Measures), and Performance Target (hereafter referred to as Target) for each Objective discussed in this were developed in accordance with contract expectations set forth within the contract. The Performance Measures for meeting the Objectives set forth within this plan have been developed in coordination with HQ program offices as appropriate. Except as otherwise provided for within the contract, the evaluation will rest primarily on the Contractor's performance within the Performance Goals and Objectives set forth within this plan.

The overall performance against each Objective of this performance plan, to include the evaluation of Performance Measures identified for each Objective, shall be evaluated jointly by the appropriate HQ office or major customer and the Stanford Site Office (SSO). This cooperative review methodology will ensure that the overall evaluation of the Contractor results in a consolidated DOE position taking into account specific Performance Measures as well as all additional information not otherwise identified via specific Performance Measures. The Site Office shall work closely with each HQ program office or major customer throughout the year in evaluating the Contractor's performance and will provide observations regarding programs and projects as well as other management and operation activities conducted by the Contractor throughout the year.

Section I provides information on how the performance rating (grade) for the Contractor will be determined. This contract does not have a fee.

Section II provides the detailed information concerning each Goal, their corresponding Objectives, and Performance Measures of performance identified, along with the weightings assigned to each Goal and Objective and a table for calculating the final score for each Goal.

The following descriptions define each performance (measurement) level:

Performance Goal: A general overarching statement of the desired outcome for each major performance area that will be scored and reported annually under the appraisal process.

Performance Objective: A statement of desired results for an organization or activity. Note: The set of Performance Measures identified should be the primary means for determining the Contractor's performance in meeting the Performance Objective; however, other performance information available to the evaluator from other sources may be utilized in determining the overall performance rating of a Performance Objective.

Performance Measure: A quantitative or qualitative method for characterizing performance to assist the reviewer in assessing achievement of the corresponding Performance Objective (i.e., what you would measure).

Performance Target: The desired condition, milestone, or target level of achievement for each Performance Measure (objective or subjective as appropriate), established at an appropriately detailed level that can be tracked and used for a judgment or decision on performance assessment.

I. DETERMINING THE CONTRACTOR'S PERFORMANCE RATING

The FY 2006 Contractor performance grades will be determined based on the weighted sum of the individual scores earned for each of the objectives under each of the Goals described within this document for Science and Technology and for Management and Operations (see Table A). No overall rollup grade will be provided. Performance evaluations shall be measured and graded at the Objective level, which rollup to provide the performance evaluation determination for each Goal. Each Goal is composed of two or more weighted Objectives and each Objective has a set of Performance Measures, and as applicable, Targets, which are identified to assist the reviewer in determining the Contractor's overall performance in meeting the Objective. The Performance Measures for each Performance Objective were developed so as to indicate, if fully met, the performance level required to obtain a "B+" evaluation grade. For some targets, it serves the evaluator to provide additional grading details (for example at the A, C+, and D levels) and in those cases these details have been included in the PEMP. However, these should be considered as guidelines that do not restrict the evaluator from considering other factors that contributes to the evaluation. Each of the Performance Measures identifies significant activities, requirements, and/or milestones important to the success of the corresponding Objective and shall be utilized as the primary means of determining the Contractor's success in meeting the Objective. Although the Performance Measures are the primary means for determining performance, other performance information available to the evaluating office from other sources to include, but not limited to, the Contractor's self-evaluation report, operational awareness (daily oversight) activities; "For Cause" reviews (if any); other outside agency reviews (OIG, GAO, DCAA, etc.), and the annual 2-week review (if needed), may be utilized in determining the Contractor's overall success in meeting an Objective. The following describes the methodology for determining the Contractor's grade for each Goal:

Performance Evaluation Methodology:

Each Objective within a Goal shall be assigned a numerical score, per Figure I-1 below, by the evaluating office. Each evaluation will measure the degree of effectiveness and performance of the Contractor in meeting the Objective and shall be based on the Contractor's success in meeting the set of Performance Measures identified for each Objective as well as other performance information available to the evaluating office from other sources as identified above. The set of Performance Measures identified for each Objective represent the set of significant indicators that if fully met, collectively places performance for the Objective in the "B+" grade range.

Letter Grade	Numeric Grade	Definition
A+	4.3 – 4.1	Significantly exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance have or have the potential to significantly improve the overall mission of the Laboratory. No specific deficiency noted within the purview of the overall Objective being evaluated.
A	4.0 – 3.8	Notably exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance either have or have the potential to improve the overall mission of the Laboratory. Minor deficiencies noted are more than offset by the positive performance within the purview of the overall Objective being evaluated and have no potential to adversely impact the mission of the Laboratory.
A-	3.7 – 3.5	Meets expectations of performance as set within performance measures

Letter Grade	Numeric Grade	Definition
		identified for each Objective with some notable areas of increased performance identified. Deficiencies noted are offset by the positive performance within the purview of the overall Objective being evaluated with little or no potential to adversely impact the mission of the Laboratory.
B+	3.4 – 3.1	Meets expectations of performance as set by the performance measures identified for each Objective with no notable areas of increased or diminished performance identified. Deficiencies identified are offset by positive performance and have little to no potential to adversely impact the mission of the Laboratory.
B	3.0 – 2.8	Most expectations of performance as set by the performance measures identified for each Objective are met and/or other minor deficiencies are identified. Performance measures or other minor deficiencies identified are offset by positive performance within the purview of the Objective and have little to no potential to adversely impact the mission of the Laboratory.
B-	2.7 – 2.5	One or two expectations of performance set by the performance measures are not met and/or other deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C+	2.4 – 2.1	Some expectations of performance set by the performance measures are not met and/or other minor deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C	2.0 – 1.8	A number of expectations as set by the performance measures are not met and/or a number of other deficiencies are identified and although they may be somewhat offset by other positive performance, they have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C-	1.7 – 1.1	Most expectations as set by the performance measures are not met and/or other major deficiencies are identified which have or will negatively impact the Objective or overall Laboratory mission accomplishment if not immediately corrected.
D	1.0 – 0.8	Most or all expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have negatively impacted the Objective and/or overall Laboratory mission accomplishment.
F	0.7 – 0	All expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have significantly impacted both the Objective and the accomplishment of the Laboratory mission.

(Figure I-1) Letter Grade and Numerical Score Definitions

Calculating Individual Goal Scores and Letter Grade:

Each Objective is assigned the earned numerical score by the evaluating office as stated above. The Goal rating is then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values are then added together to develop an overall score for each Goal. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. Utilizing Table A, these Goal scores are converted to a Letter Grade.

The raw score (rounded to the nearest hundredth) from each calculation shall be carried through to the next stage of the calculation process. A standard rounding convention of x.44 and less rounds down to the nearest tenth (here, x.4), while x.45 and greater rounds up to the nearest tenth (here, x.50).

S&T Performance Goal	Numerical Score	Letter Grade
1.0 Mission Accomplishment		
2.0 Design, Fabrication, Construction and Operation of Facilities		
3.0 Program Management		
M&O Performance Goal	Numerical Score	Letter Grade
4.0 Leadership and Stewardship of the Laboratory		
5.0 Integrated Safety, Health, and Environmental Protection		
6.0 Business Systems		
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio		
8.0 Integrated Safeguards and Security Management and Emergency Management Systems		

(Table A) FY 2006 Contractor Evaluation Score Calculation

Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F
Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0

(Table B) FY 2006 Contractor Letter Grade Scale/Numeric Score Scale

Adjustment to the Letter Grade:

The lack of performance objectives and measures in this plan do not diminish the need to comply with minimum contractual requirements. Although the performance-based Goals and their corresponding Objectives shall be the primary means utilized in determining the Contractor's performance grade, the Contracting Officer may unilaterally adjust the rating based on the Contractor's performance against all contract requirements. Data to support rating adjustments may be derived from other sources to include, but not limited to, operational awareness (daily oversight) activities; "For Cause" reviews (if any); other outside agency reviews (OIG, GAO, DCAA, etc.), and the annual 2-week review (if needed).

The adjustment of a grade will be determined by the severity of the performance failure and mitigating factors as set forth by the policies described in Acquisition Regulation; Conditional Payment of Fee (if applicable), Profit, and Other Incentives interim final rule published in 68 Fed. Reg. 68771, Dec. 10, 2003. The final Contractor

performance-based grade for each Goal will be contained within a year-end report, documenting the results from the DOE review. The report will identify areas where performance improvement is necessary and, if required, provide the basis for any performance-based rating adjustments made from the otherwise earned rating based on Performance Goal achievements.

II. PERFORMANCE GOALS, OBJECTIVES & PERFORMANCE MEASURES

Background

The current performance-based management approach to oversight within DOE has established a new culture within the Department with emphasis on the customer-supplier partnership between DOE and the laboratory contractors. It has also placed a greater focus on mission performance, best business practices, cost management, and improved contractor accountability. Under the performance-based management system the DOE provides clear direction to the laboratories and develops annual performance plans (such as this one) to assess the contractors performance in meeting that direction in accordance with contract requirements. The DOE policy for implementing performance-based management includes the following guiding principles:

- Performance objectives are established in partnership with affected organizations and are directly aligned to the DOE strategic goals;
- Resource decisions and budget requests are tied to results; and
- Results are used for management information, establishing accountability, and driving long-term improvements.

The performance-based approach focuses the evaluation of the Contractor's performance against these Performance Goals. Progress against these Goals is measured through the use of a set of Objectives. The success of each Objective will be measured based on a set of Performance Measures, both objective and subjective, that are to focus primarily on end-results or impact and not on processes or activities. Measures provide specific evidence of performance, and collectively, they provide the body of evidence that indicates performance relative to the corresponding Objectives. On occasion however, it may be necessary to include a process/activity-oriented measure when there is a need for the Contractor to develop a system or process that does not currently exist but will be of significant importance to the DOE and the Laboratory when completed or that lead to the desired outcome/result.

Performance Goals, Objectives, and Performance Measures

The following sections describe the Performance Goals, their supporting Objectives, and associated performance measures for FY 2006.

1.0 Provide for Efficient and Effective Mission Accomplishment

The Contractor produces high-quality, original, and creative results that advance science and technology; demonstrates sustained scientific progress and impact; receives appropriate external recognition of accomplishments; and contributes to overall research and development goals of the Department and its customers.

The "Provide for Efficient and Effective Mission Accomplishment" Goal measures the overall effectiveness and performance of the Contractor in delivering science and technology results which contribute to and enhance the DOE's mission of protecting our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge by supporting world-class, peer-reviewed scientific results, which are recognized by others.

Each Objective within this Goal is to be assigned the appropriate numerical score by the DOE HQ Office of Science's (SC), other cognizant HQ Program Offices, and other customers as identified below. The overall Goal score from each HQ Program Office and/or customer is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 1.1). Weightings for each office listed below are preliminary, based upon FY2005 Budget Authority figures, and are provided here for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

- Office of Advance Scientific Computing Research (ASCR) 0%
- Office of Basic Energy Sciences (BES) 51%
- Office of Biological and Environmental Research (BER) 1%
- Office of High Energy Sciences (HEP) 48%
- Workforce Development for Teachers and Scientists (WDTS) 0%

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 1.2). The overall score earned is then compared to Table 1.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 1.1. The Contractor's success in meeting each Objective shall determined based on the Contractor's performance as viewed by the Office of Science Program Offices for which the Laboratory conducts work.

Objectives:

1.1 Science and Technology Results Provide Meaningful Impact on the Field

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.:

- The impact of publications on the field;
- Publication in journals outside the field indicating broad impact;
- Impact on DOE or other customer mission(s);
- Successful stewardship of mission-relevant research areas;
- Significant awards (R&D 100, FLC, Nobel Prizes, etc.);
- Invited talks, citations, making high-quality data available to the scientific community; and
- Development of tools and techniques that become standards or widely-used in the scientific community.

Grade	Performance
A to A+	Changes the way the research community thinks about a particular field; resolves critical questions and thus moves research areas forward; results generate huge interest/enthusiasm in the field.
B+	Impacts the community as expected. Strong peer review comments in all relevant areas.
B	Not strong peer review comments in at least one significant research area.
C	One research area just not working out. Peer review reveals that a program isn't going anywhere.
D	Failure of multiple program elements.
F	Gross scientific incompetence and/or scientific fraud.

1.2 Provide Quality Leadership in Science and Technology

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.:

- Willingness to pursue novel approaches and/or demonstration of innovative solutions to problems;
- Willingness to take on high-risk/high payoff/long-term research problems, evidence that the Contractor "guessed right" in that previous risky decisions proved to be correct and are paying off;
- The uniqueness and challenge of science pursued, recognition for doing the best work in the field;
- Extent of collaborative efforts, quality of the scientists attracted and maintained at the Laboratory;
- Staff members visible in leadership position in the scientific community; and,
- Effectiveness in driving the direction and setting the priorities of the community in a research field.

Grade	Performance
A to A+	Laboratory staffs lead Academy or equivalent panels; laboratory's work changes the direction of research fields; world-class scientists are attracted to the laboratory, lab is trend-setter in a field.
B⁺	Strong research performer in most areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; lab is center for high-quality research and attracts full cadre of researchers; some aspects of programs are world-class.
B	Strong research performer in many areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; few aspects of programs are world-class.
C	Working on problems no longer at the forefront of science; stale research; evolutionary, not revolutionary.
D	Failure of multiple program elements.
F	Gross scientific incompetence and/or scientific fraud.

1.3 Provide and sustain Science and Technology Outputs that Advance Program Objectives and Goals

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.:

- The quantity and quality of output/accomplishments in research validated by the evaluating program office, program reviews, and peer reviews;
- The number of publications in peer-reviewed journals; and,
- Demonstrated progress against peer reviewed recommendations, headquarters guidance, etc.

Grade	Performance
Pass	Not failing; see below.
Fail	Peer reviewers not satisfied; output not meeting general scientific standards; minimal progress against FWPs.

Note: The numerical grade for "Pass" is 4.3 and for "Fail" it is 0.7

1.4 Provide for Effective Delivery of Science and Technology

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.:

- Efficiency and effectiveness in meeting goals and milestones;
- Efficiency and effectiveness in delivering on promises, and getting instruments to work as promised; and,
- Efficiency and effectiveness in transmitting results to the community and responding to DOE or other customer guidance.

Grade	Performance
Pass	Not failing; see below.
Fail	Peer reviewers not satisfied; output not meeting general scientific standards; minimal progress against FWPs.

Note: The numerical grade for "Pass" is 4.3 and for "Fail" it is 0.7

Science Program Office¹	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Research					
1.1 Impact			40%		
1.2 Leadership			30%		
1.3 Output			15%		
1.4 Delivery			15%		
Overall ASCR Total					
Office of Basic Energy Sciences					
1.1 Impact			50%		
1.2 Leadership			20%		
1.3 Output			15%		
1.4 Delivery			15%		
Overall BES Total					
Office of Biological and Environmental Research					
1.1 Impact			30%		
1.2 Leadership			20%		
1.3 Output			20%		
1.4 Delivery			30%		
Overall BER Total					
Office of High Energy Physics					
1.1 Impact			30%		
1.2 Leadership			30%		
1.3 Output			30%		
1.4 Delivery			10%		
Overall HEP Total					
Office of Workforce Development for Teachers and Scientists					
1.1 Impact			25%		
1.2 Leadership			30%		
1.3 Output			30%		
1.4 Delivery			15%		
Overall WDTs Total					

(Table 1.1) Program Office Performance Goal 1 Score Development

¹ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY2006.

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Advanced Scientific Research			0%		
Office of Basic Energy Sciences			51%		
Office of Biological and Environmental Research			1%		
Office of High Energy Physics			48%		
Office of Workforce Development for Teachers and Scientists			0%		
Performance Goal 1.0 Total					

(Table 1.2) Overall Performance Goal Score Development²

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

(Table 1.3) Goal 1 Final Letter Grade

² Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY 2005 Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY2006.

2.0 Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities

The Contractor provides effective and efficient strategic planning; fabrication, construction and/or operations of Laboratory research facilities; and is responsive to the user community.

The Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities Goal shall measure the overall effectiveness and performance of the Contractor in planning for and delivering leading-edge research facilities to ensure the required capabilities are present to meet today's and tomorrow's complex challenges. It also measures the Contractor's innovative operational and programmatic means for implementation of systems that ensures the availability, reliability, and efficiency of facilities; and the appropriate balance between R&D and user support.

Each Objective within this Goal is to be assigned the appropriate numerical score by the DOE HQ Office of Science's (SC), other cognizant HQ Program Offices, and other customers as identified below. The overall Goal score from each HQ Program Office and/or customer is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 2.1). Weightings for each office listed below are preliminary, based upon FY 2005 Budget Authority figures, and are provided here for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006. Each of the Program Offices listed below have been weighted primarily based on the percent of overall Laboratory Line Item, GPP, or other direct funding for facility operations.

- Office of Advance Scientific Computing Research (ASCR) (0)%
- Office of Basic Energy Sciences (BES) 97%
- Office of Biological and Environmental Research (BER) 0%
- Office of High Energy Sciences (HEP) 3%
- Workforce Development for Teachers and Scientists (WDTS) (0%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above the weightings identified for each and then summing them (see Table 2.2). The overall score earned is then compared to Table 2.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 2.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by DOE HQ Office of Science's (SC) Program Offices for which the Laboratory conducts work.

Objectives:

2.1 Provide Effective Facility Design(s) as Required to Support Laboratory Programs (i.e., activities leading up to CD-2)

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by scientific/technical workshops developing pre-conceptual R&D, progress reports, Lehman reviews, Program/Staff Office reviews/oversight, etc.:

- Effectiveness of planning of pre-conceptual R&D and design for life-cycle efficiency;
- Leverage of existing facilities at the site;
- Delivery of accurate and timely information required to carry out the critical decision and budget formulation process; and,
- Ability to meet the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets.

Grade	Performance
A to A+	In addition to meeting all measures under B ⁺ , the laboratory is recognized by the research community as the leader for making the science case for the acquisition; Takes the initiative to demonstrate the potential for revolutionary scientific advancement. Identifies, analyzes and champions novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing. Proposed approaches are widely regarded as innovative, novel, comprehensive, and potentially cost-effective. Reviews repeatedly confirm potential for scientific discovery in areas that support the Department's mission, and potential to change a discipline or research area's direction.
B+	Provides the overall vision for the acquisition. Displays leadership and commitment to achieving the vision within preliminary estimates that are defensible and credible in terms of cost, schedule and performance; develops quality analyses, preliminary designs, and related documentation to support the approval of the mission need (CD-0), the alternative selection and cost range (CD-1) and the performance baseline (CD-2). Solves problems and addresses issues. Keeps DOE appraised of the status, near-term plans and the resolution of problems on a regular basis. Anticipates emerging issues that could impact plans and takes the initiative to inform DOE of possible consequences.
B	Fails to meet expectations in one of the areas listed under B ⁺ .
C	The laboratory team develops the required analyses and documentation in a timely manner. However, inputs are mundane and lack innovation and commitment to the vision of the acquisition.
D	The potential exists for credible science and business cases to be made for the acquisition, but the laboratory fails to take advantage of the opportunity.
F	Proposed approaches are based on fraudulent assumptions; the science case is weak to non-existent, the business case is seriously flawed.

2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components (execution phase, post CD-2 to CD-4)

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through progress reports, Lehman reviews, Program/Staff Office reviews/oversight, etc.:

- Adherence to DOE Order 413.3 Project Management for the Acquisition of Capital Assets;
- Successful fabrication of facility components
- Effectiveness in meeting construction schedule and budget; and
- Quality of key staff overseeing the project(s).

Grade	Performance
A to A+	Laboratory has identified and implemented practices that would allow the project scope to be increased if such were desirable, without impact on baseline cost or schedule; Laboratory always provides exemplary project status reports on time to DOE and takes the initiative to communicate emerging problems or issues. There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline; Reviews identify environment, safety and health practices to be exemplary.
B+	The project meets CD-2 performance measures; the laboratory provides sustained leadership and commitment to environment, safety and health; reviews regularly recognize the laboratory for being proactive in the management of the execution phase of the project; to a large extent, problems are identified and corrected by the laboratory with little, or no impact on scope, cost or schedule; DOE is kept informed of project status on a regular basis; reviews regularly indicate project is expected to meet its cost/schedule performance baseline.
B	The project fails to meet expectations in one of the areas listed under B ⁺ .
C	Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; Laboratory commitment to environment, safety and health issues is adequate; Reports to DOE can vary in degree of completeness; Laboratory commitment to the project appears to be

	subsiding.
D	Reviews indicate project is likely to breach its cost/schedule performance baseline; and/or Laboratory commitment to environment, safety and health issues is inadequate; reports to DOE are largely incomplete; laboratory commitment to the project has subsided.
F	Laboratory falsifies data during project execution phase; shows disdain for executing the project within minimal standards for environment, safety or health, fails to keep DOE informed of project status; reviews regularly indicate that the project is expected to breach its cost/schedule performance baseline.

2.3 Provide Efficient and Effective Operation of Facilities

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through progress reports, peer reviews, Program/Staff Office reviews/oversight, performance against benchmarks, Approved Financial Plan (AFP), etc.:

- Availability, reliability, and efficiency of facility(ies);
- Degree the facility is optimally arranged to support community;
- Whether R&D is conducted to develop/expand the capabilities of the facility(ies);
- Effectiveness in balancing resources between facility R&D and user support; and,
- Quality of the process used to allocate facility time to users.

Grade	Performance
A to A+	Performance of the facility exceeds expectations as defined before the start of the year in any of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the laboratory; and /or: the schedule and the costs associated with the ramp-up to steady state operations are less than planned and are acknowledged to be 'leadership caliber' by reviews; Data on ES&H continues to be exemplary and widely regarded as among the 'best in class'.
B+	Performance of the facility meets expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the laboratory; and /or: the schedule and the costs associated with the ramp-up to steady state operations occur as planned; Data on ES&H continues to be very good as compared with other projects in the DOE.
B	The project fails to meet expectations in one of the areas listed under B+.
C	Performance of the facility fails to meet expectations in several of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low, the number of users is unexpectedly low, beam delivery or luminosity is well below expectations. Acquisition operates at steady state, on cost and on schedule, but the reliability of performance is somewhat below planned values, <u>or</u> acquisition operates at steady state, but the associated schedule and costs exceed planned values. Commitment to ES&H is satisfactory.
D	Performance of the facility fails to meet expectations in many of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low. Acquisition operates somewhat below steady state, on cost and on schedule, and the reliability performance is somewhat below planned values, <u>or</u> acquisition operates at steady state, but the schedule and costs associated exceed planned values. Commitment to ES&H is satisfactory.
F	The facility fails to operate; acquisition operates well below steady state and/or the reliability of the performance is well below planned values.

2.4 Effective Utilization of Facility(ies) to Grow and Support the Laboratory's Research Base

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through peer reviews, participation in international design teams, Program/Staff Office reviews/oversight, etc.:

- Contractor's efforts to take full advantage of the facility to strengthen the Laboratory's research base; and,
- Conversely the facility is strengthened by a resident research community that pushes the envelope of what the facility can do and/or are among the scientific leaders using the facility.

Grade	Performance
A to A+	Reviews document how multiple disciplines are using the facility in new and novel ways and reviews document that full advantage has been taken of the facility to strengthen the laboratory's research base.
B ⁺	Reviews state strong and effective team approach exists toward establishing an internal user community; laboratory is capitalizing on existence of facility to grow internal capabilities.
B	Reviews state that lab is establishing an internal user community, but laboratory is still not capitalizing fully on existence of facility to grow internal capabilities.
C	Reviews state that the laboratory has made satisfactory use of the facility, but has not demonstrated much innovation.
D	Few indigenous staff uses the facility, with none using it in novel ways; research base is very thin.
F	Laboratory does not know how to operate/use its own facility adequately.

Science Program Office³	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advance Scientific Research					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities			0%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			0%		
Overall ASCR Total					
Office of Basic Energy Sciences					
2.1 Provide Effective Facility Design(s)			10%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			60%		
2.3 Provide Efficient and Effective Operation of Facilities			20%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			10%		
Overall BES Total					
Office of Biological and Environmental Research					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities			90%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			10%		
Overall BER Total					
Office of High Energy Physics					
2.1 Provide Effective Facility Design(s)			20%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities			80%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			0%		
Overall HEP Total					
Office of Workforce Development for Teachers and Scientists					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient			0%		

³ A complete listing of S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

Construction of Facilities and/or Fabrication of Components					
2.3 Provide Efficient and Effective Operation of Facilities			0%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			0%		
Overall WDTS Total					

(Table 2.1) Program Office Performance Goal 2 Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Advanced Scientific Research			0%		
Office of Basic Energy Sciences			97%		
Office of Biological and Environmental Research			0%		
Office of High Energy Physics			3%		
Office of Workforce Development for Teachers and Scientists			0%		
Overall Program Office Total					

(Table 2.2) Overall Performance Goal 2 Score Development⁴

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

(Table 2.3) Goal 2 Final Letter

⁴ Weightings for each Customer listed within Table 2.2 are preliminary, based upon FY 2005 Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

3.0 Provide Effective and Efficient Science and Technology Program Management

The Contractor provides effective program vision and leadership; strategic planning and development of initiatives; recruits and retains a quality scientific workforce; and provides outstanding research processes, which improve research productivity.

The Provide Effective and Efficient Science and Technology Program Management Goal shall measure the Contractor's overall management in executing S&T programs. Dimensions of program management covered include: 1) providing key competencies to support research programs to include key staffing requirements; 2) providing quality research plans that take into account technical risks, identify actions to mitigate risks; and 3) maintaining effective communications with customers to include providing quality responses to customer needs.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science, Program Offices as identified below. The overall Goal score from each HQ Program Office and/or customer is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 3.1).

Weightings for each office listed below are preliminary, based upon FY 2005 Budget Authority figures, and are provided here for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

- Office of Advance Scientific Computing Research (ASCR) 0%
- Office of Basic Energy Sciences (BES) 51%
- Office of Biological and Environmental Research (BER) 1%
- Office of High Energy Sciences (HEP) 48%
- Workforce Development for Teachers and Scientists (WDTS) 0%

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 3.2 below). The overall score earned is then compared to Table 3.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 3.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science Program Offices for which the Laboratory conducts work.

Objectives:

3.1 Provide Effective and Efficient Stewardship of Scientific Capabilities and Program Vision

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, existence and quality of strategic plans as determined by SC and scientific community review, Program Office reviews/oversight, etc.:

- Efficiency and Effectiveness of joint planning (e.g., workshops) with outside community;
- Articulation of scientific vision;
- Development of core competencies, ideas for new facilities and research programs; and,
- Ability to attract and retain highly qualified staff.

Grade	Performance
A to A+	Providing strong programmatic vision that extends past the laboratory and for which the lab is a recognized leader within SC and in the broader research communities; development and maintenance of outstanding core competencies, including achieving superior scientific excellence in both exploratory, high-risk research and research that is vital to the DOE/SC missions; attraction and retention of world-leading scientists; recognition within the community as a world leader in the field.
B+	Coherent programmatic vision within the laboratory with input from and output to external research communities; development and maintenance of strong core competencies that are

	cognizant of the need for both high-risk research and stewardship for mission-critical research; attracting and retaining scientific staff who are very talented in all programs.
B	Programmatic vision that is only partially coherent and not entirely well connected with external communities; development and maintenance of some, but not all core competencies with attention to, but not always the correct balance between, high-risk and mission-critical research; attraction and retention of scientific staff who talented in most programs.
C	Failure to achieve a coherent programmatic vision with little or no connection with external communities; partial development and maintenance of core competencies (i.e., some are neglected) with imbalance between high-risk and mission-critical research; attracting only mediocre scientists while losing the most talented ones.
D	Minimal attempt to achieve programmatic vision; little ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; minimal success in attracting even reasonably talented scientists.
F	No attempt made to achieve programmatic vision; no demonstrated ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; failure to attract even reasonably talented scientists.

3.2 Provide Effective and Efficient Science and Technology Project/Program Planning and Management

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, existence and quality of strategic plans as determined by SC and scientific community review, Program Office and scientific community review/oversight, etc.:

- Quality of R&D and user facility strategic plans;
- Adequacy in considering technical risks;
- Success in identifying/avoiding technical problems;
- Effectiveness in leveraging (synergy with) other areas of research; and,
- Demonstration of willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.).

Grade	Performance
A to A+	Research plans are proactive, not reactive, as evidenced by making hard decisions and taking strong actions; plans are robust against budget fluctuations – multiple contingencies planned for; new initiatives are proposed and funded through reallocation of resources from less effective programs; plans are updated regularly to reflect changing scientific and fiscal conditions; plans include ways to reduce risk, duration of programs.
B⁺	Plans are reviewed by experts outside of lab management and/or include broadly-based input from within the laboratory; research plans exist for all program areas; plans are consistent with known budgets and well-aligned with DOE interests; work follows the plan.
B	Research plans exist for all program areas; work follows the plan.
C	Research plans exist for most program areas; work does not always follow the plan.
D	Plans do not exist for a significant fraction of the lab's program areas, or significant work is conducted outside those plans.
F	No planning is done.

3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through Program Office reviews/oversight, etc.:

- The quality, accuracy and timeliness of response to customer requests for information;
- The extent to which the Contractor keeps the customer informed of both positive and negative events at the Laboratory so that the customer can deal effectively with both internal & external constituencies; and,
- The ease of determining the appropriate contact (who is on-point for what).

Grade	Performance
A to A+	Communication channels are well-defined and information is effectively conveyed; important or critical information is delivered in real-time; responses to HQ requests for information from laboratory representatives are prompt, thorough, correct and succinct; laboratory representatives <i>always</i> initiate a communication with HQ on emerging issues there are no surprises.
B+	Good communication is valued by all staff throughout the contractor organization; responses to requests for information are thorough and are provided in a timely manner; the integrity of the information provided is never in doubt
B	Evidence of good communications is noted throughout the contractor organization and responses to requests for information provide the minimum requirements to meet HQ needs; with the exception of a few minor instances HQ is alerted to emerging issues.
C	Laboratory representatives recognize the value of sound communication with HQ to the mission of the laboratory. However, laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; laboratory representatives do not take the initiative to alert HQ to emerging issues.
D	Communications from the laboratory are well-intentioned but generally incompetent; the laboratory management does not understand the importance of effective communication and responsiveness to the mission of the laboratory.
F	Contractor representatives are openly hostile and/or non-responsive – emails and phone calls are consistently ignored; communications typically do not address the request; information provided can be incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Science Program Office ⁵	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Research					
3.1 Effective and Efficient Stewardship			35%		
3.2 Project/Program Planning and Management			35%		
3.3 Communications and Responsiveness			30%		
Overall ASCR Total					
Office of Basic Energy Sciences					
3.1 Effective and Efficient Stewardship			40%		
3.2 Project/Program Planning and Management			30%		
3.3 Communications and Responsiveness			30%		
Overall BER Total					
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship			20%		
3.2 Project/Program Planning and Management			30%		
3.3 Communications and Responsiveness			50%		
Overall BES Total					
Office of High Energy Physics					
3.1 Effective and Efficient Stewardship			40%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			20%		
Overall HEP Total					
Office of Workforce Development for Teachers and Scientists					
3.1 Effective and Efficient Stewardship			20%		

⁵ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			40%		
Overall WDTS Total					

(Table 3.1) Program Office Performance Goal 3 Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Advanced Scientific Research			0%		
Office of Basic Energy Sciences			51%		
Office of Biological and Environmental Research			1%		
Office of High Energy Physics			48%		
Office of Workforce Development for Teachers and Scientists			0%		
Overall Program Office Total					

(Table 3.2) Overall Performance Goal 3 Score Development⁶

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

(Table 3.3) Goal 3 Final Letter Grade

⁶ Weightings for each Customer listed within Table 3.2 are preliminary, based upon FY 2005 Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY2006.

4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

The Contractor's Leadership provides effective and efficient direction in strategic planning to meet the mission and vision of the overall Laboratory; is accountable and responsive to specific issues and needs when required; and corporate office leadership provides appropriate levels of resources and support for the overall success of the Laboratory.

The "Provide Sound and Competent Leadership and Stewardship of the Laboratory" Goal shall measure the Contractor's Leadership capabilities in leading the direction of the overall Laboratory. It also measures the responsiveness of the Contractor to issues and opportunities for continuous improvement and corporate office involvement/commitment to the overall success of the Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more performance measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of performance measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 4.1 at the end of this section). The overall score earned is then compared to Table 4.2 to determine the overall Goal letter grade.

4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Quality of the Vision developed for the Laboratory and effectiveness in identifying its distinctive characteristics;
- Quality of Strategic/Work Plan for achieving the approved Laboratory vision;
- Quality of required Laboratory Business Plan;
- Ability to establish and maintain long-term partnerships/relationships that advance/expand ongoing Laboratory missions and/or provide new opportunities/capabilities; and,
- Effectiveness in developing and implementing commercial research and development opportunities that leverage accomplishment of DOE goals and projects with other federal agencies that advances the utilization of Laboratory technologies and capabilities.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

- 4.1.a Effectiveness in meeting required milestones in the development and/or update of the Laboratory Vision and Strategic/Work Plan.
- 4.1.b The Laboratory Vision provides a clear understanding of the distinctive characteristics of the Laboratory.
- 4.1.c The Laboratory Business Plan provides all required data in a clear and concise manner and is completed within established guidelines and schedules.
- 4.1.d Strategic partnerships are developed that demonstrate the Laboratory's leadership, support the leveraging of DOE resources, and support collaborative programs with other DOE laboratories and industry groups.
- 4.1.e Pursue focused partnerships with key universities and colleges with large diverse student enrollment in the sciences. Develop internships and rotations as well as exchange programs for high potential undergraduates from Historically Black Colleges, and schools with large Hispanic enrollment. Demonstrate improvement in job acceptance rate among minority engineers and scientists.

- 4.1.f SU and SLAC actively seek opportunities for community engagement including public outreach through facility open houses, public lectures, K-12 educational events, and web based knowledge sharing .
- 4.1.g Effectiveness in maintaining appropriate relations with the community to include providing for open and honest communications.

4.2 Provide for Responsive and Accountable Leadership throughout the Organization

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Leadership's, to include Corporate Office Leadership's, ability to instill responsibility and accountability down and through the entire organization; and,
- The effectiveness and efficiency of Leadership, to include Corporate Office Leadership, in identifying and/or responding to Laboratory issues or opportunities for continuous improvement.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

- 4.2.a Level of Leadership responding to Laboratory issues is commensurate with the issues level of severity.
- 4.2.b The Contractor's Leadership response to Laboratory issues was timely and immediate mitigating actions were identified and implemented as appropriate.
- 4.2.c Leadership maintains cognizance of corrective action plans and insures their timely closure.

4.3 Provide Efficient and Effective Corporate Office Support as Appropriate

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Corporate Office involvement in and support of business and other infrastructure process and procedure improvements;
- The willingness to enter into and effectiveness of joint appointments when appropriate; and,
- Where appropriate, the willingness to develop and work with the Department in implementing innovative financing agreements and/or provide private investments into the Laboratory.

The overall effectiveness/performance of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 30%.

- 4.3.a Level of Corporate Leadership involvement in reviewing and establishing risk limits for Laboratory operations.
- 4.3.b Level of Corporate Leadership involvement in assessing management approaches and systems utilized at the Laboratory to ensure they are comprehensive and sufficient to address significant risks attendant to Laboratory operations and strategic mission accomplishment.
- 4.3.c Level and comprehensiveness of Corporate Leadership assessments of the implementation of management systems and approaches to ensure they are working as intended and are effective in controlling the risks attendant to Laboratory operations and mission accomplishment within acceptable risks.
- 4.3.d Level of Corporate Leadership involvement in development of corrective actions for identified issues or deficiencies at the Laboratory; involvement in reviewing progress in implementing corrective action plans; and the effectiveness of the corrections as implemented.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
4.0 Effectiveness and Efficiency of Contractor Leadership and Stewardship					
4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans			35%		
4.2 Provide for Responsive and Accountable Leadership throughout the Organization			35%		
4.3 Provide Efficient and Effective Corporate Office Support as Appropriate			30%		
Performance Goal 4.0 Total					

(Table 4.1) Goal 4 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.6	3.5-3.3	3.2-3.0	2.9-2.6	2.5-2.3	2.2-2.0	1.9-1.7	1.6-1.0	0.9-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

(Table 4.2) Goal 4 Final Letter Grade

5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection

The Contractor sustains and enhances the effectiveness of integrated safety, health and environmental protection through a strong and well deployed system.

The Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection Goal shall measure the Contractor's overall success in preventing worker injury and illness; effectively implementing ISM down, through and across the organization; and providing effective and efficient waste management, minimization, and pollution prevention.

SLAC is expected to effectively and efficiently manage and operate the Laboratory through best-in-class management practices designed to enable research while assuring the protection and proper maintenance of DOE research and information assets, and protecting the health and safety of workers, the public and the environment. SLAC is expected to manage and operate the Laboratory so as to ensure compliance with all applicable federal, state, local laws and regulations, DOE directives, SLAC policies and requirements and other standards and requirements imposed by the contract. SLAC is expected to effectively implement safety and environmental management systems and work processes. SLAC is also expected to conduct an ongoing self-assessment program to ensure continuous improvement in management systems and work processes and to achieve and maintain excellence in safety and environmental performance.

The performance goal, objectives and measures are fundamentally linked to the seven Guiding Principles and five Core Functions of Integrated Safety Management System (ISMS) and the specific DOE/Stanford University contract provisions that require SLAC to integrate environment, safety and health into work planning and execution at all levels.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more performance measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. The target identified for each performance measure, if achieved, will receive a rating of B+ (Meets Expectations). Although other performance information available to the evaluating office from other sources may be used, the outcomes of performance measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 5.1 at the end of this section). The overall score earned is then compared to Table 5.2 to determine the overall Goal letter grade.

5.1 Provide a Work Environment that Protects Workers and the Environment

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The success in meeting ES&H goals.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments,

and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 20%.

- 5.1.a The Contractor's progress in meeting the Office of Science FY07 safety goal for days away, restricted or transferred (DART) case rate.

Target 5.1.a.(1) The DART rate for FY06 is equal to the SC safety goal of 0.35 and SLAC has no Type A or Type B accidents.

- 5.1.b The Contractor's progress in meeting the Office of Science FY07 safety goal for total reportable case (TRC) rate.

Target 5.1.b.(1) The TRC rate for FY06 is equal to the SC safety goal of 0.87 and SLAC has no Type A or B accidents.

- 5.1.c The number of reportable occurrences of release(s) to the environment.

Target 5.1.c.(1) There are no reportable occurrences of releases) to the environment.

- 5.1.d The number of instances of uncontrolled spread of radioactive contamination meeting the criteria of DOE M 232.1-1.

Target 5.1.d.(1) There are no instances of uncontrolled spread of radioactive contamination per DOE M 232.1-1.

- 5.1.e Timely identification of ES&H non-compliances and implementation of corrective actions.

Target 5.1.e.(1) There are no overdue corrective action issues and non-compliances are reported timely per DOE reporting criteria.

5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The commitment of leadership to effective implementation of Integrated Safety Management and strong ES&H performance is appropriately demonstrated;
- The maintenance and appropriate utilization of hazard identification, prevention, and control processes/activities;
- The identification of hazards and appropriate hazard controls is effectively implemented during the work planning process and prior to formal authorization of work activities;
- Staff, line managers and contractors have received appropriate safety training and possess demonstrated skills, knowledge and abilities prior to commencement of work activities.
- Hazards and ES&H non-compliances area identified, tracked in a consolidated site-wide database and corrected in a timely manner.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 70%.

- 5.2.a Safety and environmental training and other competence requirements for staff, line managers and SLAC contractors are fully identified, implemented and formally tracked in a timely manner.

Target 5.2.a.(1) Mandatory ES&H training requirements are completed to a level of 90% per the SLAC Training Database Metrics Reporting System.

- 5.2.b Safety management systems are developed and implemented that enhance the process for work planning, identifying hazards, and ensuring that controls and formal written procedures are in place prior to authorizing and conducting work.

Target 5.2.b.(1) Corrective actions resulting from ISM reviews, validations and assessments are completed in a timely manner or have DOE approval for plan to complete during FY06.

5.2.c Line management is ensuring that work is formally authorized and work activities are adequately and routinely monitored by line management for compliance with ES&H requirements.

Target 5.2.c.(1) There are no incidents of unauthorized work during FY06.

5.2.d Staff and line managers fully understand and implement the seven Guiding Principles and five Core Functions of ISMS.

Target 5.2.d.(1) ISMS reviews performed in FY06 do not identify significant concerns or findings related to staff and line management understanding of ISMS.

5.2.e OSHA audit non-compliances are corrected and Type A Investigation Corrective Action Plan milestones are completed and tracked to closure in a timely manner.

Target 5.2.e.(1) OSHA audit findings are completed or dispositioned and Type A Corrective Action Plan milestones are completed by the scheduled dates.

5.2.f SLAC completes all milestones leading to successful validation of Environmental Management System (EMS) by the end of CY2005.

Target 5.2.f.(1) SLAC has an EMS in place and successfully validated by DOE by December 2005.

5.2.g SLAC ISM system is successfully validated in FY2006.

Target 5.2.g.(1) The SLAC ISM system is successfully validated in FY06 and SLAC does not have Type A or Type B accidents in FY06.

5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Significant reduction in on-site chemical inventories and effective tracking of chemical use and life cycle costs.
- Increased efficiency and effectiveness of efforts to minimize the generation of waste and enhanced site-wide recycling.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 10%.

5.3.a Significant increase in post-consumer recycling of non-hazardous waste.

Target 5.3.a.(1) SLAC recycles 53% of non-hazardous waste.

5.3.b Success in minimizing waste generation (low-level, hazardous waste).

Target 5.3.b.(1) SLAC establishes FY06 baseline for low-level waste generation from routine operations. SLAC reduces by 69% the generation of hazardous waste from routine operations by the end of FY06 relative to the 1993 baseline.

5.3.c Significant reduction in on-site toxic chemical inventories and marked improvements demonstrated in life cycle tracking of chemical management through implementation of Chemical Management Services (CMS).

Target 5.3.c.(1) SLAC Chemical Information Management Systems (CMS) demonstrates “on plan” progress on reducing chemical inventories and improved chemical life cycle tracking from the initial FY05 inventory to the end of FY06.

5.3.d Establishment of pollution prevention and environmental stewardship objectives and measurable targets in site Environmental Management System (e.g., P2 assessments, waste reduction, environmentally preferable purchasing).

Target 5.3.d.(1) SLAC incorporates objectives and measurable targets for pollution prevention and environmental stewardship in site EMS.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection					
5.1 Provide a Work Environment that Protects Workers and the Environment			20%		
5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management			70%		
5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention			10%		
Performance Goal 5.0 Total					

(Table 5.1) Goal 5 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

(Table 5.2) Goal Final Letter Grade

6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)

The Contractor sustains and enhances core business systems that provide efficient and effective support to Laboratory programs and its mission(s).

Provide Business Systems that Efficiently and Effectively Support the Overall Mission of the Laboratory Goal shall measure the Contractor's overall success in deploying, implementing, and improving integrated business system that efficiently and effectively support the mission(s) of the Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more performance measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results are important to the success of the corresponding Objective. The target identified for each performance measure, if achieved, will receive a rating of B+ (Meets Expectations). Although other performance information available to the evaluating office from other sources may be used, the outcomes of performance measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 6.1 at the end of this section). The overall score earned is then compared to Table 6.2 to determine the overall Goal letter grade.

6.1 Provide an Efficient, Effective and Responsive Financial Management System(s)

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 25%.

Determination of the Contractor's provision of a sound, responsive, and economical financial management system(s) will be based upon the implementation of the directions, guidelines, and recommendations of OMB Circular A-123, which assesses management responsibility in determining sound financial management systems and internal control performance.

In measuring the performance of this Objective, the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective financial management system(s) support through the establishment of a Senior Assessment Team by the Contractor;
- The overall assessment of the design and operation of internal controls over financial reporting;
- The continual improvement of financial management system(s) through the Contractor's evaluation of internal control at the Entity Level by its use of the five components of internal control;
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff, as displayed by the Contractor's evaluation of internal control at the process, transaction or application level; and,
- A reliance on the work of others to accomplish assessments for the determination of the financial management system(s) effectiveness, as validated by internal and external audits and reviews.

6.1.a Demonstrate an effective financial management system through a reliance on the work of others to accomplish assessment, such as external reviews, surveys and inspections.

Target 6.1.a.(1) To meet the target level of performance for demonstrating an effective financial management system through a reliance on the work of others requires verifiable documentation from external reviews by the Inspector General (IG), Government Accountability Office (GAO), or other

external audit/review organization. The review results must state that the Contractor's financial management system has been evaluated, and has received a clean audit result, with no notable areas of diminished performance identified. General comments in the audit or letter report would be accepted in the definition of a clean audit result, provided that any deficiencies identified have little or no potential to adversely impact the mission of the Laboratory.

- 6.1.b The Contractor's success in developing and completing corrective actions for reviews in accordance with approved Corrective Action Plans (CAPs) shall be determined by an evaluation of the Contractor's use of the OMB Circular A-123 five (5) components of internal control at the Entity Level (OMB A-123, III, B., 1-5).

Target 6.1.b.(1) To meet the target level of performance for developing and completing corrective actions for reviews in accordance with approved Corrective Action Plans (CAPs) requires verifiable documentation that the Contractor has implemented four (4) of the five (5) OMB Circular A-123 recommended actions for Evaluating Internal Control at the Entity Level.

- 6.1.c The Contractor's success in meeting financial management goals and expectations is determined by an overall assessment of the design and operation of internal controls over financial reporting (OMB A-123, III, A.-E.).

Target 6.1.c. (1) To meet the target level of performance for financial management goals and expectations requires verifiable documentation that the Contractor has performed an overall assessment of the design and operation of internal controls over financial reporting. This includes implementing four (4) of the five (5) OMB Circular A-123 recommended actions for Assessing Internal Control over Financial Reporting.

- 6.1.d Employee and Management awareness of financial management processes and procedures as displayed by the Contractor establishment and performance of a Senior Assessment Team.

Target 6.1.d.(1) To meet the target level of performance for employee and management awareness of financial management processes and procedures, the Contractor must provide verifiable documentation that the Contractor has implemented five (5) of the six (6) OMB Circular A-123 recommended actions for establishing a Senior Assessment Team, and that it has performed assessment work for the organization.

- 6.1.e The success of the Contractor's management and reporting of Indirect costs will be measured by an evaluation of the Contractor's Direct-to-Indirect Ratio costs (1) as measured by Direct/Indirect FTE calculations; (2) comparison with an industry standard (60 % Direct / 40% Indirect); and (3) their internal control of the Indirect Rate reporting at the process, transaction or application level.

Target 6.1.e.(1) To meet the target level of performance for the Contractor's success in management and reporting of Indirect costs, the Contractor must provide verifiable documentation that Indirect Rate data has been collected and applied in accordance with recommendations of the IG, GAO, and other independent review organizations, etc.; that the Indirect Rate data and performance has been evaluated by Contractor top management; that Contractor management has implemented a plan to improve Indirect Rate management toward an Industry Standard Ratio of 60/40 percent; and that the Contractor has implemented five (5) of the OMB Circular A-123 recommended actions for evaluation of internal control at the process, transaction or application level in order to guarantee accuracy and appropriate application of indirect rates.

6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s)

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The continued certification of the procurement and property systems.
- Demonstration of efficient and effective acquisition and property management system(s) support.
- The effectiveness of the acquisition and property management system(s) as validated by internal and external audits and reviews.

- The continued improvement of acquisition and property management system(s) through the use of the results of audits, review, corrective action plans, and other information.
- The degree of knowledge and appropriate utilization of established system processes/procedures by management and staff.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 30%.

- 6.2.a Demonstrate effective acquisition and property management systems through external reviews, surveys, and inspection as necessary or required.
- 6.2.b Perform Procurement Balanced Scorecard evaluation in accordance with the FY2006 Balanced Scorecard Plan and successfully meet the at least 90% of the BSC targets.
- 6.2.c Perform Property Balanced Scorecard evaluation in accordance with the FY 2006 Balanced Scorecard Plan and successfully meet at least 90% of the BSC targets.

6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective human resources management system support;
- The effectiveness of the human resources management system as validated by internal and external audits and reviews;
- The continual improvement of the human resources management system through the use of results of audits, review, and other information; and,
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff.

The overall performance of the following set of performance measures shall be utilized as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of the Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 20%.

- 6.3.a Effectiveness of HR systems/processes/services as validated through the use of a customer service survey.

Target 6.3 a.(1) Overall customer feedback is between 2 and 2.5 on a five-point scale, or Action plans are implemented and measurable progress/action taken.

- 6.3.b Continuous improvement of HR systems/processes through annual self assessment.

Target 6.3.b.(1) One or two major systems/process are reviewed annually. Analysis against baseline data demonstrates clear improvement, or System/Process is streamlined, enhanced or eliminated.

- 6.3.c Success in attraction/retention of highly qualified employees

Target 6.3.c.(1) In-hire compensation package assures 85% acceptance rate. (2) SLAC turnover (i.e., departure of any benefits eligible employee from SLAC for any reason) is lower than Stanford University by between 15% and 24%. (3) SLAC turnover rate for PhD physicists and engineers is between 5% and 9%.

6.3.d Increase diversity in the workforce through participation of minorities and women in feeder programs. Such feeder programs would serve students at various educational levels including post-high school (Youth Opportunity Program), two year training institutions (Work Study Program), four year colleges (Science Internship Program), and graduate level.(Graduate Engineering for Minorities).

Target 6.3.d.(1) Increase in diversity within each of the feeder programs and an increase in participation by technical employees in hosting minorities and female students in their respective departments.

6.3.e Build scientific diversity through collaborative partnerships with Historically Black Colleges and Institutions serving minorities and women. For example, a faculty member from a Historically Black College is invited to SLAC by a faculty member from Stanford University to work on a collaborative project. This experience enables the faculty member to return to his/her College or Institution with a much more state-of-the-art understanding of what is happening in the physics field and to share this understanding with their respective students. More importantly, this experience provides the sending institution ongoing access to the field of physics and the faculty members at Stanford University, which is very important for future discussion and relationships between the two institutions and which further enhances minority and female student opportunities at SLAC.

Target 6.3.e.(1) Number of collaborative slots allocated to Historically Black Colleges and Institutions annually to maintain ongoing relationships between SLAC and HBCI.

6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective management systems support;
- The effectiveness of the management systems as validated by internal and external audits and reviews;
- The continual improvement of management systems through the use of results of audits, review, and other information; and,
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 25%.

6.4.a Internal audits completed in accordance with annual audit plan. Revisions to the approved SLAC FY06 audit plan will be mutually agreed to by both parties.

6.4.b Ability to complete corrective actions for reviews in accordance with approved Corrective Action Plans.

6.4.c Every five years, received an overall satisfactory rating from an external review of Contractor's success in meeting Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services management goals and expectations consistent with professional auditing standards received an overall satisfactory rating from an external review every five years.

6.4.d Excluding scientific IT, Contractor's comparison of Information Technology (IT) cost performance with like industry and government entities for 1) IT spending as a percent of overall cost plan; 2) percent of Laboratory employees in IT jobs and 3) IT budget per end user.

6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets

The weight of this Objective is 0% as technology transfer is not a large enough activity at SLAC to be weighted.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)					
6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)			25%		
6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s)			35%		
6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System			20%		
6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate			20%		
6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets			0%		
Performance Goal 6.0 Total					

(Table 6.1) Goal 6 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

(Table 6.2) Goal 6 Final Letter Grade

7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs

The Contractor provides appropriate planning for, construction and management of Laboratory facilities and infrastructures required to efficiently and effectively carry out current and future S&T programs.

The sustained excellence in operating, maintaining, and renewing the Facility and Infrastructure Portfolio to meet Laboratory needs shall measure the overall effectiveness and performance of the Contractor in planning for, delivering, and operations of Laboratory facilities and equipment needed to ensure required capabilities are present to meet today's and tomorrow's complex challenges.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more performance measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results are important to the success of the corresponding Objective. DOE and SLAC will identify and agree to annual milestones/activities for performance measures by November 2006. Higher or lower ratings will be determined as a percentage above or below the Meets Expectations rating level. Although other performance information available to the evaluating office from other sources may be used, the outcomes of performance measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 7.1 at the end of this section). The overall score earned is then compared to Table 7.2 to determine the overall Goal letter grade.

7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The management of real property assets to maintain effective operational safety, worker health, environmental protection and compliance, property preservation, and cost effectiveness while meeting program missions, through effective facility utilization, maintenance and budget execution; and,
- The maintenance and renewal of building systems, structures and components associated with the Laboratory's facility and land assets.
- The management of energy use and conservation practices.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded.

The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 50%.

7.1.a Achieve the Office of Science Maintenance Investment Index (MII) goal of 2.0% for non-waiver assets.

Target 7.1.a.(1) SLAC achieves the Office of Science MII goal of 2.0% in FY2006.

7.1.b Effective reduction of Deferred Maintenance (DM).

Target 7.1.b.(1) SLAC meets DM reduction goal as stated in the Ten Year Site Plan for FY06.

7.1.c Efficient completion of scheduled preventive maintenance activities for conventional facilities.

Target 7.1.c.(1) SLAC completes 100% of scheduled preventive maintenance within 30 days.

7.1.d Effective execution of annual goals within the Energy Management Plan.

Target 7.1.d.(1) SLAC accomplishes 100% of annual goals identified and agreed to by DOE and SLAC.

7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Integration and alignment of the Ten Year Site Plan to the Laboratory's comprehensive strategic plan;
- The facility planning, forecasting, and acquisition for effective translation of business needs into comprehensive and integrated facility site plans;
- The effectiveness in producing quality site and facility planning documents as required;
- The involvement of relevant stakeholders in all appropriate aspects of facility planning and preparation of required documentation;
- Overall responsiveness to customer mission needs; and,
- Efficiency in meeting cost and schedule performance indices for facility construction projects.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 50%.

7.2.a Effective integrated planning for the acquisition, utilization, maintenance, recapitalization and disposition of real property.

Target 7.2.a.(1) SLAC completes 100% of integrated planning milestones identified and agreed to by DOE and SLAC in the areas of deferred maintenance, maintenance plan, FIMS and Rehab and Improvement Cost.

7.2.b Effective execution of the Safety and Operational Reliability Improvement (SORI) project.

Target 7.2.b.(1) SLAC executes the SORI project within 5% of target for cost and schedule (Cost and schedule performance indices is within -5% or positive variance).

7.2.c Effective execution of facility and infrastructure projects greater than \$250K.

Target 7.2.c.(1) SLAC executes facility and infrastructure project (General Plant and Operating projects) within 5% of target for cost and schedule (Cost and schedule performance indices is -5% or positive variance) To calculate the final rating for this performance measure, the cost and schedule indices for each project in this measure will be multiplied by a weighted factor based on their Total Project Cost and the Total Budget for all projects. The final rating will be calculated based on the weighted cost and schedule indices.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs					
7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs			50%		
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs			50%		
Performance Goal 7.0 Total					

(Table 7.1) Goal 7 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

(Table 7.2) Goal 7 Final Letter Grade

8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems

The Contractor sustains and enhances the effectiveness of integrated safeguards and security and emergency management through a strong and well deployed system.

The Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems Goal shall measure the Contractor's overall success in safeguarding and securing Laboratory assets that supports the mission(s) of the Laboratory in an efficient and effective manner and provides an effective emergency management program.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more performance measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of performance measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying the numerical scores earned by the weight of each Objective, and summing them (see Table 8.1 at the end of this section). The overall score is then compared to Table 8.2 to determine the overall Goal letter grade.

8.1 Provide an Efficient and Effective Emergency Management System

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting Emergency Management goals and expectations.
- The commitment of leadership to a strong Emergency Management performance is appropriately demonstrated.
- The maintenance and appropriate utilization of Emergency Management procedures and processes are effectively demonstrated.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this objective is 50%.

- 8.1.a "Lessons learned" document will be submitted in a timely manner, in general, as a best effort, within 45 days of an occurrence. If more time is required the SSO will be notified of progress, and it is anticipated that more time will be granted if the event is of a major catastrophic level.
- 8.1.b An external review, survey, or inspection will be conducted at least once per year. Additional reviews may result if there is a significant event requiring follow-up and corrective action.
- 8.1.c Employee and Management awareness of their Emergency Management responsibilities. Develop Emergency Response plans sufficient to show emergency preparedness. Provide training for employees during emergency situations, including building evacuations. Establish points of contact (POCs) for handling site emergencies, including emergency communication services. Records should be submitted to the DOE/SSO demonstrating employee training has been provided. An emergency response plan should be submitted for DOE/SSO review and comment during the fiscal year under evaluation.
- 8.1.d Complete corrective actions for reviews in accordance with approved Corrective Action Plans. Corrective actions should be documented in the ORPS.

8.2 Provide an Efficient and Effective System for Cyber-Security

In measuring the performance of this Objective the DOE evaluator shall consider the following:

- The Contractor's success in meeting Cyber-Security goals and expectations.

- The commitment of leadership to a strong Cyber-Security performance is appropriately demonstrated through security plans, audits, and reporting/follow-up on all Cyber-Security incidents.
- The maintenance and appropriate utilization of Cyber-Security risk identification, prevention, and control processes/activities. One aspect of this area would involve network firewall implementation and audit reviews.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishment, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this objective is 40%.

- 8.2.a Cyber-Security Events are reported and mitigated immediately. Performance of network vulnerability scans on the SLAC network systems on a periodic basis (e.g. quarterly), or after significant system upgrades/changes. Reports from network system scans shall be submitted on a quarterly basis to the DOE/SSO.
- 8.2.b An external review, survey, or inspection will be conducted at least once per year. Additional review may result if there is a significant event requiring follow-up and corrective action.
- 8.2.c Ability to complete corrective actions for cyber-security events in a timely manner by the responsible line organizations. Cyber-security events are documented, and a "Lessons-learned" document for the year is compiled. Timeliness will be dependent on the level of the cyber-security event.
- 8.2.d Employee and Management awareness of their Cyber-security responsibilities, as evidenced by plans and employee training. Documented evidence of employee training on cyber-security shall be submitted to the DOE/SSO for review.

8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, and Property

There is very minimal handling of nuclear material at SLAC. In measuring the performance of this Objective the DOE evaluator shall consider the following:

- The Contractor's success in meeting Safeguard goals and expectations.
- The commitment of leadership to strong Safeguards performance is appropriately demonstrated.
- Integration of Safeguards into the culture of the organization for effective deployment of the system is demonstrated.
- The maintenance and appropriate utilization of Safeguards risk identification, prevention, and control processes/activities.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this objective is 10%.

- 8.3.a Safeguard events are reported and mitigated as necessary. Plans are developed for security of property, and inventory loss control (e.g. property tags, and property management of assets). SLAC assets reside in a database.
- 8.3.b External reviews, surveys, or inspections will be conducted once per year, unless there is a significant event requiring follow-up and corrective action, which may result in additional reviews being required.
- 8.3.c Ability to complete corrective actions for reviews in accordance with approved Corrective Action Plans.
- 8.3.d Employee and Management awareness of their Safeguards responsibilities – responsibilities are defined, and appropriate training commensurate with the level of responsibility has been completed.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information.

This Objective is weight 0% since there is no classified and very little sensitive information at SLAC for the objective to be weighted.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM)					
8.1 Provide an Efficient and Effective Emergency Management System			60%		
8.2 Provide an Efficient and Effective System for Cyber-Security			30%		
8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, and SLAC Property			10%		
8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information			0%		
Performance Goal 8.0 Total					

(Table 8.1) Goal 8 Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-08	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

(Table 8.2) Goal 8 Final Letter Grade

Attachment 1

SLAC Appraisal Weight Sheet⁷

		ASCR	BES	BER	HEP	WDTs
		Weight	Weight	Weight	Weight	Weight
Goal #1 Mission Accomplishment						
	Goal's weight	70	20	10	40	65
1a. Impact (significance)		40	50	30	30	25
1b. Leadership (recognition of S&T accomplishments)		30	20	20	30	30
1c. Output (productivity) (pass/fail)		15	15	20	30	30
1d. Delivery (pass/fail)		15	15	30	10	15
Goal #2 Design, Fabrication, Construction and Operation of Facilities						
	Goal's weight	0	60	65	40	0
2a. Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)			10	0	20	
2b. Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)			60	0	0	
2c. Operation of Facility			20	90	80	
2d. Utilization of Facility to Grow and Support Lab's Research Base			10	10	0	
Goal #3 Program Management						
	Goal's weight	30	20	25	20	35
3a. Stewardship of Scientific Capabilities and Programmatic Vision		35	40	20	40	20
3b. Program Planning and Management		35	30	30	40	40
3c. Program Management-Communication & Responsiveness (to HQ)		30	30	50	20	40

⁷ Should one or more of the HQ Program Offices choose not to provide an evaluation for its Goal and its corresponding Objectives the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of BA for FY 2006 as compared to the total BA for those remaining HQ Program Offices.

**FY 2006 Appendix B - Program Office Score for each Goal
Stanford Linear Accelerator Center**

Attachment II

	ASCR		BES		BER		HEP		WDTS	
	Program Office Score	Objective Weight	Program Office Score	Objective Weight	Program Office Score	Objective Weight	Program Office Score	Objective Weight	Program Office Score	Objective Weight
Goal 1	1		1		1		1		1	
Obj 1.1	1	40%	1	50%	1	30%	1	30%	1	25%
Obj 1.2	1	30%	1	20%	1	20%	1	30%	1	30%
Obj 1.3	1	15%	1	15%	1	20%	1	30%	1	30%
Obj 1.4	1	15%	1	15%	1	30%	1	10%	1	15%
Goal 2	0		1		1		1		0	
Obj 2.1	1	0%	1	10%	1	0%	1	20%	1	0%
Obj 2.2	1	0%	1	60%	1	0%	1	0%	1	0%
Obj 2.3	1	0%	1	20%	1	90%	1	80%	1	0%
Obj 2.4	1	0%	1	10%	1	10%	1	0%	1	0%
Goal 3	1		1		1		1		1	
Obj 3.1	1	35%	1	40%	1	20%	1	40%	1	20%
Obj 3.2	1	35%	1	30%	1	30%	1	40%	1	40%
Obj 3.3	1	30%	1	30%	1	50%	1	20%	1	40%

The weightings are based on FY 2005 Projected New Funding

Goal 1 Weighting by Funding			
Program Office		\$ in thousands	Weighting
SC	Other	Funding	
HEP		\$167,519,000	62.6%
BES		\$95,387,000	35.6%
ASCR		\$485,000	0.2%

Attachment II

WD	\$150,000	0.1%
BER	\$4,150,000	1.6%
	<u>\$267,691,000</u>	<u>100.0%</u>

Goal 2 Weighting by Funding

Program Office		\$ in thousands	
SC	Other	Funding	Weighting
HEP		\$167,519,000	62.6%
BES		\$95,387,000	35.6%
ASCR		\$485,000	0.2%
WD		\$150,000	0.1%
BER		\$4,150,000	1.6%
		<u>\$267,691,000</u>	<u>100.0%</u>

Goal 3 Weighting by Funding

Program Office		\$ in thousands	
SC	Other	Funding	Weighting
HEP		\$167,519,000	62.6%
BES		\$95,387,000	35.6%
ASCR		\$485,000	0.2%
WD		\$150,000	0.1%
BER		\$4,150,000	1.6%
		<u>\$267,691,000</u>	<u>100.0%</u>