

*Fiscal Year 2004*

Annual Performance Assessment

Stanford Linear Accelerator Center



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Prepared by:

**U.S. Department of Energy**  
**Office of Science**  
**Stanford Site Office**  
*March 2005*

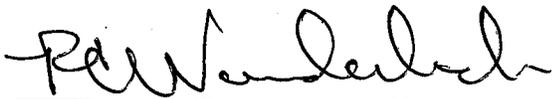
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## SITE MANAGER'S EVALUATION

The DOE-SC Stanford Site Office and SC program offices reviewed and discussed the recommendations of functional managers and staff concerning the appropriate adjectival and numeric ratings with which to rate to Board of Trustees for the Leland Stanford, Jr., University's performance in the management and operation of the Stanford Linear Accelerator Center. Based upon this process an adjectival rating of "excellent" is granted, based on a numeric rating of 85.22% percent.

SLAC has a reputation for being able to produce impressive results with few resources, but there are some clear indications that SLAC resources, both people and money, are stretched too thin to meet the current demands associated with the present SLAC commitments. Overall, there is one significant performance issue at SLAC in FY04. This has resulted in a set of challenges for SLAC Management, particularly ES&H and Project Management, in FY04 that will continue into FY05. While the occurrence of the electrical safety accident and the resulting delays created by the shut-down of all accelerator activities at SLAC will be significant factors in the FY05 performance, this assessment recognizes that the conditions that lead to this accident were present in FY04. This report, the "Fiscal Year 2004 Annual Performance Assessment – Stanford Linear Accelerator Center" provides the basis for this determination and is hereby endorsed and approved.

Approval:



Robert Wunderlich  
Acting Stanford Site Office Director  
Office of Science

Date:

3/3/05

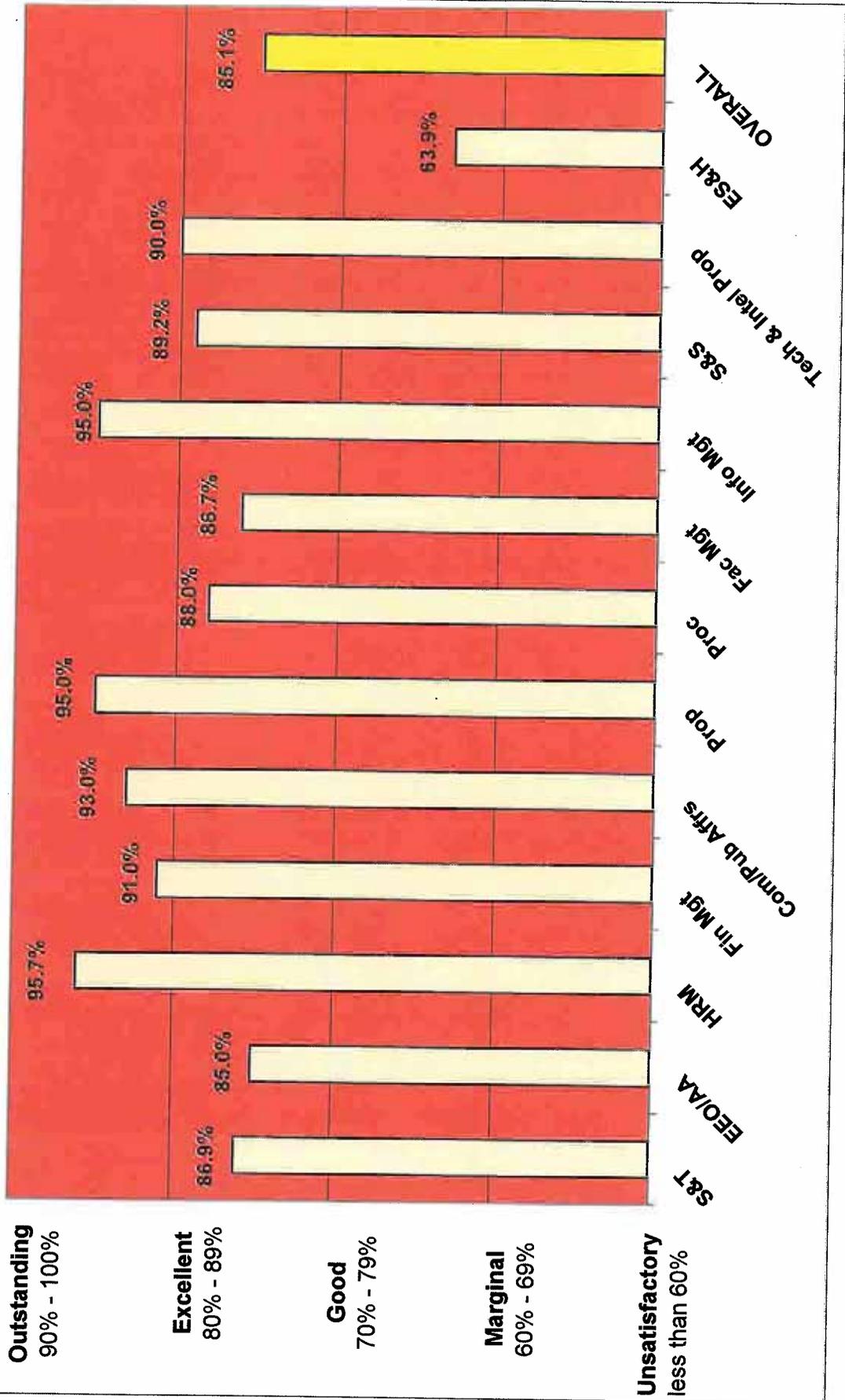
FY 2004 Annual Performance Assessment for  
Stanford Linear Accelerator Center

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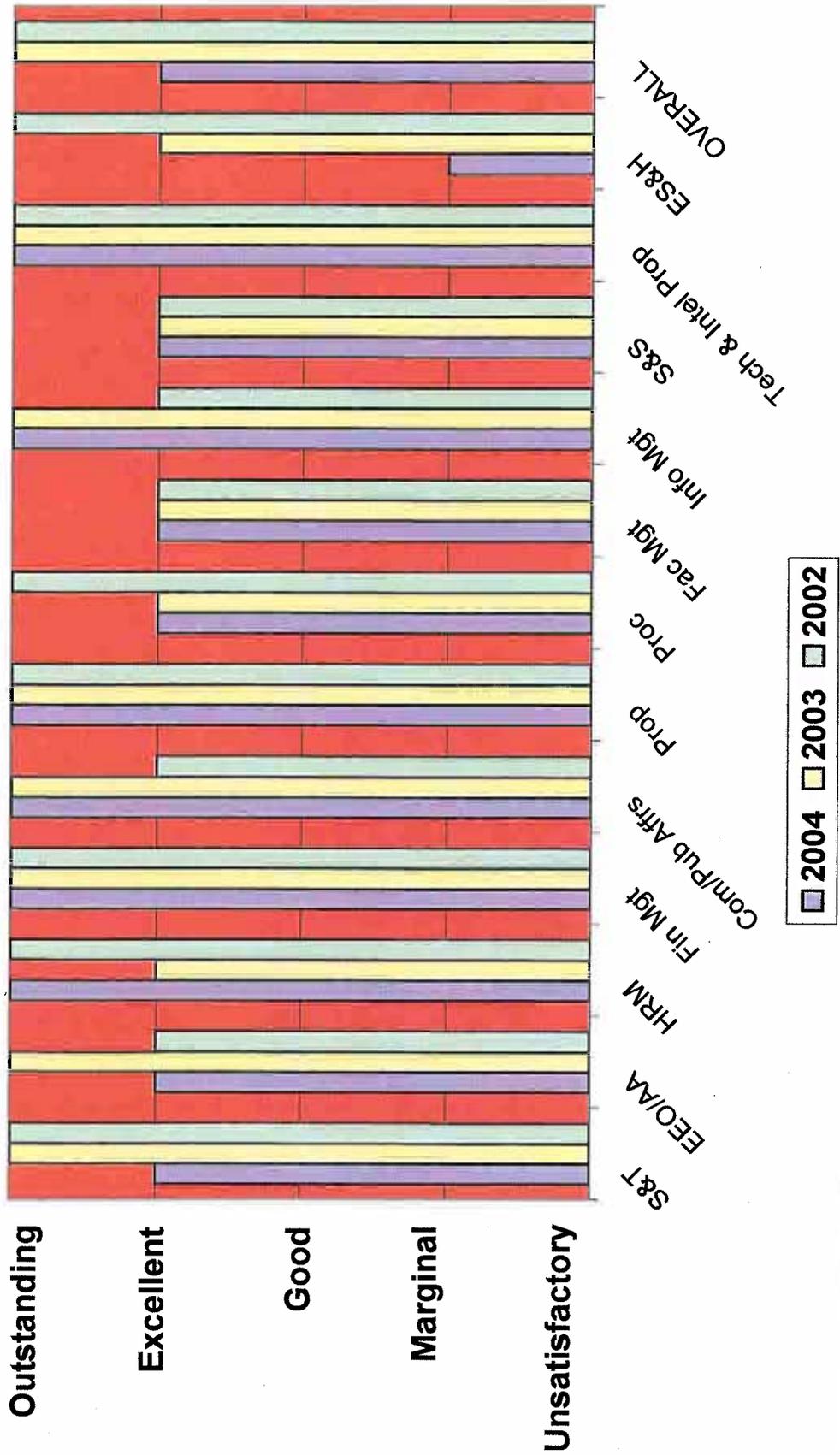
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## **EXECUTIVE SUMMARY**

## Stanford Linear Accelerator Center FY 2004 Performance



# SLAC Annual Performance FY 2002 to FY 2004



## EXECUTIVE SUMMARY

### I. PERFORMANCE-BASED ASSESSMENT PROCESS

This report is produced by the U.S. Department of Energy (DOE), Office of Science, (High Energy & Nuclear Physics (HENP), Basic Energy Science (BES), Basic Energy Research (BER), the Stanford Site Office (SSO), and the Chicago Office, to evaluate the Stanford Linear Accelerator Center's (SLAC) overall performance. The evaluation areas are: 1) Scientific Research Programs and Technology Development; and, 2) Business Management (including ES&H). This evaluation is based upon an objective performance measurement system, validation of the Laboratory's self-assessments, and ongoing operational awareness.

**The period of performance for this Fiscal Year 2004 Annual Performance Assessment Report is October 1, 2003 through September 30, 2004.** The rating is based upon a system evaluation, which provides previously agreed-to measures with ratings expressed as percentage. The rating characterization is five tier (Outstanding, Excellent, Good, Marginal, and Unsatisfactory). The Scientific Research Programs and Technology Development section is weighted 60%, while the Business Management section (including ES&H) is weighted 40%. **Appendix A** of this report provides the methodology for the rating. **Appendix B** of this report provides detailed scores and ratings for each functional area.

**The overall SLAC performance rating for FY2004 is Excellent.** The Science and Technology Program summary rating of **Excellent**, is based on input provided by Dr. Raymond L. Orbach, the Director, Office of Science (SC). The Summary Rating combines performance evaluations from the Offices of: High Energy and Nuclear Physics (HENP), Basic Energy Science (BES), and Biological and Environmental Research (BER). The Business Management summary rating of, **Excellent** covers: Communications & Public Affairs, Environmental Safety & Health, Equal Opportunity & Affirmative Action, Construction & Facilities Management, Financial Management, Human Resource Management, Information Management, Personal Property, Procurement, Safeguard & Security, and Technology & Intellectual Property Management.

The Science and Technology rating was "Outstanding" in FY2003 but decreased to "Excellent" in FY2004. This decrease was due to several issues associated with weaknesses in the SLAC safety program, the GLAST/LAT Project cost and schedule problems, and the required re-baselining of the LCLS Project. The Business Management was rated "Excellent" in FY2003 and remained so in FY2004. A summary chart of the scoring and rating in each area is provided in on page 5 and 6 of this Executive Summary. A full text of the FY 2004 Performance Assessment is provided under the Detailed Assessment Results.

### II. SUMMARY OF SIGNIFICANT ACCOMPLISHMENTS

This Executive Summary highlights SLAC FY2004 performance achievements. The scoring and adjectival ratings for each of the functional areas are contained in the body of this report. There were two Science and Technology areas for improvement in FY2004. Only ES&H and Equal Opportunity and Affirmative Action had areas which warranted recommendations for improvement in FY2004.

## A. SCIENCE AND TECHNOLOGY

### High Energy Physics Program

#### General

The Stanford Linear Accelerator Center (SLAC) currently operates a cutting edge program in high energy physics based on the B-factory, the construction of a space-based astroparticle physics experiment, a number of initiatives for non-accelerator based experimental proposals, theoretical physics, an advanced accelerator research program, and the final analysis of a small scale accelerator experiment which completed data-taking in FY 2003. Overall, the laboratory's priorities are well aligned with the DOE mission and the national HEP program. The SLAC research program is in general well managed, and the scientific productivity is high, in spite of difficulties from the tightly constrained budget. However, there were a number of problems which the laboratory will need to work hard to avoid or overcome. A compelling vision of SLAC's future as a high energy physics laboratory is needed.

#### B-Factory

The SLAC B-factory is one of the highest priority facilities to support advancing the DOE's strategic goals for science. BaBar made substantial progress in a comprehensive set of measurements for CP-violating asymmetries, a systematic exploration of rare decay processes, and detailed studies to elucidate the dynamics of processes involving heavy quarks. The operation of the B-factory overall has been outstanding with high reliability. The B-factory has exceeded all performance specifications and been maintained and improved at reasonable and defensible costs. The BaBar detector continued to perform with an operational efficiency of 97%. From September 2003 to July 2004, PEP-II delivered  $114 fb^{-1}$  of which the BaBar detector recorded  $113.4 fb^{-1}$ . BaBar promptly analyzed and presented the latest results with over 100 submitted publications since 1999. All upgrade and maintenance activities during the planned shutdown period in summer of 2004 were accomplished on schedule.

The B-factory operations review conducted in 2004 concluded that B-factory is being very effectively managed; however, it expressed concerns on the high level of demands on the professional staff which may not be sustainable in long term and noted a higher incident rate in FY 2004 due to a stressed and aging staff. Laboratory management, as its highest responsibility, needs to recognize and pay attention to these and other concerns raised from other external reviews in order to ensure the long term health of its human resources and scientific programs and also to avoid any possible catastrophic risks in its daily operation.

The E158 experiment to measure parity violation in Moeller scattering completed its physics data taking in September 2003. The complete set of data has been analyzed and the world's most precise determination of the electroweak mixing at an energy scale far below the  $Z$  boson mass was published in FY 2004.

#### R&D

The SLAC theory group worked in a variety of areas ranging from the development of fundamental theories to detailed calculations and tests of theories directly relevant to high energy physics experiments at SLAC and elsewhere. At the OHEP's annual review, their work was evaluated to be outstanding with

significant impact on the field.

The excellent achievements in the advanced accelerator research program also demonstrate well developed research plans with effective management and optimal use of resources. This work included a wide variety of topics covering performance enhancement of current accelerators, research and design for near future facilities, research in fundamental aspects of accelerator and beam physics, and accelerator physics and technology on high gradient acceleration and advance concepts. During FY 2004, a spectacular result of sustaining gradients in excess of 15 GeV/m for 10 cm was achieved by beam driven plasma wakefield acceleration.

SLAC led the NLC R&D program, focusing on development of critical technologies such as klystrons and solid-state modulators, design and test of high gradient structures, examination of final-focus requirements, and an aggressive R&D program in the NLC Test Accelerator. During FY 2004, the SLAC NLC group achieved most of the R1 and R2 requirements set by the ICFA International Linear Collider Technical Review Committee. Accomplishments include completion of the 8-pack project by demonstrating a full power SLED-2 rf pulse compression system and operating stably for a substantial length of time; fully commissioning low-level rf controls and monitoring system; and completion of the assembly of phase-2 of the 8-pack project. This was a major achievement, that was well recognized by the International Technology Recommendation Panel.

### **Kavli Center**

The Kavli Institute for Particle Astrophysics and Cosmology (KIPAC), which is connected to both Stanford University and SLAC, has completed its first full academic year. It played a key role on focusing and strengthening SLAC staff's participation in the particle astrophysics research program. The KIPAC is off to a great start bringing a lot of vibrant intellectual activities, however it should be acknowledged that there is a difference between the KIPAC and SLAC as institutions. The proposed expansion of the particle astrophysics and cosmology program will require thorough planning with a realistic budgetary projection weighted by mission relevance of HEP and a clear understanding of the relative roles of the KIPAC and SLAC.

### **GLAST/LAT**

Although the technical work done at SLAC is outstanding, shortly after the project re-baseline in the summer of 2003, the LAT project continues to face various difficulties, resulting in missing a number of key milestones and a forecast of significant cost increase. The project will have to go through yet another re-baseline, only over a year after the previous re-baseline. The laboratory was not on top of the management challenges of GLAST, and did not anticipate the unique technical challenges of its first space mission. Possible solutions to this problem have put the entire HEP program, including the operation of the B-factory in jeopardy but also generate stresses in the relationship between NASA and DOE, including significant impacts on possible future joint ventures between two agencies. The LAT project will require SLAC management to provide continuing intensive oversight.

## **Basic Energy Sciences**

### **General**

The research supported by the BES Materials Sciences and Engineering Division at SLAC/SSRL produces high quality results in photoemission studies of HiTc superconductors, in x-ray scattering of

magnetic materials; and in crystal growth of complex oxides and rare earth compounds. The SSRL program includes research on important national topics, including nanostructures, high temperature superconductors and other strongly correlated electron systems, biological materials, and environmentally important materials. SSRL fulfills a very important DOE mission in providing outstanding service and reliability to its synchrotron radiation user community. The discovery of dissipationless spin currents in magnetic semiconductors as a result of a theory effort led to a major investment by IBM to form a center on this topic with Stanford University. This discovery may lead to major technological breakthroughs for the semiconductor industry.

Activities over the past years at SSRL have been models for construction and facility operations. The completion of SPEAR3 Ring at the SSRL within cost and schedule and the successful commissioning speaks highly of the robust design, outstanding planning, and efficient construction associated with the installation of this new storage ring. These activities have always garnered very high ratings from BES.

However, the electrical accident at SLAC during FY 2004 illustrated significant weaknesses in institutional approaches to safety. The results of that accident were a life-threatening injury to a worker and (at the time of this writing) at least a two-month shutdown of the accelerators at SLAC. This shutdown will have a significant impact on the SSRL user program. From a SLAC institutional perspective, this is unsatisfactory performance. We note, though, that the Type A accident investigation found no specific issues associated with SSRL.

### **Ultra Fast Science Center/Geballe Laboratory for Advanced Materials**

The recent successful proposal that initiated a Center for Ultrafast Science at SLAC will further broaden activities at SLAC in the areas of materials and chemical sciences and will serve as a focal point for the future emphasis on ultrafast science at this institution. SLAC/SSRL now includes the Geballe Laboratory for Advanced Materials (GLAM). The integration of SSRL with GLAM on the campus at Stanford has broadened the topical areas to a wider community of materials research at SSRL. The management of the science research programs is outstanding. The new relationship of SSRL and GLAM and the initiation of the Center for Ultrafast Science are examples of creative and forward-looking management constructs.

### **Linac Coherent Light Source (LCLS)**

The LCLS project has shown excellent performance in FY 2004. The project's leadership is highly capable, and they succeeded in completing Title I design for the facility along with an External Independent Review. The August 2004 DOE review found that the rate of technical progress has been very good given the limited funding available in FY 2004. However, SLAC management has been slow to provide the project with the support necessary for it to be ready to sharply ramp up design and long-lead procurement activities in FY 2005. There is a general tendency to try to do too much with too little, as was demonstrated when the project initially proposed a baseline with cost and schedule contingency margins that were insufficient to address the project's risks.

### **Biological and Environmental Research**

The facilities at SLAC/SSRL have continually been improved and extended to serve the needs of structural molecular biology and environmental remediation science (ERS) users, thus maintaining a high level of relevance to DOE missions, as well as meeting the needs of the national communities in these fields. Plans for improving service to the ERS community were developed that will have a significant positive impact on the ability of DOE to meet its responsibilities in environmental cleanup research.

The structural molecular biology stations at SLAC/SSRL are outstanding and provide a unique range of capabilities for this community, including crystallography, spectroscopy, and small-angle scattering. The senior staff responsible for each of these technologies are leaders in the development of new and innovative techniques for structural molecular biology. The instruments at these stations serve many users who are leaders in the field thanks to the advanced equipment installed on the beamlines and the superior infrastructure available to the users when they visit.

The Environmental Remediation Sciences (ERS) user community at SSRL is growing and also has outstanding facilities and highly regarded staff members to serve it. As a result of the demand for access to SSRL by this community BER has initiated a modest program of support targeted at users who are funded by the ERS Division in BER.

Management of the Structural Molecular Biology (SBM) and environmental remediation sciences programs at SLAC/SSRL is outstanding. The personnel carrying out technological research and supporting users in these fields are effectively managed, resulting in highly efficient use of available funds and strong user satisfaction. These staffs are encouraged to develop new experimental tools and systems, and as a result SSRL has pioneered many advances that have been widely disseminated. The user publications from these programs are outstanding in quality and quantity, effectively making available the results of experiments at the facility worldwide.

The upgrades of beamlines in the SMB program to achieve new capabilities enabled by SPEAR3 have been carried out effectively. These beamlines were among the first to see user experiments when SPEAR3 began regular operations during 2004. The SSRL management planned these beamline upgrades carefully in preparing the SMB renewal application to BER and the National Institutes of Health for the five year period 2000–2004, and took advantage of opportunities offered by new developments in technology during the course of the period to achieve and surpass the objectives established in 2000.

## **B. BUSINESS MANAGEMENT**

**Introduction: Overall Business Management rating was Excellent in FY2004.**

**Of the eleven functional areas evaluated, 8 had no change in ratings from FY2003 to FY2004:**

- ◆ Financial Management .....Outstanding
- ◆ Communications & Public Affairs.....Outstanding
- ◆ Personal Property .....Outstanding
- ◆ Procurement .....Excellent
- ◆ Projects & Facilities Management .....Excellent
- ◆ Information Management .....Outstanding
- ◆ Safeguards & Security .....Excellent
- ◆ Technology & Intellectual Property .....Outstanding

**One Functional area increased rating from FY2003 to FY2004:**

- ◆ Human Resources Management .....Excellent to Outstanding

**Two Functional areas decreased rating from FY2003 to FY2004:**

- ◆ Environmental Safety & Health.....Excellent to Marginal
- ◆ Equal Opportunity and Affirmative Action.....Outstanding to Excellent

Rather than reiterate the scoring or adjectival ratings for each of the functional areas contained in the Detailed Assessment Results, this summary highlights the two areas of achievements at SLAC which had increased ratings from FY2003 to FY2004.

**Functional Area Increased Rating:**

**Human Resource Management:** The overall rating significantly increased from Excellent 89.76% in FY2003 to Outstanding 95.0% for FY2004. This was attributed to the following: Replaced two FY03 measures with three new measures and within these measures, they focused evaluation on SLAC's ability to attract and retain staff within constrained budgets. SLAC's ability to make job offers that are sufficiently competitive to achieve a 93.0% offer acceptance rate for posted positions; demonstrated by its 4.8% attrition rate, which is 70% lower than that of the 15.8% rate for Stanford University; and, annual turnover rate, excluding voluntary retirements, for PhD physicists and engineers was 4.2%, meeting the Outstanding gradient requirement of less than 5.0%. SLAC chose to review its process for withholding taxes from foreign nationals as one of HR systems and processes for improvements. As a result under this measure, attributable to its proactive efforts to scrutinize a process and refine it to maximum efficiency, the systems are excellent, which rate the measure of 95.0%.

**III. RECOMMENDED AREAS FOR IMPROVEMENT****A. SCIENCE AND TECHNOLOGY**

**Laboratory mission and capabilities:** There are some clear indications that SLAC resources, both people and money are stretched too thin to meet the current demands associated with the present SLAC commitments. SLAC management needs to establish a clear vision for the Laboratory and ensure a thorough evaluation of resources and capabilities prior accepting new commitments. This is particularly important with the pending transition for SLAC from a High Energy Physics Laboratory to a "Photon Science" Laboratory.

**B. BUSINESS MANAGEMENT (Functional Areas with Decreased Ratings):**

1. **Environmental Safety & Health:** DOE has questioned the overall effectiveness of the SLAC ES&H Program. An electrical arc accident occurred in early FY05 that severely injured a worker. The subsequent investigation concluded that SLAC had not fully implemented an Integrated Safety Management System (ISM) into the Laboratory

operations during FY04 and earlier. SLAC experienced an increasing number of safety incidents in late FY04, leading to one of the highest Total Recordable Case Rates and Loss Workday Case Rates for an Office of Science Laboratory. SLAC also had inadequate follow-up for previous ES&H audit findings. These factors are viewed as precursors to the electrical safety accident and the resulting delays created by the shut-down of all accelerator activities at SLAC in early FY05. This assessment recognizes that the conditions that lead to this accident were present in FY04. While the SLAC self-assessment includes a number of significant actions that were taken in FY04 to improve the SLAC ISM Program, such as the Job Hazards Analysis and Mitigation (JHAM), the Area Hazards Analysis (AHA), Safety Communications Campaign, and the Accident Reduction Stand-downs, DOE determined that these actions were not effective. As a result, the DOE rating for the SLAC ISM Program is an unsatisfactory. However, since the SLAC ES&H performance measures include additional metrics such as environmental releases, the overall performance of the Fire Department, ionizing radiation exposures, waste management, pollution prevention and control, and environmental restoration projects. The overall SLAC ES&H performance is rated as Marginal.

2. **Equal Opportunity and Affirmative Action:** The performance rating decreased from 95.00% in FY03 to 85.00% in FY04. The decrease can be attributed to the following: SLAC did not meet the measurably significant placement of minorities or women in the high priority underutilized occupational areas; and, did not meet all of the goals identified in the Strategic Plan. The overall accomplishment meets the criteria identified in the performance gradient for an Excellent rating.

# **SCIENCE & TECHNOLOGY**

**Performance Area: SCIENCE AND TECHNOLOGY**

Cumulative Available Points: 600 points

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

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

**A. HIGH ENERGY PHYSICS**

**Available Points: 500**

**Performance Objective: #1: Scientific Research and Technology Development Programs**

Provide new insights into the nature of matter and energy; Provide the science core competencies that contribute to successful DOE and national programs; Ensure effective programmatic and strategic planning; Construct and operate leading-edge experiments and user facilities on schedule, within budget, and in a safe and environmentally sound manner. **(Total Weight = 100%)**

**Performance Criteria: 1.1**

Quality of fundamental and applied science.

**Performance Measures: 1.1.a**

**(Weight: 40%)**

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

### Performance Narrative:

The Stanford Linear Accelerator Center (SLAC) currently operates a cutting edge program in high energy physics based on the B-factory, the construction of a space-based astroparticle physics experiment, a number of initiatives for non-accelerator based experimental proposals, theoretical physics, an advanced accelerator research program, and the final analysis of a small scale accelerator experiment which completed data-taking in FY 2003. A long-range future program has been developed with accelerator research towards the design of an energy-frontier International Linear Collider (ILC).

The B-factory established very impressive performance. From September 2003 to July 2004, PEP-II delivered  $114 \text{ fb}^{-1}$  of which the BaBar detector recorded  $113.4 \text{ fb}^{-1}$ . BaBar promptly analyzed and presented the latest results with over 100 submitted publications since 1999. At a major summer conference, the International Conference on High Energy Physics (ICHEP), BaBar contributed 72 papers and presented 22 talks on the full spectrum of new results. BaBar made substantial progress in a comprehensive set of measurements for CP-violating asymmetries, a systematic exploration of rare decay processes, and detailed studies to elucidate the dynamics of processes involving heavy quarks. BaBar is a large (600 member) collaboration with members from 72 institutions in 9 countries. There are approximately 150 graduate students and 170 postdoctoral researchers receiving training on BaBar. SLAC research staff contributed significantly to this outstanding achievement.

The E158 experiment to measure parity violation in Moeller scattering completed its physics data taking in September 2003. The complete set of data has been analyzed and the world's most precise determination of the electroweak mixing at an energy scale far below the  $Z$  boson mass was published in FY 2004.

The SLAC theory group worked in a variety of areas ranging from the development of fundamental theories to detailed calculations and tests of theories directly relevant to high energy physics experiments at SLAC and elsewhere. At the OHEP's annual review, their work was evaluated to be outstanding with significant impact on the field.

SLAC staff also carried out an excellent advanced accelerator research program with a wide variety of topics covering performance enhancement of current accelerators, research and design for near-future facilities, research in fundamental aspects of accelerator and beam physics, and accelerator physics and technology on high gradient acceleration and advance concepts. During FY 2004, a spectacular result of sustaining gradients in excess of 15 GeV/m for 10 cm was achieved by beam driven plasma wakefield acceleration.

SLAC led the NLC R&D program, focusing on development of critical technologies such as klystrons and solid-state modulators, design and test of high gradient structures, examination of final-focus requirements, and an aggressive R&D program in the NLC Test Accelerator. During FY 2004, the SLAC NLC group achieved most of the R1 and R2 requirements set by the ICFA International Linear Collider Technical Review Committee. Accomplishments include completion of the 8-pack project by demonstrating a full power SLED-2 rf pulse compression system and operating stably for a substantial length of time; fully commissioning low-level rf controls and monitoring system; and completion of the assembly of phase-2 of the 8-pack project. This was a major achievement, that was well recognized by the International Technology Recommendation Panel.

The Kavli Institute for Particle Astrophysics and Cosmology (KIPAC), which is connected to both Stanford University and SLAC, has completed its first full academic year. It played a key role on focusing and strengthening SLAC staff's participation in the particle astrophysics research program.

The overall rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>98.00%</b>
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**Performance Criteria: 1.2**

Relevance to DOE missions or national needs.

**Performance Measure: 1.2.a****(Weight: 15%)**

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

**Performance Narrative:**

Overall, the laboratory's priorities are well aligned with the DOE mission and the national HEP program. The core of the HEP program mission is to explore and discover the laws of nature by investigations of elementary particles and their nature and mutual interactions, which is enabled by development of key cutting edge technologies and trained manpower that provide unique support.

The SLAC B-factory is one of the highest priority facilities to support advancing the DOE's strategic goals for science. It provides new insights into the basic constituents of matter and the forces between them. The Babar experimental program at B-factory has a large (600 member) international collaboration with members from 72 institutions in 9 countries.

SLAC also carries out an excellent advanced accelerator research program with a wide variety of topics covering performance enhancement of current accelerators, research and design for near-future facilities, research in fundamental aspects of accelerator and beam physics, and accelerator physics and technology on high gradient acceleration and advanced concepts.

SLAC led the NLC R&D program as a recognized world leader. After the choice of the cold technology for International Linear Collider (ILC) was made in summer of 2004, SLAC has been examining its linear collider program and reorienting its R&D priorities to bring its best skills to the ILC. SLAC will continue to be an indispensable player and international leader in ILC R&D.

The work on the physics case and detector requirements for the linear collider continued by the SLAC staff with an emphasis on how to use the unique capabilities of the linear collider environment, such as highly efficient heavy quark tagging, beam polarization, and the possible Higgs and SUSY measurements.

The R&D on the EXO double beta decay experiment could provide the enhancement of U.S. leadership in answering one of key questions about the nature of neutrinos that are not otherwise accessible. However with limited available resources, the R&D progress has been slow.

The scientific program at KIPAC is quite diverse. It includes the study of clusters of galaxies, a variety of projects in weak and strong gravitational lensing as well as microlensing, investigations of particle dark matter, modeling of pulsars and gamma ray bursts, study of cosmic censorship hypothesis, calculations of atomic transition for use in X-ray astronomy, and developing new ideas in black hole astrophysics. It is an exciting portfolio; however, it should be noted that only a small fraction of these topics have relevance to the core of the HEP program mission.

The overall rating for this measure is outstanding.

**Performance Rating (Adjectival): Outstanding**

**90.00%**

**Performance Criteria: 1.3**

Effective and efficient research program management.

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

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

**Performance Narrative:**

The SLAC research program is in general well managed, and the scientific productivity is high, in spite of difficulties from the tightly constrained budget. However, there were a number of problems which the laboratory will need to work hard to avoid or overcome.

The effectiveness of SLAC management was well demonstrated by the luminosity records at the B-factory in FY 2004. PEP-II peak luminosity exceeded over three times its design luminosity in May 2004 and the peak integrated luminosity per day has reached  $710 \text{ pb}^{-1}$  per day which is 5.5 times the design value of  $130 \text{ pb}^{-1}$  per day. The BaBar detector continued to perform extremely well, with an operational efficiency of 97%. All upgrade and maintenance activities during the planned shutdown period in summer of 2004 were accomplished on schedule. SLAC has managed to deliver sufficient computing resources for BaBar by effectively managing its computing resources, as well as successfully coordinating with major European agency-funded computing centers in Europe.

The excellent achievements in the advanced accelerator research program also demonstrate well developed research plans with effective management and optimal use of resources.

The KIPAC is off to a great start bringing a lot of vibrant intellectual activities, however it should be acknowledged that there is a difference between the KIPAC and SLAC as institutions. The proposed expansion of the particle astrophysics and cosmology program will require thorough planning with a realistic budgetary projection weighted by mission relevance of HEP and more clear understanding of the relative roles of the KIPAC and SLAC.

SLAC completed its strategic planning exercise to set out a path that fits closely with the current program. The process and final report of this planning exercise are broadly available on the web. In this scenarios exercise, with the uncertainties about the location, technology choice, and timeline of the ILC, the Super-B factory has been presented as the principle backup plan for the case that the LC construction start stretches well beyond the end of decade. However, in contrast to the fact that the physics case for the ILC has been well established, the physics case for a Super-B factory has not been made yet, and it is not clear whether such a project would attract wide support in the HEP community. A compelling vision of SLAC's future as a high energy physics laboratory is therefore still in need.

The overall rating for this measure is excellent.

<b>Performance Rating (Adjectival): Excellent</b>	<b>85.00%</b>
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**Performance Criteria: 1.4**

Success in construction and operation of facilities.

**Performance Measure: 1.4.a****(Weight: 25%)**

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

**Performance Narrative:**

As noted above SLAC has continued to improve the performance of the B factory. The peak luminosity achieved in FY 2004 was  $9.21 \times 10^{33} \text{ cm}^{-2} \text{ sec}^{-1}$ , which is over 3 times the original design peak luminosity of  $3.0 \times 10^{33} \text{ cm}^{-2} \text{ sec}^{-1}$ . The operation of both the PEP-II and BaBar detector has been efficient and effective with a record luminosity of  $710 \text{ pb}^{-1}$  delivered to Babar in one day, which is 5.5 times its design value. The total integrated luminosity delivered to BaBar in FY 2004 was  $114 \text{ fb}^{-1}$ .

During the planned shutdown of the B-factory in summer of 2004, work geared toward further luminosity increase and stable operation for PEP-II was successfully completed. Maintenance and improvement activities for the BaBar detector were also carried out successfully during this shutdown period.

The operation of the B-factory overall has been outstanding with high reliability. The B-factory has exceeded all performance specifications and been maintained and improved at reasonable and defensible costs. The B-factory operations review conducted in 2004 concluded that B-factory is being very effectively managed; however, it expressed concerns on the high level of demands on the professional staff which may not be sustainable in long term and noted a higher incident rate in FY 2004 due to a stressed and aging staff. Laboratory management, as its highest responsibility, needs to recognize and pay attention to these and other concerns raised from other external reviews in order to ensure the long term health of its human resources and scientific programs and also to avoid any possible catastrophic risks in its daily operation.

Although the technical work done at SLAC is outstanding, shortly after the project re-baseline in the summer of 2003, the LAT project continues to face various difficulties, resulting in missing a number of key milestones and a forecast of significant cost increase. The project will have to go through yet another re-baseline, only over a year after the previous re-baseline. The laboratory was not on top of the management challenges of GLAST, and did not anticipate the unique technical challenges of its first space mission. Possible solutions to this problem have put the entire HEP program, including the operation of the B-factory in jeopardy but also generate stresses in the relationship between NASA and DOE, including significant impacts on possible future joint ventures between two agencies. The LAT project will require SLAC management to provide continuing intensive oversight.

The overall rating for this measure is good.

Performance Rating (Adjectival): <b>Good</b>	75.00%
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**B. SYNCHROTRON RADIATION:****Available Points: 100**

<b>Performance Objective #2:</b>	<b>Scientific Research and Technology Development Programs</b>
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<p>Provide new insights into the nature of matter and energy; Provide the science core competencies that contribute to successful DOE and national programs; Ensure effective programmatic and strategic planning; Construct and operate leading-edge experiments and user facilities on schedule, within budget, and in a safe and environmentally sound manner.</p> <p style="text-align: right;"><b>(Total Weight = 100%)</b></p>
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<b>Performance Criteria:</b>	<b>2.1</b>
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Quality of fundamental and applied science.
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<b>Performance Measure:</b>	<b>2.1.a</b>	<b>(Weight: 30%)</b>
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<p>SLAC will be recognized as a world-class research institution providing state-of-the-art facilities to the user community; having an innovative, productive research staff that is recognized as such by their peers; promote and facilitate education of graduate students and production of Ph.Ds; and have a strong and enthusiastic user organization.</p>
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**Performance Narrative:**

Basic Energy Sciences (BES) comment and rating: 97.00%

The research supported by the BES Materials Sciences and Engineering Division at SLAC/SSRL produces high quality results in photoemission studies of HiTc superconductors, in x-ray scattering of magnetic materials, and in crystal growth of complex oxides and rare earth compounds. The discovery of dissipationless spin currents in magnetic semiconductors as a result of a theory effort led to a major investment by IBM to form a center on this topic with Stanford University. This discovery may lead to major technological breakthroughs for the semiconductor industry. SLAC/SSRL now includes the Geballe Laboratory for Advanced Materials (GLAM). The integration of SSRL with GLAM on the campus at Stanford has broadened the topical areas to a wider community of materials research at SSRL. The recent successful proposal that initiated a Center for Ultrafast Science at SLAC will further broaden activities at SLAC in the areas of materials and chemical sciences and will serve as a focal point for the future emphasis on ultrafast science at this institution.

Basic Energy Research (BER) comment and rating: 98.00%

The structural molecular biology stations at SLAC/SSRL are outstanding and provide a unique range of capabilities for this community, including crystallography, spectroscopy, and small-angle scattering. The senior staff responsible for each of these technologies are leaders in the development of new and innovative techniques for structural molecular biology. The instruments at these stations serve many users who are leaders in the field thanks to the advanced equipment installed on the beamlines and the superior infrastructure available to the users when they visit.

The environmental remediation sciences (ERS) user community at SSRL is growing and also has outstanding facilities and highly regarded staff members to serve it. As a result of the demand for access to SSRL by this community BER has initiated a modest program of support targeted at users who are funded by the ERS Division in BER.

The overall rating for this measure is outstanding at 97.00%.

<b>Performance Rating (Adjectival): Outstanding</b>
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<b>97.00%</b>
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**Performance Criteria: 2.2**

Relevance to DOE missions or national needs.

**Performance Measure: 2.2.a****(Weight: 20%)**

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

**Performance Narrative:**Basic Energy Sciences (BES) comment and rating: 97.00%

The SSRL program includes research on important national topics, including nanostructures, high temperature superconductors and other strongly correlated electron systems, biological materials, and environmentally important materials. SSRL fulfills a very important DOE mission in providing outstanding service and reliability to its synchrotron radiation user community.

Basic Energy Research (BER) comment and rating: 98.00%

The facilities at SLAC/SSRL have continually been improved and extended to serve the needs of structural molecular biology and environmental remediation science (ERS) users, thus maintaining a high level of relevance to DOE missions, as well as meeting the needs of the national communities in these fields. Plans for improving service to the ERS community were developed that will have a significant positive impact on the ability of DOE to meet its responsibilities in environmental cleanup research.

The overall rating for this measure is outstanding at 97.00%.

**Performance Rating (Adjectival): Outstanding****97.00%**

**Performance Criteria: 2.3**

Effective and efficient research program management.

**Performance Measure: 2.3.a**

**(Weight: 20%)**

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

**Performance Narrative:**

Basic Energy Sciences (BES) comment and rating: 97.00%

The management of the science research programs is outstanding. The new relationship of SSRL and GLAM and the initiation of the Center for Ultrafast Science are examples of creative and forward-looking management constructs.

Basic Energy Research (BER) comment and rating: 98.00%

Management of the structural molecular biology and environmental remediation sciences programs at SLAC/SSRL is outstanding. The personnel carrying out technological research and supporting users in these fields are effectively managed, resulting in highly efficient use of available funds and strong user satisfaction. These staff are encouraged to develop new experimental tools and systems, and as a result SSRL has pioneered many advances that have been widely disseminated. The user publications from these programs are outstanding in quality and quantity, effectively making available the results of experiments at the facility worldwide.

The overall rating for this measure is outstanding.

**Performance Rating (Adjectival): Outstanding**

**97.00%**

**Performance Criteria: 2.4**

Success in construction and operation of facilities.

**Performance Measure: 2.4.a (Weight: 30%)**

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

**Performance Narrative:**Basic Energy Sciences (BES) comment and rating: 65.00%

Activities over the past years at SSRL have been models for construction and facility operations. These activities have always garnered very high ratings from BES.

However, the electrical accident at SLAC during FY 2004 illustrated significant weaknesses in institutional approaches to safety. The results of that accident were a life-threatening injury to a worker and (at the time of this writing) at least a two-month shutdown of the accelerators at SLAC. This shutdown will have a significant impact on the SSRL user program. From a SLAC institutional perspective, this is unsatisfactory performance. We note, though, that the Type A accident investigation found no specific issues associated with SSRL.

The Linac Coherent Light Source (LCLS) project has shown excellent performance in FY 2004. The project's leadership is highly capable, and they succeeded in completing Title I design for the facility along with an External Independent Review. The August 2004 DOE review found that the rate of technical progress has been very good given the limited funding available in FY 2004. However, SLAC management has been slow to provide the project with the support necessary for it to be ready to sharply ramp up design and long-lead procurement activities in FY 2005. There is a general tendency to try to do too much with too little, as was demonstrated when the project initially proposed a baseline with cost and schedule contingency margins that were insufficient to address the project's risks.

Basic Energy Research (BER) comment and rating: 98.00%

The upgrades of beamlines in the structural molecular biology (SMB) program to achieve new capabilities enabled by SPEAR3 have been carried out effectively. These beamlines were among the first to see user experiments when SPEAR3 began regular operations during 2004. The SSRL management planned these beamline upgrades carefully in preparing the SMB renewal application to BER and the National Institutes of Health for the five year period 2000–2004, and took advantage of opportunities offered by new developments in technology during the course of the period to achieve and surpass the objectives established in 2000.

The overall rating for this measure is marginal 68.00%

Performance Rating (Adjectival): Marginal	68.00%
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# **BUSINESS MANAGEMENT**

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

Cumulative Available Points: 30 points

**Performance Objective: # 1 Equal Employment Opportunity**

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

**(Total Weight = 100%)**

**Performance Criteria: 1.1**

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

**Performance Measure: 1.1.a**

**(Weight: 100%)**

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

**Performance Assumptions:**

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

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

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

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

Self-assessment will address topics such as:

- Recruitment selection and retention accomplishments and efforts relevant to improved representation of minorities and women in high priority underutilized occupational areas;
- Workforce data, a year apart, depicting high priority job group tables which list employment

by ethnicity and gender and which identify the representation and level of utilization for minorities and women in high priority underutilized occupational areas;

- Coupling of outreach and recruitment efforts in high priority occupational areas;
- Outcomes and impacts of actions/accomplishments; and,
- Good faith efforts to accomplish Strategic Plan Goals.

**Performance Gradient:**

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

**Excellent:** In the addition to criteria for Good,

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

**Good:** At least 50% of stated Strategic Plan goals are accomplished; or,

1. There is measurable progress in the representation of minorities or women through special initiatives/efforts not captured in the Strategic Plan.

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

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

**Performance Narrative:**

Stanford Linear Accelerator Center (SLAC) has earned a rating of “Excellent” for its FY 2004 performance in the Equal Opportunity and Affirmative Action functional area. SLAC has made accomplishments on the short term goals over the year which were identified in the FY 2004 Strategic Plan. Individual goals for FY 2004 included utilizing the GEM program as a pipeline for engineering positions; hiring a female manager; hosting two physics professors from HBCU’s as part of the faculty exchange program; and conducting a new availability analysis.

FY 2004 accomplishments of the goals included continued support and utilization of the GEM program as the primary pipeline for minorities in engineering positions. Even though an engineering intern was not hired from the GEM students this year, the pipeline was increased by hosting four GEM students during the summer of 2004. The goal of hiring a female manager was not met. However, the pipeline was increased with the promotion of three females into the Professional occupational category. Three physics professors from Fisk University and Paine College worked on SLAC research projects as part of the successful faculty exchange program. In addition, a new availability analysis was done utilizing new census data from 2000.

During this evaluation period, there were 67 separations, most of which were voluntary. The separation rates of minorities (34.3%) and women (28.4%) were higher than their representation in the workforce. Minorities represent 31.5% of the total population, while women represent 22.8%. However, even with the high separation rate, improvements were made in the Professional and Technician occupational categories, while maintaining diversity gains made over last few years. Minority representation in the Professional category increased from 12.8% to 13.4% and in the Technician category there was an increase from 7.1% to 7.2% representation. Women also made a slight gain in the Professional category where representation increased from 11.6% to 11.7%

The majority of the goals outlined in the Strategic Plan were accomplished in this performance year and there was measurable progress made in minority and female representation in the Professional and Technician categories. Therefore, SLAC's efforts for FY 2004 support a rating of "Excellent".

Performance Rating (Adjectival): Excellent	85.00%
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**Performance Area: HUMAN RESOURCE MANAGEMENT**

Cumulative Available Points: 25 points

**Performance Objective: #1 Customer Needs**

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

**Performance Criteria: 1.1**

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

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

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

**Performance Gradient:**

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

**Performance Narrative:**

NOTE: The rating scale for SLAC's customer survey is opposite to that included in the gradients, i.e., SLAC's scale is 1 to 5, with 1 the highest score; the gradients reflect 1 to 5, with 5 as the high score.

Therefore, Outstanding will be assessed for scores less than 2.0, Excellent – 2.5 to 2.0, Good – 3.0 to 2.5.

SLAC has sustained its **Outstanding** level of performance under this measure in FY2004. The HR action plan for FY2004 was to improve services overall. The results of the annual Customer Satisfaction survey reflect success at achieving this goal, depicting an increasingly satisfied customer base, with an overall score of 1.7 - the best since the survey was initiated in 1999. Employee Relations and Training and Benefits received the most positive narrative feedback, consistent with FY2003, and of the quantitative responses, HR was rated Outstanding by between 47% and 68% of respondents.

Performance Rating (Adjectival): <b>Outstanding</b>	95.00%
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**Performance Objective: # 2 HR Systems and Processes**

The Laboratory strives to provide efficient HR systems and processes.

**(Total Weight = 34%)**

**Performance Criteria: 2.1**

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

**Performance Measure: 2.1.a**

**(Weight: 34%)**

The laboratory will evaluate HR systems and processes for improvements.

**Performance Assumptions:**

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

**Performance Gradient:**

- Outstanding: In addition to the significant improvements in “excellent”, the completion of the project is ahead of schedule and the expected results are achieved or analysis against baseline data indicates the systems are excellent.
- Excellent: If action was initiated, analysis against baseline data for the system or process improvement shows clear improvement or the system is streamlined, enhanced or eliminated or baseline data and the review show the systems meet our expectations.
- Good: One or two major systems or processes are identified for review, baseline data has been taken, and, if action is initiated, there is measurable progress toward improvement.
- Marginal: Some effort is demonstrated, but the results fall short of the expectations for “good” gradient.

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

**Performance Narrative:**

SLAC achieved a rating of **Outstanding** under this measure, attributable to its proactive efforts to scrutinize a process and refine it to maximum efficiency. For FY2004, SLAC chose to review its process for withholding taxes from foreign nationals. Upon discovering that FICA taxes had not been properly withheld from the paychecks of 14 out of 34 foreign national employees, SLAC established a working group to revise the handling of taxation in the Personnel/Payroll System and was able to successfully negotiate payback arrangements with each of the employees owing back taxes. To ensure the revised process was effective, after eight months SLAC conducted a follow-up review of foreign national FICA tax withholding and found no errors.

Performance Rating (Adjectival): <b>Outstanding</b>	95.00%
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**Performance Objective: # 3      Attraction and Retention of Qualified People**

SLAC will attract and retain highly qualified employees, especially PhD level scientific staff and faculty, by offering competitive salaries and by maintaining a work environment which minimizes undesirable turnover. **(Total Weight = 34%)**

**Performance Criteria:      3.1      Hire Compensation**

For the best identified candidate for each posted position, SLAC will offer total compensation competitive in the local market and consistent with internal equity.

**Performance Measure:      3.1.a      (Weight: 14%)**

SLAC will offer an in-hire total compensation package sufficient to assure a positive offer acceptance rate for posted positions.

**Performance Gradient:**

- Outstanding: Offers to candidates are accepted at least 90% of the time.
- Excellent: Offers to candidates are accepted at least 85% of the time.
- Good: Offers to candidates are accepted at least 75% of the time.
- Marginal: Offers to candidates are accepted at least 65% of the time.
- Unsatisfactory: Offers to candidates are accepted less than 50% of the time due to an insufficient compensation package.

**Performance Narrative:**

SLAC is assigned a rating of **Outstanding** for FY2004 given its ability to make job offers that are sufficiently competitive to achieve a 93% offer acceptance rate. Despite the challenge of an extremely limited budget, SLAC manages its payroll at such a high level of efficiency that only seven out of 178 (or 4%) job offers were declined for reasons related to compensation. This meets the Outstanding gradient in that at least 90% of offers were accepted, and warrants a high Outstanding given the difficulty in achieving this offer rate.

Performance Rating (Adjectival): Outstanding	98.00%
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**Perform Performance Criteria: 3.2 Attraction and Retention of Staff**

SLAC turnover, defined as the departure of any benefits eligible employee from SLAC for any reason, will be compared to the annual turnover for all of the remainder of Stanford University .

**Performance Measure: 3.2.a (Weight: 10%)**

The SLAC work and work environment will be sufficiently attractive that total turnover at SLAC will be less than the total turnover on the Stanford University campus.

**Performance Gradient:**

- Outstanding: SLAC turnover rate is lower than Stanford University by more than 25%.
- Excellent: SLAC turnover rate is lower than Stanford University by between 15% and 24%.
- Good: SLAC turnover rate is lower than Stanford University by between 6% and 14%.
- Needs Improvement: SLAC turnover rate is lower than Stanford University by less than 5%.
- Unsatisfactory: SLAC turnover rate is higher than Stanford University.

**Performance Narrative:**

SLAC achieved a rating of **Outstanding** for this measure, far exceeding the expectation under the Outstanding gradient. This measure compares the turnover rate of SLAC to that of Stanford University, with the assumption that since the compensation and benefits programs are controlled by the University, impacts to those programs would be reflected proportionally in the attrition rates for both organizations. SLAC's challenge is to manage its programs and workforce sufficiently to meet funding limitations while maintaining a high level of loyalty and job satisfaction. In FY2004, SLAC has again demonstrated its ability to do this, as demonstrated by its 4.8% attrition rate, which is 70% lower than that of the 15.8% rate for the University.

**Performance Rating (Adjectival): Outstanding 98.00%**

**Perform Performance Criteria: 3.2 Attraction and Retention of Staff**

SLAC will provide a work and scientific environment that will facilitate the retention of PhD level scientific staff and faculty at the Laboratory.

**Performance Measure: 3.2.b (Weight: 10%)**

The annual turnover rate, excluding voluntary retirements, for PhD physicists and engineers will be lower than 8%.

**Performance Gradient:**

- Outstanding: Rate below 5%.
- Excellent: Rate between 5% and 9%.
- Good: Rate between 10% and 14%.
- Needs Improvement: Rate between 15% and 19%.
- Unsatisfactory: Turnover rate higher than 20%.

**Performance Narrative:**

SLAC achieved a rating of **Outstanding** for this measure. The intent of this measure is to determine SLAC's effectiveness at retention of PhD physicists and engineers by comparing the turnover rate of this group to a rate of 8.0%, which would be considered problematic for a laboratory such as SLAC. For FY2004, SLAC's rate of turnover for this group was 4.2%, meeting the Outstanding gradient requirement of less than 5.0%.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>95.00%</b>
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**Performance Area: FINANCIAL MANAGEMENT**

Cumulative Available Points: 55 points

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

<b>Performance Objective: #1</b>	<b>Financial Stewardship</b>
Effective and Efficient Cash Management	<b>(Total Weight = 12%)</b>

<b>Performance Criterion: 1.1</b>
Accounts receivable delinquencies are minimized.

<b>Performance Measure: 1.1.a</b>	<b>(Weight: 6%)</b>
Reduce the amount of delinquent accounts receivable 90, 91-180, and over 180 days old.	

**Performance Assumption:**

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

**Performance Gradient:**

**Outstanding:**

No Federal or non-Federal receivables are delinquent more than 180 days. The value of receivables more than 90 days old is less than 1% of the value of total receivables.

**Excellent:**

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

**Good:**

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

**Marginal:**

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

**Unsatisfactory:**

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

**Performance Narrative:**

SLAC's rating is "Outstanding" under GOAL #1, Effective and Efficient Cash Management, 1.1., for Accounts Receivable value of less than 1.0 percent of the value of the total receivables (actually 0.2%) more than 90 days old, and no Federal or non-Federal receivables were delinquent more than 180 days.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>95.00%</b>
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**Performance Criterion: 1.2**

Improvements are made to Accounting Processes.

**Performance Measure: 1.2.a**

**(Weight : 6%)**

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

**Performance Assumptions:**

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

**Performance Gradient:**

Outstanding:

Significant improvements are demonstrated in three areas.

Excellent:

Significant improvements are demonstrated in two areas.

Good:

Significant improvement is demonstrated in one area.

Marginal:

Areas of improvement are identified and plans are formulated.

Unsatisfactory:

No areas of improvement are identified.

**Performance Narrative:**

SLAC's performance under GOAL #1, Performance Measure 1.2., in the area of Improvements Made to Accounting Processes, is rated as "Outstanding" due to the improvements made in ten (10) areas, significantly more than the three (3) areas required for an "Outstanding" rating, and especially given the quality of those improvements. The following is a partial list of process improvements made by SLAC.

1. Creation of a Labor Forecast to meet accelerated MARS closing requirements. Accounting staff worked with support programmers to assist the Chicago Office (CH) in meeting new, earlier reporting DOE deadlines.
2. Automation of the recording of purchase card data. Cardholders now enter their accounting data online on the web at the Bank. Accounting is now able to download data from the bank prior to

month end and send e-mails to cardholders who have entered invalid charge numbers. This greatly improves accuracy and reduces Month-end research time for accounting, but also is used by Purchasing to monitor and evaluate purchasing activities by the cardholders for improved internal control .

3. Developed a new Charge Number Workflow process and attributes to enhance the charge number attributes database that was developed in FY2003. The new workflow was implemented among Division Planners, Accounting and the Budget Office.
4. SLAC created an internal STARS database for reporting to DOE Headquarters (HQ).
5. Created a database to help reconcile Inventory Payables.
6. The Travel Reimbursement Office (TRO) implemented a new online Foreign Travel Request database which allows much faster searches for outstanding requests, as well as comparison of different requests for any given individual.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>95.00%</b>
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**Performance Objective # 2. Financial Stewardship**

Quality Budget Formulation & Effective Budget Execution.

**(Total Weight = 33%)**

**Performance Criterion: 2.1**

Budgets are timely submitted.

**Performance Measures: 2.1.a**

**(Weight: 9%)**

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

**Performance Assumption:**

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

**Performance Gradient:**

**Outstanding:**

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

**Excellent:**

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

**Good:**

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

**Marginal:**

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

**Unsatisfactory:**

This rating is assigned by not submitting a budget.

**Performance Narrative:**

SLAC's rating under GOAL #1, for Performance Measure 2.1.a., Timely Budget Submissions, etc., is "Excellent". In January 2004, SLAC budget oversight shifted from Oakland to Chicago (CH). This transition impacted some operational functions. Prior year submissions have all been due by April 30. However this year, DOE Headquarters changed the due date to April 23 on short notice, changed the required input to include both primary and secondary materials at the same time, and reduced the time available for SLAC submission. Based on the established, prior year internal lab timetable for budget data gathering and submissions, and the combined materials required, SLAC requested and received an extension of the date to April 30. Budget submission was complete and thorough. Overall, SLAC has performed well given that the budget validation was more extensive than the 20% required in prior years, and the transition to CH affected the validation process and requirements.

<b>Performance Rating (Adjectival): Excellent</b>
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<b>85.00%</b>
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<b>Performance Criteria:</b>	<b>2.2</b>
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Manage uncosted balances.	
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<b>Performance Measure:</b>	<b>2.2.a</b>	<b>(Weight: 9%)</b>
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Reduce or maintain uncosted balances within the criteria established by the DOE.		
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### Performance Assumptions:

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

### Performance Gradient:

#### Outstanding:

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

#### Excellent:

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

#### Good:

This rating is assigned if the annual uncosted report is timely filed and both accurate and complete and any ad hoc request are timely and complete in response.

#### Marginal:

This rating is assigned if the annual uncosted reports is late and/or requires major rework.

#### Unsatisfactory:

This rating is assigned if the annual uncosted report is not filed.

### Performance Narrative:

SLAC's performance under GOAL #1, for Performance Measure 2.2., Managing Uncosted Balances, rates an "Outstanding" given the adjusted ratio, 16.6 percent, of uncosted balances versus Obligations remained the same, but the overall balance totals decreased by \$4.6M. In addition, while the

percentage of balances requiring justification increased to 21 percent, the balances were maintained within the criteria established by DOE, and the submission was timely.

Performance Rating (Adjectival): <b>Outstanding</b>	91.00%
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**Performance Criterion: 2.3**

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

**Performance Measure: 2.3.a****(Weight: 15%)**

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

**Performance Assumptions:**

SLAC will describe the system used to control costs and commitments, identify the number of DOE authorized funding levels measured, the number of times the DOE authorized funding levels were exceeded, the number of times there were costs in excess of the Obligation Control Level (OCL).

**Definitions:**

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

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

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

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

**Performance Gradient:****Outstanding:**

This rating is achieved by controlling costs within the funding levels identified in the contract modification for each accounting period including a demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels. Training of internal customers on the laboratory financial system and processes that provide costs control information. Meeting DOE requirements for funding changes within the normal funding cycles.

**Excellent:**

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

**Good:**

This rating is assigned if laboratory costs are within OCL at the end of each monthly accounting period.

**Marginal:**

This rating is assigned by exceeding OCL in any accounting period.

**Unsatisfactory:**

This rating is assigned by exceeding OCL in two or more funding areas or accounting periods.

**Performance Narrative:**

SLAC's performance under GOAL #1, Performance Measure 2.3.a., Costs and Commitments Properly Reported, rates an "Outstanding". The costs and commitments of all SLAC programs were within DOE authorized funding levels identified in the contract modifications for each accounting period. In addition, SLAC has trained greater numbers of internal customers on the SLAC Business Information System (BIS) and processes that provide cost control information. This has resulted in an increased use of the SLAC BIS which has improved the accuracy of SLAC's cost reporting, as well as providing better reporting capabilities with more reports available from the BIS. There were no reported violations.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>91.00%</b>
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**Performance Objective # 3. Financial Stewardship**

Effective Internal Controls and Audit Findings Follow-up.

**(Total Weight = 14%)**

**Performance Criterion: 3.1**

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

**Performance Measure: 3.1.a**

**(Weight: 7%)**

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

**Performance Assumptions:**

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

**Performance Gradient:**

Outstanding:

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

Excellent:

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

Good:

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

Marginal:

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

Unsatisfactory:

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

**Note:**

Factors that will be considered for a higher rating include:

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

**Performance Narrative:**

SLAC's performance under GOAL #1, Performance Measure 3.1.a., Timely Audit Resolution is "Outstanding". In accordance with the performance gradients, an "Outstanding" rating reflects performance such that 96-100% of all events are resolved on schedule. SLAC had five audit events during FY2003. These audits were:

1. Audit of Allowable Costs for FY2003.
2. Compliance with OMB Circular A-133.
3. Review of SLAC Purchasing Controls.
4. Review of SLAC Controls over Blanket Order Releases.
5. Audit of Bank One MasterCard Transaction Data.

In reviewing SLAC's audit events, SLAC has resolved 100% of these audit events in a timely fashion. SLAC has continued to aggressively pursue resolution of corrective actions from audit recommendations, if any incidents, such as the reimbursement of employee travel laundry charges, occur. SLAC is continuing to implement and enhance the Purchasing Office controls identified in the FY2003 self-assessment. In the next FY2005, SLAC Performance Evaluation cycle, SLAC management will be expected to document the measurement of the level of achievement for actions taken. SLAC's performance for this measure is "Outstanding".

<b>Performance Rating (Adjectival): Outstanding</b>	<b>92.00%</b>
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**Performance Measure: 3.1.b****(Weight: 7%)**

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

**Performance Assumptions:**

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

**Performance Gradient:****Outstanding:**

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

**Excellent:**

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

**Good:**

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

**Marginal:**

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

**Unsatisfactory:**

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

**Note:**

Factors that will be considered for a higher rating include:

- OAK validations that have positive findings.
  - Proactive interaction with OAK in addressing and correcting travel costs issues.
- Timeliness of submission of travel costs.

**Performance Narrative:**

SLAC's performance under GOAL #1, Performance Measure 3.1.b., Adequate Internal Controls Over Travel Costs, rates an "Outstanding". There is sufficient documentation supporting each travel report, a 100% review of expense reports submitted by travelers, and a tracking of reimbursement timeliness.

As required by DOE, reported travel costs excluded travel under Work For Other agreements, travel of subcontractors, travel of users to participate in experiment at DOE-user facilities, relocation costs or costs of travel management.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>92.00%</b>
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**GOAL # 2:** Effectiveness and Efficiency: Achieve cost effective and efficient Financial Management operations by applying available resources to continuous improvement efforts.

**Performance Objective: #1.0**

Ensure accounting data is recorded accurately and timely in accordance with prescribed standards.  
(Total Weight = 16%)

**Performance Criterion: 1.1**

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

**Performance Measures: 1.1.a**

**(Weight: 7%)**

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

**Performance Assumption:**

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

**Performance Gradient:**

**Outstanding:**

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

**Excellent:**

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

**Good:**

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

**Marginal:**

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

**Unsatisfactory:**

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

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

**Performance Narrative:**

SLAC's performance under GOAL #2, Performance Measure 1.1.a., Accounting reports are timely and meet content requirements, rates an "Outstanding". Despite the upheaval during Fiscal Year 2004, resulting from the closing of the Oakland Operations Office and the transition to the Chicago Integrated Support Office (CH), SLAC met its requirements. With the disruption of new oversight points of contact at CH, different reporting requirements, and some new people and processes at the site office, reports were submitted timely; they addressed the content requirements; and are free of significant errors. No resubmittals or extensions of time were required. SLAC was able to submit according to the original deadline rather than request any extended due date from DOE.

<b>Performance Rating (Adjectival): Outstanding</b>
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<b>89.00%</b>
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**Performance Criterion: 1.2**

FY 2003 Financial Statements hold up under audit by DOE/OIG or Stanford Internal Audit.

**Performance Measures: 1.2.a**

**(Weight: 10%)**

FY 2003 audited financial statements are prepared in accordance with DOE requirements.

**Performance Assumption:**

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

**Performance Gradient:**

**Outstanding:**

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

**Excellent:**

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

**Good:**

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

**Marginal:**

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

**Unsatisfactory:**

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

**Performance Narrative:**

SLAC's performance under GOAL #2, Performance Measure 1.2.a., Audited Financial Statements are complete, accurate, and documented., is rated as "Outstanding". SLAC financial statements are complete, accurate, supported by documentation, and there have been no findings in audits by the DOE Office of Inspector General (OIG) and others. SLAC's analysis of inventory, preparation of

monthly AR balances prior to the financial statement preparation, and other preparatory attempts indicates that the analysis process is identified and evaluated on an ongoing basis.

<b>Performance Rating (Adjectival): Outstanding</b>
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<b>95.00%</b>
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**Performance Objective: #2.0**  
Construction projects are capitalized. **(Total Weight = 7%)**

**Performance Criterion: 2.1**  
Construction projects are capitalized.

**Performance Measures: 2.1.a** **(Weight: 7%)**  
Construction projects are capitalized in accordance with DOE requirements.

**Performance Assumption:**

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

**Performance Gradient:**

**Outstanding:**

In addition to meeting the requirements for the Excellent rating, SLAC implements improvements to closing process and streamline it and/or shorten the schedule.

**Excellent:**

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

**Good:**

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

**Marginal:**

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

**Unsatisfactory:**

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

**Performance Narrative:**

SLAC's performance under GOAL #2, Performance Measure 2.1.a., Construction Projects are Capitalized in Accordance with DOE Requirements, achieves an "Excellent" rating. To achieve a "Good" performance rating, a plan must be developed for projects to be closed and capitalized by DOE's year-end established deadlines, and all key milestones are met by the due date. In addition to that, achievement of an "Excellent" rating requires SLAC to review the closing process and identify ways to improve it, streamline it, and/or shorten the schedule. In the last two years, SLAC has developed and improved the planning process by implementing a new, coordinated review procedure which includes Accounting, the Budget Office, and Property Control. For the FY2004 SLAC added the Site Engineering and Maintenance group to the review process which has resulted in significantly enhanced management of the budget and accounting aspects of construction projects, allowing accounting and budget staff to closely monitor projects to ensure compliance. However, the lack of documented improvements to the closing process which shorten the schedule or streamline it, leaves SLAC with room for improvement to "Outstanding" in the next fiscal year evaluation cycle. All constructions projects were capitalized according to beneficial use and other DOE requirements. This level of improvement gives SLAC an "Excellent" rating.

Performance Rating (Adjectival): <b>Excellent</b>	88.00%
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<b>Performance Objective: #3.0</b> Effective and efficient indirect cost management. <span style="float: right;"><b>(Total Weight = 18%)</b></span>
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<b>Performance Criterion: 3.1</b> SLAC manages its indirect rates.
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<b>Performance Measure: 3.1.a</b> <span style="float: right;"><b>Weight: 9%</b></span>
Policies, data, and reports consistent with Cost Accounting Standards (CAS) compliance and DOE requirements; financial practices are consistent with CAS Disclosure Statement.

**Performance Assumption:**

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

**Performance Gradient:**

**Outstanding:**

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

**Excellent:**

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

**Good:**

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

**Marginal:**

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

**Unsatisfactory:**

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

**Note:**

Factors that will be considered for a higher rating includes:

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

**Performance Narrative:**

SLAC's performance under GOAL#2, Performance Measure 3.1.a., Cost Accounting Standards (CAS) compliance and financial practices consistent with CAS Disclosure Statement, is rated "Outstanding". SLAC CAS compliance and financial practices have been evaluated and the result was no variation from the required DOE Disclosures Statement and CAS.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>91.00%</b>
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<b>Performance Measure: 3.1.b</b>	<b>Weight: 9%</b>
SLAC prepares and submits the Functional Support Cost Report (FSC) in accordance with DOE requirements.	

**Performance Assumption:**

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

**Performance Gradient:**

**Outstanding:**

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

**Excellent:**

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

**Good:**

The FSC is not submitted on time with some necessary or minor corrections.

**Marginal:**

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

**Unsatisfactory:**

SLAC does not submit the FSC.

**Performance Narrative:**

SLAC's performance under GOAL #2, Performance Measure 3.1.b., Functional Support Cost (FSC) Report submission, is rated as "Outstanding". SLAC's submittal was timely, complete, accurate, in accordance with DOE guidelines, and with adequate supporting documentation.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>91.00%</b>
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**Performance Area: COMMUNICATION AND PUBLIC AFFAIRS**

Cumulative Available Points: 15 points

**Performance Objective: # 1**

The SLAC Office of Communications will have systems in place to effectively communicate the mission of the laboratory both internally and externally; and, to support its scientific programs and achievements. **(Total Weight = 100%)**

**Performance Criteria: 1.1**

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

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

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

**Performance Criteria: 1.2**

Communications will maintain SLAC's position as a constructive participant with staff members, other U.S. laboratories and the international scientific community. Provide information to the laboratory community on the laboratory's scientific programs and achievements.

**Performance Measure: 1.2.a (Weight: 40%)**

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

**Performance Assumptions:**

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

Public access to the laboratory can be demonstrated quantitatively (e.g. number of people on tours and at public functions, number of hits on public web pages. Qualitative evaluation may also be provided from visitor feedback for SLAC tours, web page comments and/or attendees at public functions.

**Performance Gradient:**

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

90% - 100%	Outstanding:	Results demonstrate improvements have occurred and more effective processes are in place to systematically achieve the performance measures.
80% - 89%	Excellent:	Results demonstrate some improvements have occurred and effective processes are in place towards more consistently achieving the performance measures.
70%- 79%	Good:	Results fall short of expectations for the Excellent gradient; however, some improvements have occurred and some processes are in place towards achieving the performance measures.
60% - 69%	Marginal:	Results fall short of the expectations for the Good gradient; however, some effort has been made towards achieving the performance measures.
Less than 60%	Unsatisfactory:	No demonstrated improvements and little or no effort expended to develop effective processes towards achievement of the performance measures.

**Performance Narrative:**

In FY 2004, the Stanford Linear Accelerator Center Office for Communications, under the outstanding leadership of Communications Director Neil Calder, with his capable staff, effectively promoted understanding, appreciation, and support for the laboratory's research in high energy physics, particle astrophysics, and synchrotron radiation. Together they developed favorable relations and good will with SLAC's funding agencies, staff members, news media, governmental officials, the Stanford University, visitors, the community, the Department of Energy, and other national and international laboratories.

The Communications Team successfully communicated the mission of the laboratory both internally and externally with every opportunity it had throughout the year. Both the laboratory and DOE's contributions and achievements to scientific research were highlighted in local, national, and international media coverage. The many, varied outreach activities and events coordinated by this group gained recognition and support within the laboratory and throughout the local community.

Following are highlights of the group's FY 2004 activities in support of external and internal relations and activities to highlight and support the laboratory's scientific programs and achievements:

### **Internal and External Communications**

A Systematic approach to improve internal communication established effective centralized repositories for news, events, announcements, and activities at the Laboratory. Publication of *The Interaction Point* newsletter twice monthly to SLAC community stakeholders and retirees serves to announce and document events, services, outreach and scientific education (<http://www2.slac.stanford.edu/tip/>).

*SLAC Today* website which is updated daily provides effective centralized information for the Laboratory Community with news, features, events, and announcements and is now available from off-site for improved user accessibility (<http://today.slac.stanford.edu/>).

*DOE PULSE* on-line monthly with science highlights from the national laboratories and the DOE section on *EurekaAlert!* Website publicizes press releases, feature articles and digital image bank (<http://www.eurekaalert.org/doe/labs.php?lab=1495>).

The SLAC Welcome page features public information, highlights of scientific research and accomplishments. Support for technical and scientific projects included production of literature describing the Linac Coherent Light Source, a trifold brochure for SLAC's newest project division.

### **Laboratory Events**

The Communications Group organized the SPEAR3 Dedication Ceremony. Communications staff provided excellent customer service to support major scientific conferences, meetings, and seminars throughout the year. From initial announcements through promotion effective publicity for SLAC events is facilitated using *SLAC Today* and *The Interaction Point*. Announcement and updates from event sponsors were always timely.

The Kavli Building Ground Breaking Ceremony was held in June 2004 and the Education Fair for SLAC employees and their families was held where representatives from 15 educational institutions provided information about admissions and careers.

Family Day Science Program. They are also involved in preparations for the first Regional Science Bowl at SLAC and the Stanford Community Day 2005.

### **DOE Relations**

Increased communication and worked closely with the DOE Stanford Site Office and Headquarters. Coordinated important site visits including: DOE Secretary Spencer Abraham for Science Education Initiative Announcement; Michael Holland and Kathie Olsen of the Office of Science and Technology Policy; Congressional Staffer Jason Larrabee from the House Appropriations Committee; Dr. George Atkinson, Science Adviser to Secretary of State Colin Powell; Dixon Butler, staff member of the

House Subcommittee on Energy and Water Development; DOE Office of Science Director Ray Orbach; DOE Office of Science Associate Director Robin Staffin.

### **Community Outreach**

Laboratory participation in community events has been greatly expanded by the quarterly SLAC Public Lecture Series and *SLAC Connections*, a monthly electronic community newsletter detailing upcoming lectures, tours, and programs at SLAC. Tour program listings on the Stanford event calendar and on-line reservations have made requests for guests and guides more effective. The Lecture Series attracts crowds to SLAC, tells them who the laboratory is and what we do, and gets them excited about science. The bi-monthly public lectures alternate between SLAC and Stanford Synchrotron Radiation Laboratory speakers with 1-hour presentations followed by a mini-reception during which the public can informally ask questions to 10 scientists on hand.

Laboratory participation in Stanford University activities included the Sally Ride Science Festival, Community Day, and annual Commencement Tours. The SLAC Office for Communications contributed to events including Kids Day (accommodating 234 children ages 9-16) and the SLAC Family Day Science Program. They are also involved in preparations for the first Regional Science Bowl at SLAC and the Stanford Community Day 2005.

Art Exhibits both at SLAC and in public galleries serve to educate people about science, such as Meson visualizations in September 2004 entitled "Sum over Histories" with visualizations of quantum phenomena from standard-model collisions to particle-wave duality and Sculptor Douglas Abdell's welded bronze piece, entitled "Kryeti-Aekyad", which is currently on exhibit at SLAC.

### **Science Education**

The Communications Group coordinated SLAC participation in the Quark net program for science teachers and DOE's Science Undergraduate Laboratory Internship (SULI) program. SLAC sent a representative to the 7<sup>th</sup> Annual DOE EPSCor and LS-LAMP Student Research Conference entitled "Integrating Technology for a Competitive Edge." SLAC created an exhibit on "High Speed Networking will Change Your Life!" for the What's Next Expo held at Chicago's Navy Pier.

The annual SLAC Summer Institute (SSI) hosted 332 participants exploring Nature's Greatest Puzzles. SSRL hosted the 4<sup>th</sup> annual Structural Molecular Biology (SMB) summer school attended by 23 students focused on synchrotron-based techniques and their application to biological problems. The DOE-funded Gateway program enables students to receive training at SSRL in advanced synchrotron radiation techniques.

### **International Collaboration**

The Communications Group contributed to improved communications through international collaboration in both High energy Physics and Synchrotron Radiation research. The group was influential in establishing the Interactions.org website featuring new and images from international high energy physics laboratories (<http://www.interactions.org/cms/>). Lightsources.org will launch in February 2005 representing international laboratories for the synchrotron radiation user community. *Symmetry* is a brand new physics magazine, which is a joint effort between Fermi Lab and SLAC Communications and Public Affairs. The inaugural issue in October 2004 featured articles, commentaries, essays, profiles, reviews and outside perspectives of the work done at both laboratories (<http://www.symmetry.org>). SLAC hosted the visit by Lord David Sainsbury, United Kingdom Minister for Science and Innovation. Roberto Petronzio, President of Istituto Nazionale di Fisica Nucleare, also visited the laboratory.

**Media**

International, national, and local media coverage of the Laboratory's activities was significantly increased in both quality and scope. Extensive coordination of several international press releases included those issued from an international conference in Beijing on B Factory science and the International Linear Collider technical decision.

The overall rating is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>95.00%</b>
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**Performance Area: PERSONAL PROPERTY**

Cumulative Available Points: 15 points

<p><b>Performance Objective: #1 Personal Property Excellence</b></p> <p>The Laboratory will maintain a personal property system that ensures Property programs incorporate best practices as applicable, promote customer service, and operate in accordance with policies and procedures approved by DOE and the requirements of the Prime Contract.</p> <p style="text-align: right;"><b>(Total Weight = 100%)</b></p>
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<p><b>Performance Criteria: 1.1 Assessing Degree of Excellence Achieved</b></p> <p>The Laboratory documents and reports its performance results against established sub-measures contained in the Personal Property Assessment Model (PPAM).</p>
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<p><b>Performance Measure: 1.1.a Measuring System and Service Levels</b> <b>(Weight: 100%)</b></p> <p>An overall Personal Property excellence score is determined as a result of the points achieved on the PPAM. The PPAM is the management system framework that establishes and maintains a customer focus, a continuous and breakthrough process improvement culture, and an emphasis on results.</p>
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**Performance Gradients:**

<b>Points</b>	<b>Ratings</b>
≥ 90 Points	Outstanding
80-89 Points	Excellent
70-79 Points	Good
60-69 Points	Marginal
< 60 Points	Unsatisfactory

**Performance Narrative:**

During FY2004, SLAC Property Management conducted a wall-to-wall inventory of both “sensitive” property and equipment. From a total population of 4,037 sensitive items valued at \$6,866,998.92 and 4,330 items of equipment valued at \$825,255,072.60, 99.88% percent of sensitive items and 99.97%

percent of equipment items were located by dollar value, respectively. The Stanford Site Office Institutional Business Manager participated in a follow-up validation during which all items were located.

SLAC scored well in system performance indicators such as: controlled equipment custodial assignment at 100% percent, and initial custodians assigned within 60 days at 99.04% percent. However, sensitive property custodial assignment accuracy received a good rating score of 93.33% percent and has improved compared to last year 86.6% percent marginal rating.

During FY2004, SLAC motor vehicle program achieved an average of 150% percent motor vehicle utilization for all four vehicle (class 1, 2, 4 and 5) classifications. This achievement surpassed FY2003 132% percent motor vehicle utilization for all four vehicles (1, 2, 4, and 5) classifications.

SLAC continues to provide an above average level of customer services with a rating of excellent. The FY2004 customer survey had a response rate of 15.67% percent (or 47) from the total of 300 employees surveyed.

As a result of SLAC's self assessment, it was determined that 97.10% percent of the excess property generated in FY2004 has been disposed of within 180 days. One hundred percent of items currently in storage are properly documented, and 34 storage tags are closed out during the year. The property pass system is reviewed on a monthly basis via email. All passes are up to date. All 37 loans in place at this time are current. The walk-through program is in compliance with policy and procedures and is conducted biennially. All items identified as excess during the walk through were resolved within 90 days.

During FY2004, all property staff attended the identified training.

The SLAC Personal Property Management System was reviewed on June 16-23, 2003 by the Office of Science team. The team identified some vulnerability which required the development of a Corrective Action Plan (CAP). A recent validation by SSO confirmed that all the team's concerns have been adequately addressed, and the CAP is considered successfully completed.

The overall rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>95.00%</b>
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**Performance Area:           PROCUREMENT**

Cumulative Available Points: 25 points

**Performance Objective    #1    Procurement Excellence**

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

**(Total Weight = 100%)**

**Performance Criteria:       1.1    Assessing Degree of Excellence Achieved**

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

**Performance Measure:     1.1.a        Measuring System and Service Levels**

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

**(Weight: 100%)**

**Performance Gradient:**

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

### **Performance Narrative:**

The Department of Energy's (DOE) Stanford Linear Accelerator Center (SLAC) Procurement, measured against the objective standards in Appendix B, earned the Laboratory a rating of Excellent at 88 percent for Fiscal Year 2004. SLAC continues to maintain a good program for assessing system operations, resolving system deficiencies, and implementing process improvements. However, there were areas in which SLAC needs to improve their processes. Procurement is measured using the Balanced Scorecard (BSC) methodology, a tool used to assess operational elements relative to the Customer, which measures customer satisfaction and effective service/partnership; Internal Business Processes, which measures acquisition excellence, most effective use of contracting approaches, streamlined processes, reduction in overage instruments, on-time delivery, supplier satisfaction and socioeconomics; Learning and Growth, which measures access to strategic information, employee satisfaction, organization structured for continuous improvement and quality workforce; and lastly Financial, which measures cost to spend ratio.

During Fiscal Year 2004, the procurement system evaluation continued with an overall review of operations. While there were issues in some individual elements (see issues listed above), SLAC identified those areas and established corrective measures. The self-assessment uncovered no major system findings. DOE will continue to monitor the corrective actions for the upcoming year, however, the following is offered as a result of validating SLAC's self-assessment:

### **Customer Perspective**

SLAC created a Transaction Customer Survey form for internal customers (requestors). In August 2004, fifty internal customers were selected to complete the survey, thirty seven responded. Areas assessed were timeliness, quality, communications, schedule, best value, overall satisfaction and performance. SLAC received a 92% customer satisfaction feedback from internal customers.

SLAC created a BIS Operator climate Survey to measure the level of customer satisfaction concerning the Purchasing Department's level of service to the Operators who are responsible for on-line entry of the purchase requisition. Sixty five survey were sent out and twenty seven responded. SLAC received a 87% customer satisfaction feedback.

SLAC created a Purchase Cardholder Customer Survey to determine the level of customer satisfaction concerning the Purchasing Department's level of service provided to SLAC's Purchase Card Holders. SLAC sent out the survey to all of their 221 card holders. Eighty three responded. SLAC was questioned as to whether they needed that many cardholders and why only eighty three (38%) responded. It was suggested that perhaps non-response should result in loss of card. SLAC did not include this category in the BSC Plan for FY04, as it is a new survey for FY04, but will require card holders to fill out survey at time of their annual training. SLAC will also monitor purchase card useage. If a user is not making a minimum of two purchases a month, the Purchasing Department will consider canceling that card.

Based on the PROAM "Gauge Model", the total point value assigned for the Customer Perspective is 10 and the total points given to this activity as a result of the DOE BSC review is 10.

## Internal Business Processes

To ensure compliance with applicable laws, regulations, terms and conditions, and SLAC policies and procedures, the Purchasing Department had their system randomly select 450 files on procurement actions during the period August 1, 2004 and August 31, 2004 to review for their FY04 self-assessment, however, only 429 files were located. Those files represented \$7,226,486, or 24.3% of the total value of \$29,702,023. The files selected were broken down further as follows:

200 files from \$0 - \$10,000  
 135 files from \$10,000 - \$25,000  
 94 files from \$25,000 and over

The following areas were designed as a focus on the files selected:

	<b>Compliance Results</b>
• Purchase Requisition processed timely	84%
• Discount for Prompt Payment	76%
• Pre-Work Hazard Analysis obtained	80%
• Adequacy of sole source justification documentation	90%
• Price Analysis adequacy	94%
• Proposal accepted as proposed	100%
• EEO certification properly completed	80%
• Representations & Certifications properly completed	89%
• Appropriate use of DOE ICPT Agreements & other BOA's	90%
• Accuracy of Conflict of Interest listing citation	95%
• Correct Debarred Listing Citation	98%
• Determination of financial and technical responsibility	91%
• Buy American Waiver completed	100%
• Non-excessive verbiage in purchase order	98%
• Correct Optional Clause(s) used	90%
• Overall adequacy of file documentation	86%

SLAC was questioned about missing 21 files. All but six had been located at that time, and all belonged to two particular buyers. SLAC has taken corrective actions with the two buyers through oral reprimands, additional training, more close monitoring by management, and suspension of signature authority for 6 months.

SLAC's overall compliance review of their Purchasing System actions was determined to be 90.1% in compliance. Although SLAC has dropped from 93% in this area from last year's review, they are still above the DOE's target of 86%. The following are some issues noted: (1) Many of their PRs appear not to be processed timely; (2) files do not contain a sole-source justification for procurements under \$25,000; (3) many files appear to have only two bids when competed; (4) buyers need to ensure that when users are requesting a procurement requirement, that they are not requesting specific companies; (5) some files did not have the competitive information from the other companies; (6) it appears SLAC does a lot of sole-source procurements; (7) in some files buyers checklists were not properly completed and/or required documentation missing from the file.

The Purchasing management will reinforce the requirements to all buyers through additional training and spot management reviews of the files.

SLAC's average cycle time for procurement transactions is as follows:

<b>Transaction \$</b>	<b>Nr. Of Transactions</b>	<b>Cycle Time</b>
Under \$100K	7,619	2.8 days
Over \$100K	80	20.0 days

This is a slight decrease from the previous year's results, which SLAC contributes to the increase in purchase requisitions in both the over and under \$100K for the GLAST project. The Purchasing Department has added additional buyers to help with the added workload.

The percentage of transactions placed through alternative/rapid purchasing techniques, which includes their chemical management system, was determined to be 79%. The measures used to determine the effective use of alternate procurement methods were:

- BIS Transactions
- Office Supply Releases – on line
- Office Supply Releases – faxed
- Office Supply Releases – phone
- U.S. GPO Releases
- Blanket Order Releases
- Book Order Releases
- ICPT Transactions
- Purchasing Card Transactions
- Petty Cash Transactions (est.)

The percentage of transactions placed through e-Commerce was determined to be outstanding based on the formula created by SLAC. SLAC has defined E-Commerce as all acquisitions made by the user community through the on-line ordering systems for Grainger, Dell, and Corporate Express.

The percentage given to effective supplier management is 73%. This fell short of the FY04 83% target due to SLAC changing the objective to measure on-time deliveries of their 23 key suppliers only. Their Balanced Score Card Plan defined key suppliers as a commodity vendor that in the last three years has been awarded a minimum of ten orders that equal or exceed \$50,000 per year. SLAC's procurement management will increase monitoring of supplier's performance in this area. This includes managing and analyzing late deliveries to identify those key suppliers that need to improve their on-time deliveries.

SLAC has far-exceeded the assigned target in the socioeconomic subcontracting category by accomplishing 233.63% of the goals set with the DOE. It is Stanford Site Office's (SSO) intention to submit to DOE HQ a request for special recognition to SLAC for their accomplishments in this category.

SLAC's effective use of competition was considered Marginal (17.8%). However, SLAC derived at that percentage by measuring dollars obligated during FY04 on a subcontract or purchase order that was awarded using effective competition and whose current dollar value exceeds \$100K. SLAC has asked for clarification in this category, for if this is to include purchase orders under \$100K, SLAC's resultant percentage in this category will change and increase.

Based on the PROAM “Gauge Model”, the total point value assigned to SLAC’s Management of Internal Business Processes is 70, and the total points given as a result of the DOE’s BSC review is 60.

**Learning and Growth**

SLAC has measured their employee satisfaction through a Climate Survey Questionnaire. The survey asked for the employee’s view of his/her working environment in the following categories:

- Training Adequacy
- Working Environment
- Management Support and Leadership
- Employee Empowerment
- Information Availability

Out of the thirteen employees in the Procurement Department, all responded. The employee index included data from employee survey, focus groups, absenteeism, and voluntary terminations. The result was 100% satisfaction rating.

SLAC measured the alignment of individual goals with the organizational goals and determined that all were in alignment with the SLAC organizational goals. The result was 100% satisfaction rating.

Based on the PROAM “Gauge Model”, the total point value assigned to SLAC’s Learning and Growth is 10, and the total points given as a result of DOE’s BSC review is 10.

**FINANCIAL**

SLAC measured a cost to spend ratio, which was calculated by dividing Purchasing organizational costs by the business volume. Therefore, the purchasing administration cost to acquire \$1 of goods and services at SLAC during FY04 was \$.025, which resulted in a rating of Excellent.

Based on the PROAM “Gauge Model”, the total point value assigned to SLAC’s management of Financial Aspects is 10, the the total points given as a result of DOE’s BSC review is 8.

The overall rating is excellent.

<b>Performance Rating (Adjectival): Excellent</b>	<b>88.00%</b>
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**Performance Area: FACILITIES MANAGEMENT**

Cumulative Available Points: 45 points

**Performance Objective: # 1 Real Property Management**  
 The Laboratory will effectively manage Real Property. **(Total Weight = 17%)**

**Performance Criteria: 1.1 Real Property Management**  
 Real Property is effectively managed consistent with mission requirements and DOE direction.

**Performance Measure: 1.1.a Program Implementation (Weight = 17%)**  
 Number of completed milestones/milestones scheduled for completion.

**Performance Assumptions:**

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

**Performance Gradient:**

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

**Performance Narrative:**

Stanford Linear Accelerator Center (SLAC) activities in the area of Real Property Management is rated **excellent** for FY 2004. This evaluation utilized the FY 2004 Performance Objectives, Criteria and Measures (POCMs) and their associated milestones, operational awareness activities and the SLAC self-assessment. Based on this, SLAC had a total of seven (7) Milestones/Objectives for FY 2004. SLAC six (6) of the seven (7) milestones/objectives were completed yielding a score of 85%, which equals to an excellent rating. Only milestone #6 was not completed.

Performance Rating (Adjectival): <b>Excellent</b>	85.00%
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**Performance Objective: #2 Project Management (Total Weight = 15%)**

**Performance Criteria: 2.1 Facility Construction Projects**  
 Facility construction projects with total project cost greater than or equal to \$500K are completed on cost, schedule, and technical baseline.

**Performance Measure: 2.1.a (Weight = 8%)**  
 Number of milestones completed on schedule/number of milestones planned.

**Performance Assumptions:**

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

**Performance Gradient:**

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

**Performance Narrative:**

There were four projects with a total of 10 milestones that were evaluated in FY2004 for this performance measure. The Light Assembly Building Substation project baseline was revised because the Architectural Committee requested a new siting for the new structure. Additionally, the scope of the project was increased to include backup power capabilities for the critical nature of the clean room. This change was first identified in June 2004. As a result, four milestones for this project was revised and not included in this evaluation. SLAC completed the remaining six milestones. However, five of the six completion dates were late, and of those five completion dates, three were two or more months late. The Safety and Operational Reliability Improvement (SORI) project encountered schedule delays due to additional SLAC, SSO and HQ reviews to determine readiness for the External Independent Review (EIR). There were minor costs increases in engineering and design to support the EIR readiness review effort. Based on the late completion of milestones and delays in maintaining progress on the SORI project, the rating for this performance measure is Good.

<b>Performance Rating (Adjectival): Good</b>	<b>78.00%</b>
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<b>Performance Measure:</b> 2.1.b	<b>(Weight = 7%)</b>
Actual funds committed during the fiscal year/planned funds committed during the fiscal year.	

**Performance Assumption:**

The intent is to measure the Laboratory performance in executing projects within the approved TEC. The baseline TEC may be adjusted for allowed cost or work scope changes. Baseline Change Proposals, DOE directed changes, uncontrolled forces, or changes in programming schedules. If performance gradient exceeds 1.00, rating will be determined on contributing factors.

**Performance Gradient:**

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

**Performance Narrative:**

The actual cost measured against planned cost for the three projects, excluding the Light Assembly Building Substation project, is 0.73. This equates to a rating of Good for this performance measure.

<b>Performance Rating (Adjectival): Good</b>	<b>73.00%</b>
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**Performance Objective: #3 Maintenance Management**

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

**Performance Criteria: 3.1 Facilities Management**

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

**Performance Measure: 3.1.a (Weight = 20%)**

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

**Performance Assumptions:**

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

**Performance Gradient:**

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

**Performance Narrative:**

SLAC established a total of 13 Milestones/Objectives for FY 2004. The total number of completed Milestones/Objectives is 11 of the 13 for a performance gradient of 85%, which corresponds to an **excellent**. The two milestones that were not completed are milestones #6 and #8.

<b>Performance Rating (Adjectival): Excellent</b>
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<b>85.00%</b>
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**Performance Criteria: 3.2 Maintenance Program**  
 The facility maintenance program is effectively managed and performed.

**Performance Measure: 3.2.a Maintenance Index (Weight = 20%)**  
 Performance index based on selected Maintenance Performance Indicators.

**Performance Assumptions:**

A composite index was calculated using a weighted average for selected performance indicators. The list of performance indicators and the calculation algorithm is a matter of record within the first month of the fiscal year. Performance gradient calculations consider Best-in-Class for comparable Energy Facility Contractors Group (EFCOG) benchmarking participants and the EFCOG average for comparable activities/sites.

**Performance Gradient:**

Outstanding: 0.90 or greater  
 Excellent: 0.80 to 0.899  
 Good: 0.70 to 0.799  
 Marginal: 0.60 to 0.699  
 Unsatisfactory: less than 0.600

**Performance Narrative:**

SLAC's Performance index based on selected Maintenance Performance Indicators is 0.96 for FY 2004. The value of the index corresponds to a performance gradient of **Outstanding**.

**Milestones/Objectives:**

FY 04 Performance indicators and calculation algorithm:

Element	WT %	EFCOG Average	SLAC	% Score
1. PMs completed on schedule	20	87%	92%	1
2. System Average Interruption Duration Index (SAIDI)	20	87	2.61	1

3. System Average Interruption Frequency Index (SAIFI)	20	.95	.0104	1
4. Roads and grounds maintenance costs	20	5,689	6,628	.85
TOTAL -				.96

<b>Performance Rating (Adjectival): Outstanding</b>	<b>96.00%</b>
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**Performance Objective: #4 Energy Management**

Energy will be used in an efficient manner.

(Total Weight = 11%)

**Performance Criteria: 4.1 Use Energy Efficiently**

**Performance Measure: 4.1.a**

(Weight = 11%)

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

**Performance Assumptions:**

The Laboratory will maintain a multi-year energy management plan, consistent with the thirteen statutory and Executive Order requirements in DOE 430.2A. The multi-year plan will include annual goals and will be negotiated and made matter of record within two months of an approved laboratory budget for project funds. Goals may be revised during the year by mutual agreement between the Laboratory and DOE.

**Performance Gradient:**

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

**Performance Narrative:**

In FY 2004, the SLAC Site Engineering and Maintenance Department was responsible for developing, reporting, and meeting specific energy management performance measures that are part of the Comprehensive Energy Management Program and Plan. A total of 34 goals were developed as part of the energy management performance measures. The summation of the performance gradients

for the 34 goals is 28.5. This represents weighted an average of 0.838 (28.5/34) or “Excellent” performance level.

<b>Performance Rating (Adjectival): Excellent</b>	<b>84.00%</b>
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<b>Performance Objective</b>	<b>#5</b>	<b>Physical Assets Planning</b>	<b>(Total Weight = 17%)</b>
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<b>Performance Criterion</b>	<b>5.1</b>	<b>Comprehensive Integrated Planning Process</b>
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The Laboratory develops documents and maintains a comprehensive, integrated planning process that is aligned with SLAC mission needs.

<b>Performance Measure</b>	<b>5.1.a</b>	<b>Planning Process</b>	<b>(Weight = 17%)</b>
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Assess how the planning process is implemented to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs and requirements.

**Performance Assumptions:**

The planning process is executed to achieve maximum effectiveness in land use and physical assets planning by anticipating and articulating DOE and SLAC needs. SLAC will document the major planning activities (work plan) with associated milestones within the first month of the fiscal year.

**Performance Gradient:**

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

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

**Performance Narrative:**

SLAC established at the beginning of the rating period 11 Milestones/Objectives associated with this performance measure. Of the 11 a total of 10 were complete. This corresponds to a performance gradient of 90% equaling a rating of Outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>90.00%</b>
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**Performance Area: INFORMATION MANAGEMENT PROGRAM**

Cumulative Available Points: 30 points

<p><b>Performance Objective: #1 Information Management Program</b></p> <p>The Laboratory manages information as a corporate resource to improve the quality of its products, to add value to scientific programs and customer services, and as a tool to improve its work processes. Information will be made available rapidly and cost effectively and will be distributed to the public, industrial partners and stakeholders, as appropriate.</p> <p style="text-align: right;"><b>(Total Weight = 100%)</b></p>
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<p><b>Performance Criterion: 1.1</b></p> <p>IM Systems and Programs Operations</p> <p>Information's Management systems and programs provide cost-effective quality products and service that meet customer requirements.</p>
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<p><b>Performance Measure: 1.1.a (Weight: 50%)</b></p> <p>The Operational Effectiveness of Information Management Systems and Programs, including measurable productivity improvements.</p> <p><u>Telecommunications:</u></p> <ul style="list-style-type: none"> <li>- The phone system performance is at a desirable grade of service for system availability.</li> <li>- The emergency radio communications system is operating as designed for system availability.</li> </ul> <p><u>Printing and Reproduction:</u></p> <p>The Business Services Division will track the percentage of total "impressions" of double-sided copying, and the cost-per-copy for its duplicating facility.</p>
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**Performance Gradient:**

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

Outstanding:	Average of 90 or better
Excellent:	Average of 80 to 89
Good:	Average of 70 to 79
Marginal:	Results fall short of the expectation for the good gradient;

Unsatisfactory:

however, some effort has been made to establish effective processes.

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

**Performance Narrative:**

The Laboratory's management of information provides a corporate resources and efforts to improve the quality of its products, to add value to scientific programs and customer services, and as a tool to improve its work processes for 2004. The rating is based on the lab achievements against its stated goals for 2004. These goals and corresponding achievements are as follows:

1. Complete the migration to Windows 2000 infrastructure and Windows XP clients. Evaluate and upgrade to Windows Server 2003.

The migration to Windows 2000 infrastructure and Windows XP clients has been completed. The Windows Server 2003 upgrade is in progress.

2. Develop Performance Measures based on the tools available to the Laboratory.

The new metric of scientific data distribution was introduced.

3. Complete implementation of a monitoring solution for the Windows infrastructure

Monitoring of system and service uptime and automated service restart has been implemented. Implementation of additional functionality is ongoing.

4. Complete implementation of the 2nd tier storage for the Windows environment. Implementation in progress.

5. Continue to provide resources to support planned increases in the BaBar requirements for computing resources.

BaBar computing needs are planned on a forward-looking basis by the BaBar Computing Steering Committee and approved by the BaBar International Finance Committee which includes DOE representatives. The agreed SLAC commitment to the expansion of BaBar computing was met in full.

6. Continue replacement of raised flooring on 2nd floor of computer center

A second area of raised flooring on the 2nd floor of the computer center was replaced. There was a major redesign and seismic review due to the ever increasing density and resulting weight that is achieved in today's computer racks. As a result of the review, we are installing custom pedestals of oversized dimensions and a solid bar welded stringer system. In the summer of FY04, it was determined that the next phase of the replacement project should be moved to the 1st floor, thus allowing us to transfer the heaviest and hottest loads to a lower seismic shear factor.

7. Begin replacement of the raised flooring on the 1st floor of the computer center.

A new design for the raised flooring on the 1st floor is underway that will increase the height to 18 inches in order to accommodate the increasing heat loads produced by today's higher density

computers. The current compute clusters found in support of the BaBar project are consuming approximately 16K watts per rack or nearly 500 Watts per square foot. At the same time we intend to incorporate a single design for all future raised floor replacements that meets seismic requirements by the use of Teflon isolation plates beneath the racks.

8. Distribute power for upgraded Substation 7 to 1st and 2nd floors of computer center

With substation 7 having been upgraded at the end of FY04, we are now moving into the implementation phase of distributing power to the 1st and 2nd floors. A new bus bar delivery system is being considered for the distribution of power such that we will have greater flexibility and redundancy. This will allow us to isolate racks between different sources of power quickly and more easily such that work can be done on one source of power without affecting critical computing services.

9. Install three additional 27 ton Stulz air cooler units.

One new Stultz air handler was installed and put into operation on the 2nd floor in conjunction with the FY04 phase of the raised floor replacement project. The additional 2 Stulz units will be installed and placed on the 1st floor at the same time the raised flooring is replaced.

10. Install a power monitoring and trending system

A power monitoring system was installed in FY04 on 11 major distribution panels that are sourced from substation 8. These meters provide instantaneous usage loads as well as historical trending, fault monitoring and analysis.

## **Telecommunications**

### **The phone system performance is at a desirable grade of service for system availability.**

The phone system performed with no outages of the telephone or voicemail systems, and system availability was 100 percent.

The data collected indicate that ninety-three percent of repairs are completed in one day or less. This is comparable to the ninety-five percent of repairs completed in one day or less in 2003. It is significantly more than the eighty-two percent of orders completed in one day or less in 2002, the eighty-five percent of repairs completed in one day or less in 2001, and the forty-six percent of repairs completed in one day or less in 2000.

The Area Telecommunications Office Motivators (ATOMs) were asked to indicate whether they agreed with the statement "Repairs are completed in a timely fashion." They were given a five-point scale (strongly disagree, disagree, acceptable, agree, and strongly agree). One hundred percent of the ATOMs rated performance as acceptable or better, which reflects the same rating as 2003 and 2002, but shows improvement over the eighty-five percent approval in 2001.

### **The emergency radio communications system is operating as designed for system availability.**

During the past year, tests of the emergency communications systems were conducted seven times. SLAC's Emergency Coordinator continues to indicate that the primary concern in regards to the

emergency communications tests is to test the wireless system on a regular basis. The responsibility for running these tests continue to be done by The SLAC's Wireless Communications Analyst. Following each test, users verbally communicate the quality of the tests results to Wireless Communications Analyst indicating any unit problems which may require repairs. No problems with emergency wireless equipment were reported.

**Printing and Reproduction**

The percentage of double-sided black-and-white copying in the Reproduction Facility was 92% in FY2004. The high percentage is unchanged from last year. The cost per copy has decreased slightly (minus 7.7%) from FY03. The per-copy costs averaged \$0.6807 in FY04 compared with \$0.07377 in FY03. SLAC's goal is to keep the cost-per-copy within 10% each year.

The duplicating facility volume comprises slightly less than 20% of the copying done at SLAC overall. The cost-per-copy figure for the Duplicating Facility has returned a value similar to those seen in similar years. Since the Duplicating Facility has general fixed operating costs for labor and equipment, cost-per-copy depends almost entirely on volume. The duplicating facility cost-per-copy in FY04 was rounded to \$.007 cents per copy (\$65.05/1000 copies) as well as in FY03 (\$68.06/1000 copies). The customer satisfaction with the duplication facility remains very high as indicated in the ongoing customer satisfaction survey and SLAC intends to continue to maintain that high satisfaction.

The overall rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>95.00%</b>
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**Performance Measure: 1.1.b (Weight: 50%)**

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

Telecommunications:

- Phone orders are processed in a timely fashion and meeting customers needs.
- Phone repairs are processed in a timely fashion and meeting customers needs.

Printing and Reproduction:

The Business Service Division will continue to send out customer surveys and conduct an analyst of the results, in order to implement recommendations that will enhance the mission of the laboratory.

Record Management:

Complete website specifically for a Records Management with a link to the "SLAC Gateway to SLAC Resources" and the Archives and History Office website. The website will provide information relevant to the Record Management Program responsibilities, policies, and procedures at SLAC, and the services offered by Records Management. The RM website will expand upon the AHO website to capture the non-permanent record information relevant to the SLAC community.

**Performance Gradient:**

Outstanding:	Average of 90 or better and website complete and accessible by September 15, 2004 with all links operational and all available SLAC information included.
Excellent:	Average of 80 to 89 and website operational and accessible by September 15, 2004, with 80 percent of anticipated links and information provided.
Good:	Average of 70 to 79 and website operational and accessible by September 15, 2004, with 70% of anticipated links and information provided.
Marginal:	Results fall short of the expectation for the good gradient; however, some effort has been made to establish effective processes and website is not operational nor accessible by September 15, 2004.
Unsatisfactory:	No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure and no effort has been made to establish effective processes and

website is not operational nor accessible by September 15, 2004.

### **Performance Narrative:**

The Information Technology Organizations met the objectives for customer service and requirements by the following cost effective and innovative approaches to measure customer satisfaction, and demonstrate evidence of improvements in customer service. In the three focus areas for this performance measure, they are: Telecommunications, Printing and Reproduction, and Records Management, the Laboratory has demonstrated systematic approach to the measurement of customer service.

#### **Telecommunications**

##### ***Phone orders***

The Stanford Linear Accelerator Center (SLAC) telephone orders are submitted by Area Telecommunications Office Motivators (ATOMs), an ordering tracking system based on the commercial Remedy application. This system allows to collect objective data on the elapsed time from when an order is submitted, until it is finally closed, including notification of the user and updating of all related database. The goal is complete 85% of orders in one week or less. Based on FY04 orders, 92% of orders are completed within one week or less. SLAC has exceeded that goal by a significant percentage, while also completing significantly more orders with no increase in personnel.

##### ***Phone repairs***

Any person at SLAC can request a telephone repair either by using a Web-based form in the SLAC Phone Request System (SPRS) or by leaving a voice message on the phone repair line. SLAC have seen a gradual increase in number of requests. The goal is to complete most repairs in one business day or less. Based on FY04 repair requested, 93% are completed in one day or less.

##### ***Printing and Reproduction***

Customer satisfaction remains very high as indicated in the SLAC ongoing customer satisfaction survey. The result reported 94.8% of customers rate the printing and reproduction services and SLAC intends to continue to maintain that high satisfaction.

##### ***Record Management***

The SLAC Records Management website has been an excellent reference since it became operational by the end of October 2003. The website gives Records Management added visibility to the SLAC community and provides records information in a readily available format. It is listed on the Gateway to SLAC Resources and is linked to the Archive and History website. The website contains complete information on policies and procedures in identifying temporary and archival records, records terminology, links to all the approved records schedules, and the transferring and retrieving records at the Federal Records Center. The website is linked, and refers to the Archives and History Office website to provide additional assistance in appraising and applying the correct disposition schedules to the records created throughout SLAC. As new

information or schedules are approved by the DOE and the National Archives Administration (NARA), the appropriate links will be added to the website.

The Archive and History Office and Records Management have worked both together and independently throughout the year and continue to make department or office visits as requested to solve record issues as they are presented.

With the website fully operational, and in conjunction with the Archives and History Office website, Archives and History and Records Managements work continuously to provide easily-accessible information to address the demanding records needs of the SLAC community.

The overall rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>95.00%</b>
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**Performance Area: SAFEGUARDS & SECURITY**

Cumulative Available Points: 30 points

<p><b>Performance Objective: # 1</b></p> <p style="text-align: center;"><b>Integrated Safeguards and Security Management (ISSM)</b></p> <p>Sustain and enhance the effectiveness of Integrated Safeguards and Security Management (ISSM).  <span style="float: right;"><b>(Total Weight = 60%)</b></span></p>
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<p><b>Performance Criteria: 1.1</b></p> <p>Safeguards and Security (SAS) is an integrated into the culture of the organization for effective deployment of the management system.</p> <p><b>Description:</b> This indicator will assess the degree to which the requirements and practice of the Safeguards and Security management system are integrated into the day-to-day operating culture of the Laboratory. The degree of integration will be determined using the following measure below.</p>
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<p><b>Performance Measure: 1.1.a</b> <span style="float: right;"><b>(Weight: 60%)</b></span></p> <ul style="list-style-type: none"> <li>-Implementation status of the Integrated SAS Management (ISSM) Action Plan Milestone/Objectives is on track with schedules.</li> <li>-Customer satisfaction survey relative to SAS knowledge and acceptance/involvement by Laboratory staff has positive results.</li> <li>-SAS requirements are adequately defined and disseminated to Laboratory staff.</li> <li>-The SAS self-assessment program and resulting corrective actions will be conducted in accordance with applicable requirements and expectations.</li> </ul> <p><b>Definitions:</b> SAS Assets (also referred to as “security interests”): A general term for any DOE or Stanford asset, resource, or property, which requires protection from malevolent acts. It may include (but not limited to) sealed sources, intellectual property and Official use only, business, or technical information, precious metals, high value items, general property and facilities, and controlled substances.</p>
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**Performance Assumptions:**

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

**Performance Gradient:**

Outstanding:

- 95%-100% of Milestones/Objectives for ISSM Action plan are on track with schedules; an increase in positive results on the customer awareness survey relative to SAS;
- 90%-100%; Self-assessments will be completed/actions completed in accordance with developed/managed schedules.

Excellent:

- 85%-94% of Milestones/Objectives for ISSM Action plan are on track with schedules; Results from customer satisfaction survey relative to SAS remain consistent with baseline survey results;
- 80%-89% Self-assessments will be completed/actions completed.

Good:

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

Marginal:

- Less than 75% of Milestones/Objectives for ISSM Action plan are on track with schedules; Results from customer satisfaction survey drop (negative results) more than 10% from baseline survey.

Unsatisfactory: -

- No Action taken.

**Performance Narrative:**

SLAC has continued with its implementation of ISSM in FY04 with several initiatives undertaken in FY 2004. SLAC initiated an online survey with four questions dealing with ISSM focus and had a 25% response rate. The feedback from this survey provided SLAC with information on where to put their focus in the future. It was clear from the survey that Property Protection on Projects requires more awareness. Security awareness was highlighted in "The Interaction Point" and on SLAC today Web Page over the past year which provided information for SLAC staff and encouraged telephone

calls and e-mails to their Security Staff on specifics. SLAC also conducted an All Hands Safety and Security Briefing & Expo.

Performance Rating (Adjectival): <b>Outstanding</b>	92.00%
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calls and e-mails to their Security Staff on specifics. SLAC also conducted an All Hands Safety and Security Briefing & Expo.

The overall rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>92.00%</b>
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**Performance Objective # 2 Integrated Safeguards and Security (SAS)**

Sustain and Enhance the Effectiveness of Integrated Safeguards and Security (SAS).

**(Total Weight = 40%)**

**Performance Criteria: 2.1**

Emerging threats are identified, reported, and mitigated as necessary.

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

**Performance Measure: 2.1.a**

**(Weight: 40%)**

-Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated.

-Security events are reported in a timely manner and managed as required identifying and repairing weaknesses in procedures and policies that are designed to protect government interests.

-Corrective actions for identified threats or issues are developed and implemented by the line organizations in a timely manner.

**Definitions:** Incidents of security concern are:

Any actions or inactions that-

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

**Significant incidents of a security concern:**

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

### **Performance Assumptions:**

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

### **Performance Gradient:**

#### Outstanding:

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

#### Excellent:

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated (1 event);
- 80%-99% of the applicable security events are reported and managed in a timely manner in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and,
- When applicable, (80% to 99% of) corrective actions for identified threats or issues are developed and implemented by the line organizations in a timely manner and in accordance with internal schedules.

#### Good:

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated (2 events);

- 70%-79% of the applicable security events are reported and managed in a timely manner in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and,
- When applicable, (70%-79% of) corrective actions for identified threats or issues are developed and implemented by the line organizations in a timely manner and in accordance with internal schedules.

**Marginal:**

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and mitigated (3 events);
- 60-69% of the applicable security events are reported and managed in a timely manner in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and
- When applicable, (60%-69% of) corrective actions for identified threats or issues are developed and/or implemented by the line organizations in a timely manner and in accordance with internal schedules.

**Unsatisfactory:**

- Line organizations ensure the number of significant incidents of a security concern within the control of SLAC with impacts upon the national security, or foreign relations of the United States are minimized and/or are not mitigated (4 events or more);
- Security events are not reported in a timely manner and/or managed as required in order to identify and repair weaknesses in procedures and policies that are designed to protect government interests; and,
- Corrective actions for identified threats or issues are not developed and/or are not implemented by the line organizations in a timely manner, as applicable.

**Performance Narrative:**

There were not significant changes in SAS Assets at the Laboratory. In July 2004, a comprehensive safeguard and security survey was conducted from Oakridge. During the survey, SLAC did not have adequate surveillance warning and no-trespassing signs posted at some entry portals, this was corrected immediately. SLAC has not implemented an overall inventory system for security keys. The Facilities Office maintains an internally developed database that tracks the issuance of keys by their level and identifications. However, the database does not provide a search capability to determine key assignments by individual and the member of the Facilities staff who issues keys stated not formal inventories have been conducted. The 99% applicable security events are reported and managed in a timely manner in order to identify and repair weaknesses in procedures and policies that are design to protect government interest.

The overall rating for this measure is excellent.

<b>Performance Rating (Adjectival): Excellent</b>	<b>85.00%</b>
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**Performance Area: TECHNOLOGY AND INTELLECTUAL PROPERTY**

Cumulative Available Points: 10 points

**Performance Objective #1**

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

**Performance Criteria: 1.1**

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

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

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

**Performance Assumptions:**

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

**Performance Gradient:**

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

**Performance Narrative:**

SLAC reported three inventions during FY04. Two of these inventions were protected by filing provisional patent applications. SLAC has also filed provisional patent applications on two inventions reported in prior years. Finally, one patent was issued to Stanford University on SLAC technology. SLAC does satisfy DOE's requirements of identifying, disclosing, electing and filing patent applications on SLAC inventions. Therefore, SLAC has effective administrative systems for identifying and evaluating technologies, disclosing inventions, obtaining intellectual property protection as necessary, and licensing.

DOE encourages publications of laboratory technology. SLAC informed DOE of 414 papers published in FY04. IPLD considers this a very good method of supporting technology transfer and stimulating further interest in SLAC technology for more development. SLAC adequately advertises its opportunities for partnering with the private sector through many means such as SLAC's and Stanford University's web pages and conferences.

Finally, there were no negative issues that arose this year at SLAC regarding technology transfer.

The overall rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>95.00%</b>
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<b>Performance Criteria</b>	<b>1.2</b>
Collaborative R&D Projects	

<b>Performance Measure:</b>	<b>1.2.a</b>	<b>(Weight: 50%)</b>
Collaborative R&D projects provide benefit to DOE, SLAC, the scientific community, and the private sector.		

**Performance Assumptions:**

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

**Performance Gradient:**

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

**Performance Narrative:**

During FY 04, SLAC executed 3 new CRADAs for collaborative projects involving both hardware and software technologies. SLAC also completed three CRADA projects. At the beginning of the FY04, SLAC was reminded of the requirement to submit Final Reports from CRADAs to DOE. However, DOE has not received any Final Reports from SLAC. Therefore, the performance standing was reduced for not meeting this requirement.

SLAC also executed 5 WFO Agreements. There were 741 on-site users of SPEAR3. In addition, there were 1554 high-energy physics users of SLAC facilities. Clearly, SLAC is being utilized by the private and academic sectors to assist in technology transfer and research.

The rating for the measure is excellent.

<b>Performance Rating (Adjectival):</b>	<b>Excellent</b>	<b>85.00%</b>
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**Performance Area: ENVIRONMENT, SAFETY AND HEALTH**

Cumulative Available Points: 120 points

**ES&H Performance Expectations**

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

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

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

<p><b>Performance Objective #1</b></p> <ol style="list-style-type: none"> <li>1. SLAC will develop effective performance evaluation standards to ensure greater line management responsibility and accountability for safety.</li> <li>2. SLAC will develop and implement processes for work planning and control that: define the scope of work establish criteria for performing task-specific hazards analyses; develop procedures for implementing task-specific hazard analyses; authorize work; provide feedback to and from the workers; and, ensure that line management is actively engaged in the process for controlling hazards.</li> <li>3. SLAC will develop a robust and comprehensive line organization self-assessment program to effectively assess the Laboratory’s overall ES&amp;H performance on implementation of ISMS in all work activities and to facilitate continuous improvement.</li> </ol> <p style="text-align: right;"><b>(Total Weight = 67%)</b></p>
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**Performance Criterion: 1.1**

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

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

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

**Performance Measure: 1.1.a (Weight = 25%)**

**A. Line Management Responsibility and Accountability for Safety**

The following milestones are incorporated by reference from the DOE Type B Accident Investigation Corrective Action Plan (CAP) for Judgments of Need (JON) 2 approved by the Office of Science on June 24, 2003:

**Milestone 4** **WF 0.2**  
**Due Date:** December 1, 2003

The Vertical Integration Working Group (VIWG) will define processes and supporting methods to convert ES&H goal results into division goals and safety performance requirements.

**Milestone 5** **WF 0.2**  
**Due Date:** December 1, 2003

VIWG will define a process and supporting methods to convert the division ES&H goals into goals and safety performance requirements for that division's line management.

**Milestone 6** **WF 0.2**  
**Due Date:** December 1, 2003

VIWG will define a process and supporting methods to convert division line management ES&H goals into goals and safety performance requirements for all division employees.

**Milestone 7** **WF 0.1**  
**Due Date:** February 1, 2004

ES&H Knowledge Management Department will develop training tools and techniques to implement training sessions (live or computer-based) to communicate ISMS line management responsibility that promotes accountability for ES&H performance measures.

**Milestone 8**

**WF 0.1**

**Due Date:** March 1, 2004

ES&H Knowledge Management Department and Human Resources Department will complete ES&H (ISMS) performance measure training for SLAC supervisors.

**Milestone 9**

**WF 0.1**

**Due Date:** April 1, 2004

ES&H Knowledge Management Department and Human Resources Department will complete ES&H (ISMS) performance measure training for SLAC employees. This training is designed to incorporate line management participation. A plan with intermediate steps will be prepared and quarterly progress will be reported to DOE.

**B. Line Management Self-Assessment Program**

**WF 0.1**

Line Management Self-Assessment Program: This line management responsibility and accountability component of the ISMS process performance measure addresses the development of a robust and effective line organization self-assessment program. SLAC is in the process of developing and tracking safety performance metrics in the form of leading indicators to supplement the current site-specific and Office of Science lagging indicators of ES&H performance. A report summarizing ES&H performance by the SLAC ES&H Division and line organizations will be submitted to DOE on a quarterly basis. In FY04, SLAC will continue to focus on developing additional performance metrics and tracking the Laboratory's progress against those safety performance metrics.

On a quarterly basis, each SLAC Associate Director will review and measure progress against their individual ES&H expectations with the Environment, Safety & Health Coordinating Council (ES&HCC) with focus on the development metrics for FY05. The deliverable to DOE are the quarterly divisional safety reports and ES&H Division report, with specific performance tracking data for the identified leading and lagging metrics that will be included in the records of the ES&HCC meetings and will provide data for establishing a baseline for development of an FY05 performance gradient.

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

**Milestone 4a (25%)**                      Q1FY04 Metrics Evaluated and Reported to DOE  
(7/1/03 – 9/30/03)  
Due Date: First Q2FY04 ES&HCC Meeting.

**Milestone 4b (25%)**                      Q2FY04 Metrics Evaluated and Reported to DOE  
(10/1/03-12/31/03)  
Due Date: First Q3FY04 ES&HCC Meeting.

**Milestone 4c (25%)**                      Q3FY04 Metrics Evaluated and Reported to DOE  
(1/1/04 – 3/31/04)  
Due Date: First Q4FY04 ES&HCC Meeting.

**Milestone 4d (25%)**

Q4FY04 Metrics Evaluated and Reported to DOE  
(4/1/04 – 6/30/04)

Due Date: First Q4FY04 ES&HCC Meeting but no later than  
September 30, 2004

**Performance Assumptions:**

1. Rating period is October 1, 2003 to September 30, 2004 (FY04) for A items.
2. Rating period is July 1, 2003 to June 30, 2004 for B items.
3. FedOSHA and US NRC findings from their reviews of SLAC in fulfillment of the Congressional Initiative for External Regulation of the DOE Office of Science Laboratories during the rating period will not be used for performance assessment purposes by DOE.

**Performance Gradients:**

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

**Performance Narrative:**

Overall, SLAC does not have a fully functioning ISM Program in place. While SLAC performed the required milestones in a timely manner, the overall objective to ensure effective line management responsibility and accountability for safety was not achieved. Line management ownership of safety has not been effectively implemented at SLAC and the completion of these milestones has not increased the ownership of safety by line management. SLAC has done quite a bit over the last year in developing job hazard identification and analysis. The SLAC self-assessment program is not sufficiently robust to identify even serious safety issues.

The overall rating for this measure is unsatisfactory.

<b>Performance Rating (Adjectival): Unsatisfactory</b>	<b>50.00%</b>
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**Performance Criterion: 1.2**

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

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

**Performance Measure: 1.2.a**

**(Weight = 42%)**

**A. Work Planning and Controls**

The following milestones are incorporated by reference from the DOE Type Accident Investigation Corrective Action Plan (CAP) for Judgments of Need (JON) 1 and 2 approved by the Office of Science on June 24, 2003:

**Milestone 3**

**WF 0.6**

Define a non-Web based process for completing high-risk task-specific hazard analysis by November 1, 2003.

**Due Date:** August 30, 2004

**Milestone 3f, 20%**

Communicate and implement the high-risk task-specific hazard analysis including the preparation of an ES&H bulletin and an "ALL Hands" memorandum or other means as appropriate. Information is provided to SLAC staff regarding high-risk task-specific hazard analysis and the supervisor and employee's role in this process by December 31, 2003.

**Milestone 3g, 10%**

Define a non-Web based process for completing an area hazard analysis by August 1, 2004.

**Milestone 3h, 10%**

Initiate employee training on hazard analysis and control by August 2004.

**Milestone 3i, 20%**

Develop and implement an ES&H policy to implement Task 1 and identify the methods of communication that will be used to educate employees and ensure reciprocal feedback from these employees regarding work sit safety by August 1, 2004.

**Milestone 3j, 10%**

Establish a framework to ensure the system for hazard analysis process is periodically evaluated and controlled by March 1, 2004.

**Milestone 3k, 10%**

Ensure the hazard analysis and control process is communicated to all employees by August 1, 2004.

**Milestone 3l, 10%**

Ensure ISMS principles and functions are integrated into the enhanced hazard analysis process by August 1, 2004.

**Milestone 4**

**WF 0.1**

**Due Date:** March 31, 2004

SLAC will develop a detailed hazard assessment Web site with examples, checklist, and other tools.

**Milestone 5**

**WF 0.1**

**Due Date:** June 1, 2004

SLAC will ensure that employee training is modified to explain the employee's role in the hazard analysis process.

**Milestone 6**

**WF 0.1**

**Due Date:** August 1, 2004

SLAC will ensure that employees receive training to understand the need and importance of having a hazard analysis, the scope of the work covered by their baseline hazard analysis, and when to alert their supervisor of the need for a task-specific hazard analysis.

**Milestone 7**

**WF 0.1**

**Due Date:** September 30, 2004

The person responsible for verification will verify the integrity of the hazard analysis process and provide feedback to the Laboratory Directorate through the ES&H Quarterly Safety Report and updates to the Environment, Safety and Health Coordinating Council.

**Performance Assumptions:**

1. For FY04 the performance period is October 1, 2003 to September 30, 2004. DOE may participate in quarterly ES&HCC meetings involving metrics evaluated and reported. DOE participation will be limited to one individual who will act as an observer only.
2. SLAC will evaluate and report on the ISMS Process Performance Measure as part of the annual Self -Assessment process.
3. If DOE and SLAC determine that a performance metric is not an appropriate indicator of the Laboratory's safety performance, SLAC will identify a substitute metric(s) to be evaluated through the end of FY04. SLAC will notify DOE of the proposed change(s) in metrics.
4. The final ratings for this strategic ISMS performance measure will be based on the calculated points (using weighting factors) for each Performance Measure, PM 4.1a (Line Management Responsibility and Accountability for Safety) and PM 4.2a. (Work Planning and Control).

**Performance Gradient:**

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

**Performance Narrative:**

Overall, SLAC does not have a fully functioning ISM System in place. While some analysis of work hazards is ongoing, it has not resulted in the proper communication of these hazards to the workers and the appropriate mitigations have not been implemented. SLAC does not perform follow-up of audit/review findings and hazards are allowed to persist. Overall, the SLAC approach is not effective in identifying and mitigating hazards.

The rating for this measure is unsatisfactory.

<b>Performance Rating (Adjectival): Unsatisfactory</b>	<b>50.00%</b>
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**Performance Objective: #2 ES&H Outcome Performance Measure**

SLAC will perform its work so that personnel hazards are anticipated, identified, evaluated and controlled. **(Total Weight = 20%)**

**Performance Criterion: 2.1**

Exposures of personnel to chemical, physical and biological hazards will be adequately controlled. **(Total Weight = 20%)**

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

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

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

**Performance Assumptions:**

1. For FY04 the performance period is October 1, 2003 through September 30, 2004.
2. To receive a performance rating at any given level, the requirements of the lower levels of performance must also be met. [This applies only within the Good/Excellent/Outstanding group.]
3. Exposure measurements and evaluations will be written on survey forms and include an assessment of hazard potential and recommendations for controls.
4. Immediate control measures (engineering controls, administrative controls or personal protective equipment) will be implemented when exposure monitoring or evaluations identify the potential for exposures to exceed the Action Level.

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

16. The term “all” or “100%” means those operations that actually occur during the performance period. Evaluations that were attempted but were not done because the operation did not occur will not be counted if supervision was notified of the need to evaluate them and monitoring attempts were documented.

### **Performance Gradient**

#### **Outstanding:**

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

#### **Excellent:**

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

#### **Good:**

- A list of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH “heavy continuous work” TLV) is prepared by October 31, 2003.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 2003.
- A list of Vulnerable Systems is prepared by October 31, 2003.
- IH exposure measurements (and corrective action) are completed during the contract period for 90% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH “heavy continuous work” TLV).
- All “substance-specific” exposure measurements are completed as required by 29 CFR 1910 during the contract period.

- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 90% of the vulnerable systems.
- 90% of the required sampling is conducted during the performance period.
- The Beryllium Program (developed in compliance with the Beryllium Rule 10 CFR 850) is maintained as applicable to the current needs of SLAC. (Although no Beryllium work is planned, certain minimum Program elements must be maintained including at least the following:
  - Air sampling of all Be operation that occur (none are planned).
  - Periodic review of medical surveillance to ensure it is up-to-date (includes offering chest x-rays to Be workers).
  - Clean up and discovered surface contamination.
  - Maintain list of former Be Workers and current Be workers.
  - Maintain emergency response procedures in case of any Be emergencies.
  - Continue electronic reporting of data to EH (personnel, exposure and medical data be reported to Be Registry in electronic format).

**Marginal:**

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

**Unsatisfactory:**

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

**Performance Narrative:**

In FY04, the Industrial Hygiene Group completed all requirements listed under the Outstanding level for this measure and that DOE agrees with the SLAC FY04 self-assessment, therefore, the rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>100.00%</b>
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**Performance Criterion: 2.2**

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

**Performance Measure: 2.2.a (Weight = 4%)**

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

**Performance Assumptions:**

1. For FY2004 the performance period is July 1, 2003 through June 30, 2004.
2. Each frequency and severity rate in the Research/Services and Construction category will be given a weighted factor in calculating the final evaluation gradient. The weighted factor is based on the amount of person-hours accumulated within each function divided by the total person-hours during the rating period.
3. It is recognized that an initial increase or minimal decrease in rates may be experienced whenever a new prevention program is introduced and that some variability is expected which may not be indicative of a trend.
4. Workers' Compensation costs will be considered during the self-assessment.
5. For FY 2004 and future years, the accident/injury types and baseline years will be updated by mutual agreement of the DOE site office and the Laboratory.
6. Subcontractor operations/personnel are included in the Construction function. Subcontractor statistics will be maintained separately only for those subcontractors reporting hours worked to the Laboratory. Subcontractors are excluded if they are "servicing" the Laboratory (e.g., copy machine vendors or other transient workers).

**Performance Gradient:**

**Outstanding:**

The frequency (Total Recordable Cases) and severity (Lost Work Days Cases) rates for the Research/Services composite and Construction functions are greater than 17.5% (>17.5%) below the baseline five year SLAC average.

**Excellent:**

The frequency (Total Recordable Cases) and severity (Lost Work Days Cases) rates for the Research/Services composite and Construction functions are greater than 7.5% (>7.5%) below the baseline five year SLAC average.

**Good:**

The frequency (Total Recordable Cases) and severity (Lost Work Days Cases) rates for the Research/Services composite and Construction functions are 7.4% to 2.5% above the baseline five-year SLAC average.

**Marginal:**

The frequency (Total Recordable Cases) and severity (Lost Work Days Cases) rates for the Research/Services composite and Construction functions are 2.6% to 12.5% above the baseline five-year SLAC average.

**Unsatisfactory:**

The frequency (Total Recordable Cases) and severity (Lost Work Days Cases) rates for the Research/Services composite and Construction functions are 12.5% above the baseline five-year SLAC average.

**Performance Narrative:**

While the SLAC FY04 self-assessment identifies a number of activities that were performed in FY04, the net result is that the activities were not effective in implementing an ISM Program at SLAC and further did not prevent the electrical accident occurring in early FY05. Therefore, the rating for this measure is unsatisfactory.

<b>Performance Rating (Adjectival): Unsatisfactory</b>	<b>50.00%</b>
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**Performance Criterion: 2.3**

Exposures of personnel to ionizing radiation will be adequately controlled.

**Performance Measure: 2.3.a (Weight = 2%)**

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

**Performance Assumptions:**

1. For FY 2004, the performance period is January 1, 2003 to December 30, 2003.
2. Each ORPS-reportable occurrence of SLAC-based occupational external radiation doses, intakes of radioactivity, or skin contamination is considered a reportable occurrence.
3. The performance gradient scoring will be based on the highest attained gradient level of those listed below.
4. The number of non-radiological workers who exceed 100 mrem Total Effective Dose Equivalent (TEDE) may be considered in the final scoring of this performance measure.

**Performance Gradient:**

**Outstanding:**

The number of reportable occurrences is equal to no more than zero (0).

**Excellent:**

The number of reportable occurrences is equal to no more than one (1).

**Good:**

The number of reportable occurrences is equal to no more than two (2).

**Marginal:**

The number of reportable occurrences is equal to no more than four (4).

**Unsatisfactory:**

The number of reportable occurrences is more than (4).

**Performance Narrative:**

During FY2004, there were no ORPS – reportable occurrences of SLAC based – occupational external radiation doses, intakes of radioactivity, or skin contaminating are managed and minimized. DOE agrees with the SLAC FY04 self-assessment.

The rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>100.00%</b>
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<b>Performance Measure:</b>	<b>2.3.b</b>	<b>(Weight = 2%)</b>
Lost or unreturned dosimeter investigations and dose assignments are carried out in a timely manner (within 90 days of the monitoring period).		

**Performance Gradient:**

Outstanding:

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

Excellent:

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

Good:

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

Marginal:

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

Unsatisfactory:

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

**Performance Narrative:**

During FY2004, all investigation and dose assignments for lost or unreturned, or overexposed personnel dosimeters were completed within 90 days after the close of their monitoring periods. DOE agrees with the SLAC FY2004 self assessment.

The overall rating for this measure is an outstanding.

<b>Performance Rating (Adjectival):</b>	<b>Outstanding</b>	<b>100.00%</b>
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**Performance Criterion: 2.4**

Radioactive material will be adequately controlled. (Total Weight = 2%)

**Performance Measure: 2.4.a**

**(Weight = 2%)**

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

**Performance Assumptions:**

1. Radioactive material for the purpose of this performance measure is defined as only the radioactive material and any radioactive material shipping considerations over which SLAC has direct control.
2. For FY2004, the performance period is October 1, 2003 through September 30, 2004.
3. Each unusual occurrence as defined in SLAC Workbook for Reportable Occurrences will have a weighting factor of 1.5.

**Performance Gradient:**

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

**Performance Narrative:**

During FY2004, all radioactive materials, including contaminated and/or activated materials, were controlled at all times. DOE agrees with the SLAC FY04 self-assessment. The overall rating for this measure is outstanding.

Performance Rating (Adjectival): Excellent	85.00%
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**Performance Criterion: 2.5**

The Fire Department response time and the rate of completion of required fire protection will be adequately controlled and accomplished. **(Total Weight = 7%)**

**Performance Measure: 2.5.a (Weight = 2%)**

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

**Performance Assumption:**

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

**Performance Gradient:**

- Outstanding: Meets greater than 90% anticipated response time indicated in the pre-fire plan.
- Excellent: Meets 85-90% anticipated response time indicated in the pre-fire plan.
- Good: Meets 75-84% anticipated response time indicated in the pre-fire plan.
- Marginal: Meets 65-74% anticipated response time indicated in the pre-fire plan.
- Unsatisfactory: Meets less than 65% anticipated response time indicated in the pre-fire plan.

**Performance Narrative:**

DOE agrees with the SLAC FY04 self-assessment, and meets the excellent rating for the anticipated response time indicated in the pre-fire plan. The rating for this measure is excellent.

<b>Performance Rating (Adjectival): Excellent</b>	<b>85.00%</b>
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<b>Performance Measure:</b>	<b>2.5.b</b>	<b>(Weight = 2%)</b>
SLAC conducts fire protection survey per the SLAC Fire Protection Program list to ensure their facilities meet DOE fire protection goal and requirements.		

**Performance Gradient:**

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

**Performance Narrative:**

The Palo Alto Fire Department conducted building inspections as required by the SLAC fire protection plan. DOE agrees with the SLAC FY04 self-assessment, therefore, SLAC's rating for this measure is an outstanding rating.

<b>Performance Rating (Adjectival):</b>	<b>Outstanding</b>	<b>100.00%</b>
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**Performance Measure: 2.5.c (Weight = 2%)**

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

**Performance Gradient:**

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

**Performance Narrative:**

DOE agrees with the SLAC FY04 self-assessment, therefore, earning an outstanding for this measure.

**Performance Rating (Adjectival): Outstanding 100.00%**

**Performance Measure: 2.5.d (Weight = 1%)**

SLAC shall inspect, test and maintain its fire protection system in accordance with the SLAC Fire Protection Maintenance Testing and Inspection schedules and procedures. Track and trend are completed on the SLAC maintenance computer system.

**Performance Gradient:**

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

**Performance Narrative:**

DOE agrees with the SLAC FY04 self-assessment, therefore, earning an outstanding rating for this measure.

**Performance Rating (Adjectival): Outstanding 100.00%**

**Performance Criterion: 3.1**

Environmental violations and releases will be adequately controlled. (Total Weight = 3%)

**Performance Measure: 3.1.a**

**(Weight = 3%)**

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

1. Formal violations noted by regulatory inspections, regulatory reports, or non-compliance with agreements made with regulatory agencies.
2. Spills which exceeds established local, state, or federal reporting requirements.
3. Releases which exceed regulatory permit limits.

**Performance Assumptions:**

1. For FY2004, the performance period for this measure is October 1, 2002 to September 30, 2003.
2. Environmental releases that remain within compliance limits or do not require reporting will not be counted. Environmental releases resulting from natural causes (earthquake, flooding, etc.) for which no preventable action could be taken, shall not be counted.
3. A weighting factor from 0.25 to 1 will be applied to all counted incidents. SLAC and DOE technical counterparts will jointly determine weighting factors for incidents.

Weighting factors are generally defined to be:

- 1.00 Serious non-compliance: Incident poses serious harm to the public or environment.
  - 0.75 Significant non-compliance: Programmatic non-compliance with regulatory requirements or a release resulting in the issuance of a NOV, or repeated moderate non-compliance ("repeated" is defined as more than two over a three-year period).
  - 0.50 Moderate non-compliance incident that is isolated, but requires a legally reportable release of contamination (but no NOV is issued), or a repeated minor non-compliance.
  - 0.25 Minor non-compliance: An incident that is isolated, primarily administrative, and causes no potential un-recovered release of contamination.
4. If NOV's or equivalent notices contain more than one distinct compliance violation, each separate violation will be first weighted under the above scale. Then an overall score for the incident will be determined by joint DOE/SLAC agreement after considering the individual violations. The overall score for a NOV with multiple violations will be equal to or greater than the highest scored individual violation, but will not exceed a value of 1.

5. The weighted scores of all incidents during the performance period will be added to determine the “total score” to be used in the gradients defined below.
6. Unexpected work/regulatory activity increases that may occur during the year will be brought to the attention of DOE and will be considered during the evaluation period.

**Performance Gradient:**

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

**Performance Narrative:**

DOE agrees with the SLAC FY04 self-assessment, therefore, SLAC rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>100.00%</b>
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**Performance Objective: #4**

SLAC demonstrates sound stewardship of its site through safe and effective hazardous and radioactive waste minimization and management and through restoration of the site where degradation has occurred. **(Total Weight = 10%)**

**Performance Criterion: 4.1**

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

**Performance Measure: 4.1.a****(Weight = 2%)**

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

**Performance Assumptions:**

1. For FY2004, the performance period is October 1, 2003 through September 30, 2004.
2. DOE's pollution prevention goals (Department-wide) by waste type are defined as follows:
  - Reduce by 90% the generation of hazardous waste from routine operations by the year 2005;
  - Recycle 45% of non-hazardous waste from routine operations by the year 2005.
3. SLAC's contribution to the DOE goals stated above are:
  - Reduce generation of hazardous waste from routine operations by 65% by the year 2005, using 1993 as a baseline; and,
  - Recycle 50% of non-hazardous waste by the year 2005.
4. The annual performance assessment will not be used solely on the achievement or lack thereof of the numerical goals. The performance rating will take into account the commitment and effectiveness of SLAC management toward achieving the numerical goals.
5. DOE and SLAC may negotiate mid-year adjustments to the SLAC waste reduction and recycling goals.
6. Waste quantities used to compute waste reduction or waste recycling performance exclude one-time or non-routine operations such as TSCA waste, remediation waste, waste from projects involving the upgrade of equipment, waste from significant emergency response actions, and construction and demolition waste.
7. Reduction, reuse, recycling and exchange are considered to be methods of waste minimization and will be tracked by the Waste Management Department to affirm reductions in hazardous waste

generated.

8. The effect of the July 13, 2000 DOE moratorium on the release of surplus and scrap metals for recycling will be factored into determining the performance rating for this measure.

<b>Performance Gradient Rating</b>	<b>RHW Goals Waste Reduction (%)</b>	<b>NHW Goals Recycling (%)</b>
Outstanding	>64	≥47
Excellent	59 to 63	41 to 46
Good	52-57	35 to 40
Marginal	46 to 51	29 to 34
Unsatisfactory	≤45	≤28

**Performance Narrative:**

DOE agrees with the SLAC FY04 self-assessment, therefore, the rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>100.00%</b>
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**Performance Criterion: 4.2**

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

**Performance Measure: 4.2.a**

**(Weight = 2%)**

Hazardous Waste Generated will be managed by the Waste Management Group in compliance with applicable regulations of CCR, Title 22, Division 4.5, applicable parts.

**Performance Gradient:**

**Outstanding:**

No Class 1 or Class II or equivalent violations of hazardous waste regulations; demonstrated and documented efforts/accomplishments to improve program effectiveness/efficiency.

**Excellent:**

No Class 1 or Class II or equivalent violations of hazardous waste regulations.

**Good:**

No Class 1 or equivalent violations and not more than one Class II or equivalent violations of hazardous waste regulations.

**Marginal:**

Any Class 1 or equivalent violation or more than one Class II or equivalent violations of hazardous waste regulations.

**Unsatisfactory:**

Any Class 1 or equivalent violation and one or more Class II or equivalent violations.

**Performance Assumptions:**

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

- where other program elements are unsuccessful in meeting other compliance elements, will affect the performance level.
2. Data used for assessing regulatory compliance will be gathered from inspection reports pertinent to environmental waste regulations. These may include self-assessments, regulatory agency inspections, operational awareness activities, et cetera.
  3. Cost savings resulting from the implementation of cost-effective waste programs may be applied towards waste liabilities and other SC program activities at the site.
  4. Class 1 and Class II violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.
  5. Violations similar to Class I and Class II violations found during SLAC internal audits or DOE operational awareness walkthroughs will be considered “equivalent” to Class I violations for the Outstanding gradient of Measure 3.2.a.
  6. For FY2004, the performance period is October 1, 2003 through September 30, 2004.

**Performance Narrative:**

DOE agrees with the SLAC FY04 self-assessment, therefore, earning an outstanding rating for this measure.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>100.00%</b>
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**Performance Measure: 4.2.b****(Weight = 2%)**

Low level waste generated will be managed by the Radioactive Waste and Materials Group in compliance with applicable DOE Orders and regulatory requirements.

**Performance Gradient:****Outstanding:**

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

**Excellent:**

Compliance with applicable orders, regulations (No documented Level I, II, or III observations of non-compliance).

**Good:**

Any documented Level III observations of non-compliance.

**Marginal:**

Any documented Level II observations of non-compliance.

**Unsatisfactory:**

Any documented Level I observations of non-compliance.

**Performance Assumptions:**

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

Level I: Observation of non-compliance perceived to be an imminent danger or significant safety hazard to workers or the public, or poses a significant threat to the environment.

Level II: Observation of non-compliance that indicates that management system is not in control.

Level III: Observation of non-compliance that is or perceived to be in violation of DOE Orders, or other applicable regulations, but can be demonstrated that management system is in control.

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

3. For FY2004, the performance period is October 1, 2003 through September 30, 2004.

**Performance Narrative:**

DOE agrees with the SLAC FY04 self-assessment, therefore, SLAC rating for this measure is good.

Performance Rating (Adjectival): Good	75.00%
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**Performance Criterion: 4.3**

SLAC will maintain the scheduled rate of progress toward completion of the Remedial Investigation/ Feasibility Study and source mitigation activities designed to achieve a level of restoration acceptable to cognizant regulatory agencies as specified in the Project Baseline as a guide with the goal of completing work EM has committed to by the end of FY2006.

**Performance Measure: 4.3.a**

**(Weight = 4%)**

Performance will be determined based on points earned in three categories. The successful completion of selected major tasks/milestones in the Baseline, the efficient management of the budget, and project management effectiveness will be evaluated and awarded points. There will be a maximum of 55 points possible.

**Task Completion Points (40 max)**

By November 30, 2003, SLAC and DOE will agree on the dates and tasks to be performed in FY2004 using the Baseline as guidance and the number of points to be awarded to each. As conditions change throughout the year, DOE and SLAC may agree on task substitution. SLAC will meet the agreed upon tasks and schedules unless there is Written agreement to postpone them. Forty (40) points will be the maximum amount credited in this category although total task points available may be more than forty. Five points will be awarded for task is completed before the committed/schedule date. However, if the task is completed after the agree schedule date, but before the end of the performance period, two points will be awarded for the task.

**Budget Points (10 max)**

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

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

**Project Management Effectiveness Points (5 max):**

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

- Monthly Budget Analysis Reports – To include monthly and cumulative year-to-date tracking of expenditures, comparison of expenditures (ACWP) to planned work (BCWS) at the project level, and commitments at the WBS and project level are required to be provided by the 20<sup>th</sup> of the following month. Any significant variance of negative 10% or greater with a minimum dollar value of \$20,000 between the budget and actual (or estimated) expenditures for any WBS as identified by the DOE project manager should be analyzed and reported within fifteen calendar days from the data of notification by the DOE project manager. (5 points)

**Performance Gradient**

Outstanding: 54 or greater points earned.

Excellent: 45 to 53 points earned

Good: 36 to 44 points earned

Marginal: The budget has been overspent or 28 to 35 points earned.

Unsatisfactory: The budget has been overspent and <28 points earned.

**Performance Narrative:**

DOE agrees with the SLAC fy04 self-assessment, therefore, the rating for this measure is outstanding.

<b>Performance Rating (Adjectival): Outstanding</b>	<b>100.00%</b>
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**APPENDIX A**

**ASSESSMENT REPORT METHODOLOGY**

## Section C – ASSESSMENT and APPRAISAL PROCESS

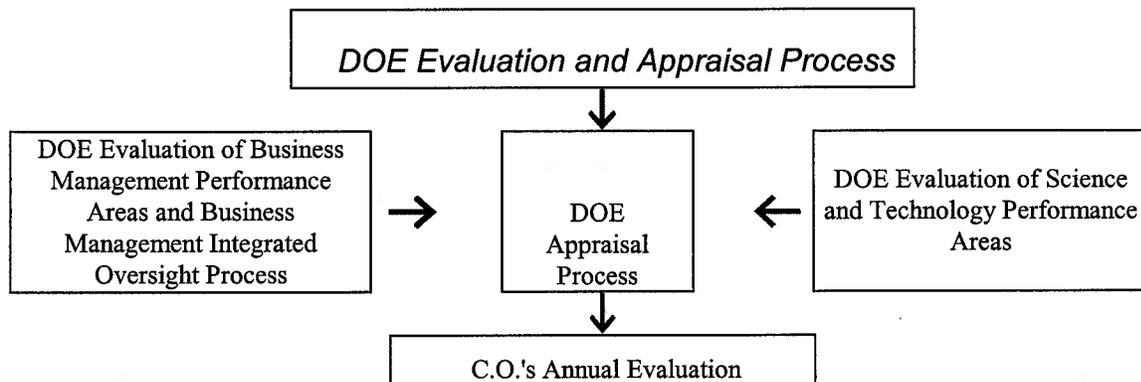
### Part I – ASSESSMENT

#### SLAC Self-Assessment

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

#### DOE Evaluation

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



### Part II – EVALUATION PROCESS

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

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

Management to remain unchanged. The following table shows the Performance Areas in Business Management and Science and Technology along with their associated point assignments.

<b>Business Management</b>		<b>Science and Technology</b>	
Environment, Safety & Health	120 pts	High Energy Physics	500 pts
Equal Opportunity and Affirmative Action	30 pts	Synchrotron Radiation	100 pts
Financial Management	55 pts		
Human Resource Management	25 pts		
Communication and Public Affairs	15 pts		
Procurement	25 pts		
Personal Property	15 pts		
IMD	30 pts		
Projects & Facilities Management	45 pts		
Safeguards & Security	30 pts		
Technology and Intellectual Property	10 pts		

Total = 400 Points

Total = 600 Points

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

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

Once the Performance Objective Ratings have been determined, they are multiplied by the percent weight assigned to each weighted Performance Measure. This gives the weighted percentage rating for each Performance Measure. The sum of the weighted percentage ratings yields the total percentage rating for the Performance Areas. The sum percentage ratings multiplied by the points available for the Performance Areas determine the points earned for each area. The sum of the points earned for each area establishes the total points earned for Science and Technology and for Business Management and, ultimately, for total SLAC. The total points earned can then be correlated with a comprehensive Evaluation Rating for SLAC through the following table.

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

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

**Part III – EXAMPLE OF RATING PROCESS**

For example purposes, assume the following:

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

**POCM Rating Calculation**

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

## **APPENDIX B**

### **OVERALL SCORE SUMMARY**

**SCIENCE & TECHNOLOGY  
AND  
BUSINESS MANAGEMENT**

**B. SCORE SUMMARY**  
**Stanford Linear Accelerator Center**

FUNCTIONAL AREA	POINTS POSSIBLE	SCORE	PERCENT	ADJECTIVE
<b>SCIENCE AND TECHNOLOGY</b>				
High Energy Physics	500.0	433.3	86.60%	Excellent
Synchrotron Radiation	100.0	88.4	88.40%	Excellent
<b>SCIENCE AND TECHNOLOGY TOTAL</b>	<b>600.0</b>	<b>521.7</b>	<b>86.94%</b>	<b>Excellent</b>
<b>BUSINESS MANAGEMENT</b>				
Equal Opportunity and Affirmative Action	30.0	25.5	85.00%	Excellent
Human Resource Management	25.0	23.9	95.72%	Outstanding
Financial Management	55.0	50.1	91.04%	Outstanding
Communications & Public Affairs	15.0	14.0	93.00%	Outstanding
Personal Property	15.0	14.2	95.00%	Outstanding
Procurement	25.0	22.0	88.00%	Excellent
Projects/Facilities Management	45.0	39.0	86.71%	Excellent
Information Management	30.0	28.5	95.00%	Outstanding
Safeguards and Security	30.0	26.8	89.20%	Excellent
Technology and Intellectual Property Management	10.0	9.0	90.00%	Outstanding
Environment Safety and Health	120.0	76.7	63.92%	Marginal
<b>BUSINESS MANAGEMENT TOTAL</b>	<b>400.0</b>	<b>329.7</b>	<b>82.43%</b>	<b>Excellent</b>
<b>TOTAL OVERALL LABORATORY SCORE</b>	<b>1000.0</b>	<b>851.4</b>	<b>85.14%</b>	<b>Excellent</b>

## **APPENDIX C**

# **SCIENCE & TECHNOLOGY SCORES**

**Appendix C - SCORE SUMMARY  
Stanford Linear Accelerator Center**

<b>FUNCTIONAL AREA</b>		<b>WEIGHT</b>	<b>SCORE</b>	<b>PERCENT</b>
<b>SCIENCE AND TECHNOLOGY</b>		<b>600.0</b>	<b>521.55</b>	<b>86.93%</b>
<b>A</b>	<b>HIGH ENERGY PHYSICIS</b>	<b>500.0</b>		
<b>PERFORMANCE OBJECTIVE #1 Scientific Research &amp; Tech. Developmt. Programs (WEIGHT = 100%)</b>				
<b>1.1</b>	<b>Quality of fundamental and applies science (weight = 30%)</b>			
1.1.a	SLAC will be recognized as a world-class research	150.0	147.0	98.00%
<b>1.2</b>	<b>Relevance to DOE missions or national needs (weight = 15%)</b>			
1.2.a	SLAC will contribute to U.S. Leadership in international High Energy Physics	75.0	67.50	90.00%
<b>1.3</b>	<b>Effective and efficient research program management (weight = 25%)</b>			
1.3.a	SLAC will provide well developed research plans; optimal use of personnel facilities &	125.0	106.3	85.00%
<b>1.4</b>	<b>Success in construction and operation of facilities (weight = 30%)</b>			
1.4.a	SLAC will construct and operate in a reliable safe and enviromentally sound manner	150.0	112.5	75.00%
<b>B</b>	<b>SYNCHROTRON RADIATION</b>	<b>100.0</b>		
<b>PERFORMANCE OBJECTIVE #2 Scientific Research &amp; Tech. Developmt. Programs (WEIGHT = 100%)</b>				
<b>2.1</b>	<b>Quality of fundamental and applied science (weight = 30%)</b>			
2.2.a	SLAC will be recognized as a world-class research	30.0	29.10	97.00%
<b>2.2</b>	<b>Relevance to DOE missions or national needs (weight = 15%)</b>			
2.2.a	SLAC will contribute to U.S. Leadership in international Basic Energy & Biological	15.0	14.6	97.00%

**Appendix C - SCORE SUMMARY**  
**Stanford Linear Accelerator Center**

FUNCTIONAL AREA	WEIGHT	SCORE	PERCENT
2.3 Effective and efficient research program management (weight = 25%)			
2.3.a SLAC will provide well developed research plans; optimal use of personnel facilities &	25.0	24.25	97.00%
2.4 Success in construction and operation of facilities (weight = 30%)			
2.4.a SLAC will construct and operate in a reliable safe and environmentally sound manner	30.00	20.40	68.00%

**APPENDIX D**

**BUSINESS MANAGEMENT SCORES**

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

PERFORMANCE OBJECTIVE		WEIGHT	SCORE	PERCENT
EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION		30.0	25.5	85.00%
PERFORMANCE OBJECTIVE #1 (WEIGHT = 100%)				
1.1	Develops and maintains and Equal Employment/Affirmative Action Program			
1.1.a	Annual Stragetie Plan Achieved	30.0	25.5	85.00%

## Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHTS	SCORE	PERCENT
<b>HUMAN RESOURCE MANAGEMENT</b>	25.0	23.9	95.72%
<b>PERFORMANCE OBJECTIVE #1 Customer Needs (WEIGHT = 32%)</b>			
<b>1.1 Requirements, expectations and preferences of customers (weight = 32%)</b>			
1.1.a Action Plans to improve those areas that do not meet customer expectations	8.0	7.6	95.00%
<b>PERFORMANCE OBJECTIVE #2 HR Systems &amp; Processes (WEIGHT = 34%)</b>			
<b>2.1 HR systems and processes will optimize delivery of services (weight = 34%)</b>			
2.1.a The laboratory will evaluate HR systems and processes for improvements	8.0	7.6	95.00%
<b>PERFORMANCE OBJECTIVE #3 Attraction &amp; Retention (WEIGHT = 34%)</b>			
<b>3.1 Posted position, total compensation with internal equity (weight = 14%)</b>			
3.1.a Offer acceptance rate for posted positions	3.0	2.9	98.00%
<b>3.2 Attraction and Retention of Staff (weight = 20%)</b>			
3.2.a Total turnover at SLAC < the total turnover on the SU campus (weight = 10%)	3.0	2.9	98.00%
3.2.b Annual turnover rate for PhD physicists & engineers < 8% (weight = 10%)	3.0	2.9	95.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

	PERFORMANCE OBJECTIVE	WEIGHTS	SCORE	PERCENT
<b>FINANCIAL MANAGEMENT</b>				
		55.0	50.1	91.04%
	<b>PERFORMANCE OBJECTIVE #1</b>			
	<b>Financial Stewardship</b>			<b>(WEIGHT = 12%)</b>
	<b>GOAL #1</b>			
	<b>1.1 Cash Management</b>			
				<b>(weight = 6%)</b>
	1.1.a Reduce delinquent accounts receivable	3.0	2.9	95.00%
	<b>1.2 Accounting Process Improvments.</b>			
				<b>(weight = 6%)</b>
	1.2.a Identify & execute needed improvements	3.0	2.9	95.00%
	<b>PERFORMANCE OBJECTIVE #2</b>			
	<b>Financial Stewardship</b>			<b>(WEIGHT = 33%)</b>
	<b>2.1 Timely Budget Submission</b>			
				<b>(weight = 9%)</b>
	2.1.a Supportable budgets submissions meet due dates	5.0	4.3	85.00%
	<b>2.2 Manage Uncosted Balances</b>			
				<b>(weight = 9%)</b>
	2.2.a Reduce or maintain uncosted balances	5.0	4.6	91.00%

# Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

	PERFORMANCE OBJECTIVE	WEIGHTS	SCORE	PERCENT
<b>2.3</b>	<b>Costs &amp; Commitments Manage</b> (weight = 15%)			
2.3.a	Costs & commitments are properly reported	8.0	7.3	91.00%
	<b>PERFORMANCE OBJECTIVE #3</b>			
	<b>Financial Stewardship</b> (WEIGHT = 14%)			
<b>3.1</b>	<b>Effective Internal Controls &amp; Audit Follow-Up</b>			
3.1.a	Timely Audit Resolution (weight = 7%)	4.0	3.7	92.00%
3.1.b	Adequate Travel Internal Controls (weight = 7%)	4.0	3.7	92.00%
	<b>GOAL #2</b>			
	<b>PERFORMANCE OBJECTIVE #1</b>			
	<b>Financial Mgt Operations</b>			
<b>1.1</b>	<b>Accurate &amp; Timely Accounting Data</b> (weight = 7%)			
1.1.a	Accounting reports Timely w/Req'd Content	4.0	3.6	89.00%
<b>1.2</b>	<b>FY 2004 Financial Statements</b> (weight = 9%)			
1.2.a	Audited Fin. Stmt. IAW DOE Reqmts.	5.0	4.8	95.00%
	<b>PERFORMANCE OBJECTIVE #2</b>			
	<b>Construction Projects</b> (WEIGHT = 7%)			
<b>2.1</b>	<b>Construction Projects are Capitalized</b>			
2.1.a	Construction Projects are capitalized (weight = 7%)	4.0	3.5	88.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

	PERFORMANCE OBJECTIVE	WEIGHTS	SCORE	PERCENT
<b>PERFORMANCE OBJECTIVE #3</b>	<b>Effective &amp; Efficient Indirect Cost Mgmt (WEIGHT = 18%)</b>			
<b>3.1</b>	<b>Indirect Cost Management</b>			
3.1.a	CAS Compliance (weight = 9%)	5.0	4.6	91.00%
3.1.b	Functional Support Cost Report (weight = 9%)	5.0	4.6	91.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
<b>COMMUNICATION AND PUBLIC AFFAIRS</b>	15.0	14.0	93.00%
<b>PERFORMANCE OBJECTIVE #1 (WEIGHT = 100%)</b>			
<b>1.1 Provide information to the public and conduct community programs</b>			
1.1.a Appropriate staffing and resources; convey lab mission, (weight = 60%)	9.0	8.4	93.00%
<b>1.2 Provide information to the laboratory community</b>			
1.2.a Improve & Develop Effective Internal Processes (weight = 40%)	6.0	5.6	93.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
PERSONAL PROPERTY	15.0	14.25	95.00%
<b>PERFORMANCE OBJECTIVE #1</b>	<b>Personal Property Excellence</b>		
	(WEIGHT = 100%)		
1.1	Assessing Degree of Excellence Achieved		
	(weight = 100%)		
1.1.a	Measuring System and Service Levles	15.0	95.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
<b>PROCUREMENT</b>	25.0	22.0	88.00%
<b>PERFORMANCE OBJECTIVE #1</b>	<b>Procurement Excellence</b>	<b>(WEIGHT = 100%)</b>	
<b>1.1</b>	<b>Degree of Excellence Achieved</b>	<b>(weight = 100%)</b>	
1.1.a	System and Service Levels	25.0	88.00%

## Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
<b>FACILITIES MANAGEMENT</b>	45.00	39.0	86.71%
<b>PERFORMANCE OBJECTIVE #1 Real Property Management (WEIGHT = 17%)</b>			
<b>1.1 Real Property Managed</b> (weight = 17%)			
1.1.a Number of completed milestones...	8.0	6.8	85.00%
<b>PERFORMANCE OBJECTIVE #2 Property Management (WEIGHT = 15%)</b>			
<b>2.1 Facility Construction Projects</b> (weight = 15%)			
2.1.a Number of milestones completed on schedule... (weight = 8%)	3.0	2.3	78.00%
2.1.b Actual funds committed during the first year... (weight - 7%)	3.0	2.2	73.00%
<b>PERFORMANCE OBJECTIVE #3 Maintenance Management (WEIGHT = 40%)</b>			
<b>3.1 Non-programmatic Maintenance</b> (weight = 20%)			
3.1.a Sum completion of % for all milestones...	9.0	7.7	85.00%
<b>3.2 Maintenance Index</b> (weight = 20%)			
3.2.a Performance index based on selected Maintenance Performance Indicators	9.0	8.6	96.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

PERFORMANCE OBJECTIVE		WEIGHT	SCORE	PERCENT
<b>PERFORMANCE OBJECTIVE #4</b>	<b>Energy Management</b>	<b>(WEIGHT = 11%)</b>		
4.1	Use Energy Efficiently	(weight = 11%)		
4.1.a	Current FY energy goals accomplished/goals scheduled	5.0	4.2	84.00%
<b>PERFORMANCE OBJECTIVE #5</b>		<b>Physical Assets Planning</b>	<b>(WEIGHT = 17%)</b>	
5.1	Comprehensive Integrated Planning Process	(weight = 17%)		
5.1.a	Effectiveness of Planning Process	8.0	7.2	90.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
<b>INFORMATION MANAGEMENT</b>	30.0	28.5	95.00%
<b>PERFORMANCE OBJECTIVE #1 (WEIGHT = 100%)</b>			
<b>1.1 IM Systems and Programs Operations</b>			
1.1.a Operational effectiveness of IM Systems & programs (weight = 50%)	15.0	14.3	95.00%
1.1.b Effectiveness of IM Systems & programs meeting customer... (weight = 50%)	15.0	14.3	95.00%

## Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
<b>SAFEGUARDS &amp; SECURITY</b>	30.0	26.8	89.20%
<b>PERFORMANCE OBJECTIVE #1</b>			
<b>WEIGHT = 60%</b>			
<b>1.1 S&amp;S is integrated of the management system (weight = 60%)</b>			
1.1.a Sustain & enhance the effectiveness of ISSM	18.0	16.6	92.00%
<b>PERFORMANCE OBJECTIVE #2</b>			
<b>WEIGHT = 40%</b>			
<b>2.1 Sustain and enhance the effectiveness of Integrated SAS (weight = 40%)</b>			
2.1.a Emerging threats are identified, reported, and mitig	12.0	10.2	85.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
<b>TECHNOLOGY AND INTELLECTUAL PROPERTY</b>	10.0	9.0	90.00%
<b>PERFORMANCE OBJECTIVE #1 (WEIGHT = 100%)</b>			
<b>1.1 Technology &amp; IP are effectively managed.... (weight = 50%)</b>			
1.1.a Key technologies & inventions are identified, assessed, disclosed ....	5.0	4.8	95.00%
<b>1.2 Collaborative R&amp;D Projects (weight = 50%)</b>			
1.2.a Collaborative R&D Proj. provide benefit to DOE, SLAC, the scientific comm	5.0	4.3	85.00%

## Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
<b>ENVIRONMENT, SAFETY &amp; HEALTH</b>	120.0	76.7	63.92%
<b>PERFORMANCE OBJECTIVE #1 (WEIGHT = 67%)</b>			
<b>1.1 ISMS Line Management (weight = 25%)</b>			
1.1.a Line Mgmt. Responsibility & Accountability for Safety	30.0	15.0	50.00%
<b>1.2 Analysis of Routine Work Activities (weight = 42%)</b>			
1.2.a Work Planning and Controls	50.0	25.0	50.00%
<b>PERFORMANCE OBJECTIVE #2 (WEIGHT = 20%)</b>			
<b>2.1 Exposures of Personnel will be controlled (weight = 3%)</b>			
2.1.a Industrial Hygiene exposure prevention program	4.0	4.0	100.00%
<b>2.2 Accident, lost workday &amp; DOE injury cost index (weight = 4%)</b>			
2.2.a Total Recordable Cases and Lost Work Days Cases baseline average	5.0	2.5	50.00%
<b>2.3 Exposure of personnel to ionizing radiation will be controlled (weight = 2%)</b>			
2.3.a ORPS-reportable occurrences are managed & minimized	3.0	3.0	100.00%

## Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
2.3.b Dosimeter investigations & dose assignments	2.0	2.0	100.00%
<b>2.4 Radioactive Material controlled (weight = 2%)</b>			
2.4.a Radioactive materials are controlled at all times	3.0	3.0	100.00%
<b>2.5 Fire Protection (weight = 7%)</b>			
2.5.a Fire Department Response Time	2.0	1.7	85.00%
2.5.b Fire department inspections	2.0	2.0	100.00%
2.5.c Design Review & Approved Program	2.0	2.0	100.00%
2.5.d Inspect, test, and maintain fire protection systems	1.0	1.0	100.00%
<b>PERFORMANCE OBJECTIVE #3 (WEIGHT = 3%)</b>			
<b>3.1 Environmental violations &amp; releases will be adequately controlled</b>			
3.1.a Environmental incidents tracked and measured	4.0	4.0	100.00%
<b>PERFORMANCE OBJECTIVE #4 (WEIGHT = 20%)</b>			
<b>4.1 Program to reduce waste generated and pollutant emissions (weight =2%)</b>			
4.1.a Progress meeting DOE pollution prevention goals for the year 2005	3.0	3.0	100.00%
<b>4.2 Manage hazardous and radioactive wastes (weight = 4%)</b>			
4.2.a Hazardous waste generated and managed by Waste Mgmt. Group	3.0	3.0	100.00%
4.2.b Low-level waste generated and managed by Waste Mgmt. Group	2.0	1.5	75.00%

**Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER**

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
4.3 Maintain Remedial Investigation/Feasibility Study (weight = 4%)			
4.3.a Performance will be determined based on points in 3 categories.	4.0	4.0	100.00%

