



U.S. DEPARTMENT OF
ENERGY

Office of
Science

SLAC Site Office

SLAC National Accelerator Laboratory
2575 Sand Hill Road, MS-8A
Menlo Park, CA 94025

December 15, 2009

Dr. Persis Drell, Director
SLAC National Accelerator Laboratory
2575 Sand Hill Road
Menlo Park, California 94025

Subject: SLAC FY09 Annual Performance Evaluation Report

Dear Dr. Drell:

The purpose of this letter is to transmit the Department of Energy's (DOE) Office of Science performance assessment for SLAC National Accelerator Laboratory (SLAC) based on criteria established in the FY09 Performance Evaluation and Management Plan (PEMP) and incorporated into the contract.

Using this process, overall performance of *Science and Technology* was rated **A-** while overall performance of *Management and Operations* was rated **B+** both which represent sustained performance and continued improvements in the Laboratory compared to the FY08 evaluation.

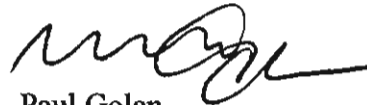
FY09 continued the path of extraordinary improvement across the laboratory in the *leadership, science, and operational excellence*. In the area of leadership, your team is recognized and commended for taking on and owning extremely tough challenges as the Laboratory transitions to its new mission and multi-purpose function. The Department applauds the strong engagement of the University in implementing an effective and clear governance framework and providing the Laboratory the needed resources and sponsorship required to support a 21st century national laboratory.

In the area of science, the commissioning and on-time start up of the new coherent x-ray laser (LCLS) was unprecedented; the entire laboratory worked together as a highly effective team to achieve this spectacular result. Additionally, the data coming back from the FERMI telescope is exceptional and the science supported and produced in SSRL, SIMES, accelerator science, and as well as particle physics and astrophysics continues to be strong. You and your leadership team are to be commended for providing a clear vision and drive to the new missions and scientific frontiers.

Lastly in the area of operational excellence, your team has taken major steps forward in establishing a culture of accountability, leading by example, and setting high standards for management and operational excellence. The Department recognizes and appreciates the significant improvement in the safety culture at SLAC where we have witnessed a 65 percent reduction in the rate of accidents and injuries at the site over the last two years.

The Department of Energy is confident that SLAC is on the right track moving this laboratory forward; the accompanying report contains recommendations for SLAC and Stanford to focus on in FY10 to ensure continued progress and sustainable mission success. The attached evaluation provides the basis and details for these grades; this assessment will be placed on the Office of Science website on December 16, 2009.

Sincerely,



Paul Golan
Manager, SLAC Site Office

Cc:
William Madia, Stanford University
Alexander Merola, SLAC
Tyndal Lindler, SSO
Hanley Lee, SSO



FY 2009

**Contractor Performance Evaluation and
Measurement Plan**

for

***Management and Operations of the
SLAC National Accelerator Laboratory***



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INTRODUCTION

This document, the Performance Evaluation and Measurement Plan (PEMP) primarily serves DOE's Quality Assurance/Surveillance Plan (QASP) for the evaluation of *Stanford University* (hereafter referred to as "the Contractor") performance regarding the management and operations of the *SLAC National Accelerator Laboratory* (hereafter referred to as "the Laboratory") for the evaluation period from October 1, 2008, through September 30, 2009. The performance evaluation provides a standard by which to determine whether the Contractor is managerially and operationally in control of the Laboratory and is meeting the mission requirements and performance expectations/objectives of the Department as stipulated within this contract.

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

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

Section I provides information on how the performance rating (grade) for the Contractor will be determined.

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

I. DETERMINING THE CONTRACTOR'S PERFORMANCE RATING

The FY09 Contractor performance grades for each Goal will be determined based on the weighted sum of the individual scores earned for each of the Objectives described within this document for Science and Technology and for Management and Operations. No overall rollup grade will be provided. The rollup of the performance of each Goal will then be utilized to determine the Contractor performance score for Science and Technology and Management and Operations (see Table A). Each Goal is composed of two or more weighted Objectives, and each Objective has a set of Performance Measures, which are identified to assist the reviewer in determining the Contractor's overall performance in meeting that Objective. Each of the Performance Measures identifies significant activities, requirements and/or milestones important to the success of the corresponding Objective and shall be utilized as the primary means of determine the Contractor's success in meeting the Objective. Although the Performance Measures are the primary means for determining performance, other performance information available to the evaluating office from other sources to include, but not limited to, the Contractor's self-evaluation report, operational awareness (daily oversight) activities; "For Cause" reviews (if any); and other outside agency reviews (OIG, GAO, DCAA, etc.) may be utilized in determining the Contractor's overall success in meeting an Objective. The following describes the methodology for determining the Contractor's grade for each Goal:

Performance Evaluation Methodology:

The purpose of this section is to establish a methodology to develop scoring at the Objective Level. Each Objective within a Goal shall be assigned a numerical score, per Figure I-1, by the evaluating office. Each evaluation will measure the degree of effectiveness and performance of the Contractor in meeting the Objective and shall be based on the Contractor's success in meeting the set of Performance Measures identified for each Objective as well as other performance information available to the evaluating office from other sources as identified above. The set of

Performance Measures identified for each Objective represent the set of significant indicators that if fully met, collectively places performance for the Objective in the “B+” grade range. For some targets, it serves the evaluator to provide additional grading details “for example at the A, C+, and D level” and in those cases details have been included in the PEMP. However, these should be considered as guidelines that do not restrict the evaluation from considering other factors that contribute to the evaluation.

Letter Grade	Numeric Grade	Definition
A+	4.3 – 4.1	Significantly exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance have or have the potential to significantly improve the overall mission of the Laboratory. No specific deficiency noted within the purview of the overall Objective being evaluated.
A	4.0 – 3.8	Notably exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance either have or have the potential to improve the overall mission of the Laboratory. Minor deficiencies noted are more than offset by the positive performance within the purview of the overall Objective being evaluated and have no potential to adversely impact the mission of the Laboratory.
A-	3.7 – 3.5	Meets expectations of performance as set within performance measures identified for each Objective with some notable areas of increased performance identified. Deficiencies noted are offset by the positive performance within the purview of the overall Objective being evaluated with little or no potential to adversely impact the mission of the Laboratory.
B+	3.4 – 3.1	Meets expectations of performance as set by the performance measures identified for each Objective with no notable areas of increased or diminished performance identified. Deficiencies identified are offset by positive performance and have little to no potential to adversely impact the mission of the Laboratory.
B	3.0 – 2.8	Most expectations of performance as set by the performance measures identified for each Objective are met and/or other minor deficiencies are identified. Performance measures or other minor deficiencies identified are offset by positive performance within the purview of the Objective and have little to no potential to adversely impact the mission of the Laboratory.
B-	2.7 – 2.5	One or two expectations of performance set by the performance measures are not met and/or other deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C+	2.4 – 2.1	Some expectations of performance set by the performance measures are not met and/or other minor deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C	2.0 – 1.8	A number of expectations as set by the performance measures are not met and/or a number of other deficiencies are identified and although they may be somewhat offset by other positive performance, they have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.

Letter Grade	Numeric Grade	Definition
C-	1.7 – 1.1	Most expectations as set by the performance measures are not met and/or other major deficiencies are identified which have or will negatively impact the Objective or overall Laboratory mission accomplishment if not immediately corrected.
D	1.0 – 0.8	Most or all expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have negatively impacted the Objective and/or overall Laboratory mission accomplishment.
F	0.7 – 0	All expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have significantly impacted both the Objective and the accomplishment of the Laboratory mission.

Figure I-1 Letter Grade and Numerical Score Definitions

Calculating Individual Goal Scores and Letter Grade:

Each Objective is assigned the earned numerical score by the evaluating office as stated above. The Goal rating is then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values are then added together to develop an overall score for each Goal. For the purpose of determining the final Goal grade, the raw numerical score for each Goal will be rounded to the nearest tenth of a point utilizing the standard rounding convention discussed below and then compared to Table B. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. Utilizing the raw numerical score for each Goal within Table A, the scores for each of the Science and Technology (S&T) Goals and Management and Operations (M&O) Goals are then multiplied by the weight assigned and these are summed to provide an overall raw score for each. The total score for Science and Technology and Management and Operations is compared to the letter grade scale found in Table B, to determine the overall S&T and M&O grades for FY09.

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

S&T Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
1.0 Mission Accomplishment	3.6	A-	21%	0.76	
2.0 Construction and Operations of User Research Facilities and Equipment	3.7	A-	56%	2.07	
3.0 Science and Technology Research Project/Program Management	3.3	B+	23%	0.76	
Total Score					3.6
M&O Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
4.0 Leadership and Stewardship of the Laboratory	3.7	A-	25%	0.93	
5.0 Integrated Safety, Health, and Environmental Protection	3.2	B+	25%	0.80	
6.0 Business Systems	3.0	B	25%	0.75	

7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio	3.0	B	15%	0.45	
8.0 Integrated Safeguards and Security Management and Emergency Management Systems	3.1	B+	10%	0.31	
Total Score					3.2

Table A. FY 2009 Contractor Evaluation Score Calculation

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

Table B. FY 2009 Contractor Letter Grade Scale/Numeric Score Scale

Adjustment to the Letter Grade:

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

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

II. PERFORMANCE GOALS, OBJECTIVES & PERFORMANCE MEASURES

Background

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

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

The performance-based approach focuses the evaluation of the Contractor’s performance against these Performance Goals. Progress against these Goals is measured through the use of a set of Objectives. The success of each Objective will be measured based on a set of Performance Measures, both objective and subjective, that are to focus primarily on end-results or impact and not on processes or activities. Measures provide specific evidence of

performance, and collectively, they provide the body of evidence that indicates performance relative to the corresponding Objectives. On occasion however, it may be necessary to include a process/activity-oriented measure when there is a need for the Contractor to develop a system or process that does not currently exist but will be of significant importance to the DOE and the Laboratory when completed or that lead to the desired outcome/result.

Performance Goals, Objectives, and Performance Measures

The following sections describe the Performance Goals, their supporting Objectives, and associated performance measures for FY09.

1.0 Provide for Efficient and Effective Mission Accomplishment

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

The weight of this Goal is 21%

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

Refer to Attachment II

The overall numerical score is 3.6 and grade assigned is A-.

1.1 Science and Technology Results Provide Meaningful Impact on the Field

Objective Weight = 40%

Numerical score = 3.7 Grade = A-

Refer to Attachment II

1.2 Provide Quality Leadership in Science and Technology

Objective Weight = 25%

Numerical score = 3.7 Grade = A-

Refer to Attachment II

1.3 Provide and Sustain Outputs That Advance Program Objectives & Goals

Objective Weight = 17%

Numerical score = 3.5 Grade = A-

Refer to Attachment II

1.4 Provide for Effective Delivery of Products

Objective Weight = 18%

Numerical score = 3.3 Grade = B+

Refer to Attachment II

Science Program Office ¹	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Basic Energy Sciences					
1.1 Impact	A-	3.7	50%	1.85	
1.2 Leadership	A	3.8	20%	0.76	
1.3 Output	A-	3.6	15%	0.54	
1.4 Delivery	B+	3.4	15%	0.51	
Overall BES Total					3.66
Office of Biological and Environmental Research					
1.1 Impact	A-	3.5	30%	1.05	
1.2 Leadership	A-	3.5	20%	0.7	
1.3 Output	A-	3.5	20%	0.7	
1.4 Delivery	A-	3.5	30%	1.05	
Overall BER Total					3.50
Office of High Energy Physics					
1.1 Impact	A-	3.6	30%	1.08	
1.2 Leadership	A-	3.6	30%	1.08	
1.3 Output	A-	3.5	20%	0.7	
1.4 Delivery	B+	3.3	20%	0.66	
Overall HEP Total					3.52
Office of Workforce Development for Teachers and Scientists					
1.1 Impact	A-	3.7	25%		
1.2 Leadership	B+	3.4	30%		
1.3 Output	B+	3.3	30%		
1.4 Delivery	B+	3.3	15%		
Overall WDTS Total					3.43

Table 1.1-1.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Basic Energy Sciences	A-	3.66	51%	1.87	
Office of Biological and Environmental Research	A-	3.50	0.7%	0.02	
Office of High Energy Physics	A-	3.52	48.2%	1.69	
Office of Workforce Development for Teachers and Scientists	B+	3.43	0.2%	0.01	
Performance Goal 1.0 Total					3.59

Table 1.2 Overall Performance Goal Score Development²

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

¹ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

² Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY 2008 Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY2009.

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

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

The weight of this Goal is 56%

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

Refer to Attachment II

The overall numerical score is 3.7 and grade assigned is A-.

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

Objective Weight = 19%

Numerical score = 3.5 Grade = A-

Refer to Attachment II

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

Objective Weight = 44%

Numerical score = 3.9 Grade = A

Refer to Attachment II

2.3 Provide Efficient and Effective Operation of Facilities

Objective Weight = 28%

Numerical score = 3.5 Grade = A-

Refer to Attachment II

2.4 Utilization of Facility to Grow and Support Lah's Research Base and External User Community

Objective Weight = 8%

Numerical score = 3.6 Grade = A-

Refer to Attachment II

Science Program Office ³	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Basic Energy Sciences					
2.1 Provide Effective Facility Design(s)	A-	3.6	15%	0.54	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components	A	3.9	55%	2.15	
2.3 Provide Efficient and Effective Operation of Facilities	A-	3.6	20%	0.72	
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base	A-	3.6	10%	0.36	
Overall BES Total					3.77
Office of Biological and Environmental Research					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities	A-	3.5	90%	3.15	
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base	A-	3.5	10%	0.35	
Overall BER Total					3.50
Office of High Energy Physics					
2.1 Provide Effective Facility Design(s)	B+	3.4	40%	1.36	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities	B+	3.4	60%	2.04	
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			0%		
Overall HEP Total					3.40

Table 2.1 – 2.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Basic Energy Sciences	A	3.77	80.7%	3.04	
Office of Biological and Environmental Research	A-	3.50	1.7%	0.06	
Office of High Energy Physics	B+	3.40	17.6%	0.60	
Overall Program Office Total					3.70

Table 2.2 Overall Performance Goal Score Development⁴

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

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

Table 2.3 – 2.0 Goal Final Letter

⁴ Weightings for each Customer listed within Table 2.2 are preliminary, based upon FY 2008 Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2009.

3.0 Provide Effective and Efficient Science and Technology Program Management

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

The weight of this Goal is 23%

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

Refer to Attachment II

The overall numerical score is 3.3 and grade assigned is B+.

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

Objective Weight = 40%

Numerical score = 3.4 Grade = B+

Refer to Attachment II

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

Objective Weight = 34%

Numerical score = 3.2 Grade = B+

Refer to Attachment II

3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

Objective Weight = 27%

Numerical score = 3.4 Grade = B+

Refer to Attachment II

Science Program Office ⁵	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Overall ASCR Total					
Office of Basic Energy Sciences					
3.1 Effective and Efficient Stewardship	A-	3.6	40%	1.44	
3.2 Project/Program Planning and Management	B+	3.4	30%	1.02	
3.3 Communications and Responsiveness	B+	3.4	30%	1.02	
Overall BER Total					3.48
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship	A-	3.5	20%	0.70	
3.2 Project/Program Planning and Management	A-	3.5	30%	1.05	
3.3 Communications and Responsiveness	A-	3.5	50%	1.75	
Overall BES Total					3.50
Office of High Energy Physics					
3.1 Effective and Efficient Stewardship	B	3.0	40%	1.20	
3.2 Project/Program Planning and Management	B	3.0	40%	1.20	
3.3 Communications and Responsiveness	B+	3.4	20%	0.68	
Overall HEP Total					3.08
Office of Workforce Development for Teachers and Scientists					
3.1 Effective and Efficient Stewardship	B+	3.2	20%	0.64	
3.2 Project/Program Planning and Management	B	3.0	40%	1.20	
3.3 Communications and Responsiveness	B	3.0	40%	1.20	
Overall WDTS Total					3.04

Table 3.1 – 3.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Basic Energy Sciences	A-	3.48	61.2%	2.13	
Office of Biological and Environmental Research	A-	3.50	1.6%	0.06	
Office of High Energy Physics	B+	3.08	37.1%	1.14	
Office of Workforce Development for Teachers and Scientists	B	3.04	0.1%	0.00	
Overall Program Office Total					3.3

Table 3.2 – Overall Performance Goal Score Development⁶

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

Table 3.3 – 3.0 Goal Final Letter Grade

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

⁶ Weightings for each Customer listed within Table 3.1 and Table 3.2 are preliminary, based upon FY 2008 Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY2009.

Office of Science Program Office Goal & Objective Weightings

ATTACHMENT I

SLAC FY2009 Appraisal Weight Sheet

		ASCR	BES	BER	HEP	WDTS
		Weight	Weight	Weight	Weight	Weight
Goal 1.0 Mission Accomplishment						
	Goal's weight	80	15	10	35	65
1.1 Impact (significance)		40	50	30	30	25
1.2 Leadership (recognition of S&T accomplishments)		30	20	20	30	30
1.3 Output (productivity)		15	15	20	20	30
1.4 Delivery		15	15	30	20	15
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities						
	Goal's weight	0	65	65	35	0
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)		0	15	0	40	0
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)		0	55	0	0	0
2.3 Operation of Facility		0	20	90	60	0
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community		0	10	10	0	0
Goal 3.0 Program Management						
	Goal's weight	20	20	25	30	35
3.1 Stewardship of Scientific Capabilities and Programmatic Vision		30	40	20	40	20
3.2 Program Planning and Management		40	30	30	40	40
3.3 Program Management-Communication & Responsiveness (to HQ)		30	30	50	20	40

4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

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

The weight of this Goal is 25%

This Goal measures the Contractor's Leadership capabilities in leading the direction of the overall Laboratory. It also measured the responsiveness of the Contractor to issues and opportunities for continuous improvement and corporate office involvement/commitment to the overall success of the Laboratory.

The overall numerical score is 3.7 and grade assigned is A-.

In FY09 SLAC delivered LCLS first science on schedule: completion of construction & commissioning of LCLS was extraordinary resulting in first users on October 1st. Leadership resolved numerous project, technical, system integration & safety issues. Throughout the year, SLAC leadership modeled and demonstrated accountable behaviors, owning issues, as well as developing solutions and taking action to make change happen consistent with a culture of trust, honesty, and accountability. Additionally, SLAC took ownership of systems & processes that had been ignored for years including work planning and control, emergency management, procurement, housekeeping, finance, and are systematically addressing areas of need across the laboratory.

SLAC was a strong partner and had an excellent working relationship with the Site Office and HQ; working with SSO, SLAC effectively partnered with the Office of Science establishing a paradigm centered on an accountable and transparent relationship. SLAC brought in new leadership in many critical mission support areas in FY09 and through its business planning process, SLAC has begun to address the condition of its infrastructure support systems as well as the investment required to make laboratory infrastructure sustainable and capable of supporting outstanding science.

Leadership effectively articulated and executed the laboratory vision and mission in a manner where the entire lab is focused on accomplishing integrated mission work and is actively managing risks & issues in real time.

Stanford University was generally effective in its oversight of the Laboratory through the Board of Overseers and provided good support of the laboratory through the recruitment of capable managers and leaders, including transferring the University Controller to the SLAC CFO position.

Some key functional areas did not fully support laboratory operations and negatively impacted performance through the year. While new leadership was brought in during the latter half of FY09, SLAC did not always provide adequate leadership in mission support in the finance, facilities and information technology (IT).

SLAC was slow to address leadership and management shortfalls in facilities and project management where the Laboratory took a step backwards in FY09 in performance. Project Management needs improvement across the laboratory that models itself on the good processes that have been established at LCLS. Cooling Tower replacement (CT-101) failed twice in FY09 due to lack of adequate project planning and project management.

Although site accident and injury rate has improved over last two fiscal years, there may be an unrecognized permissive safety culture present at the laboratory specifically in mission work that needs to be addressed. Understanding and solving this issue is critical to the future long-term success of the laboratory. Safety oversight and assurance of work is still too dependent on SSO.

The Department was disappointed in the lack of progress negotiating a new lease at SLAC; this issue needs to be resolved in early FY10.

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

Objective Weight = 34%

Numerical score = 3.7 Grade = A-

- SLAC delivered LCLS first science on schedule: completion of construction & commissioning of LCLS was extraordinary resulting in first users on October 1st. During the year, leadership resolved numerous project, technical, system integration & safety issues.
- Leadership effectively articulated and executed the laboratory vision and mission in a manner where the entire lab is focused on accomplishing integrated mission work and is actively managing risks & issues in real time.
- SLAC actively participated in the National Laboratory Directors Council (NLDC) and working groups, DOE/SC Forum, SC Policy Planning Process, developed collaborations with other Laboratories, nationally and internationally, and worked to improve integration with Stanford University in both science and operations activities. Stanford and SLAC Director regularly and routinely communicate with national decision makers.
- SLAC was a strong partner and had an excellent working relationship with the Site Office and HQ; working with SSO, SLAC effectively partnered with the Office of Science establishing a paradigm centered on an accountable and transparent relationship.
- SLAC leadership played an effective role in the NLDC, the SC Policy Planning Process, and worked very collaboratively with other national laboratories.
- SLAC did not meet the target of July 1, 2009 to implement a SLAC Tours Program.
- SLAC did not meet the target of a best-in-class public Web site by June 1, 2009.

4.2 Provide for Responsive and Accountable Leadership throughout the Organization

Objective Weight = 33%

Numerical score = 3.7 Grade = A-

- SLAC took ownership of systems & processes that had been ignored for years including work planning and control, emergency management, procurement, housekeeping, finance, and are systematically addressing areas of need across the laboratory.
- SLAC leadership modeled and demonstrated accountable behaviors, owning issues, as well as developing solutions and taking action to make change happen consistent with a culture of trust, honesty, and accountability.
- SLAC brought in new leadership in many critical mission support areas in FY09.
- Through its business planning process, SLAC has begun to address the condition of its infrastructure support systems as well as the investment required to make the laboratory infrastructure sustainable and capable of supporting outstanding science.

- Some key functional areas did not fully support laboratory operations and negatively impacted performance through the year. Project Management needs improvement.

4.3 Provide Efficient and Effective Corporate Office Support as Appropriate

Objective Weight = 33%

Numerical score = 3.3

Grade = B+

- SU was effective in its oversight of the Laboratory through the Board of Overseers.
- SU provided support of the laboratory through the recruitment of highly capable managers and leaders, including transferring the University Controller to the CFO position.
- The Department was disappointed in the lack of progress on the negotiating a new lease at SLAC; this issue needs to be resolved in early FY10.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
4.0 Effectiveness and Efficiency of Contractor Leadership and Stewardship					
4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans	A-	3.7	34%	1.3	
4.2 Provide for Responsive and Accountable Leadership throughout the Organization	A-	3.7	33%	1.2	
4.3 Provide Efficient and Effective Corporate Office Support as Appropriate	B+	3.3	33%	1.1	
Performance Goal 4.0 Total					3.7

Table 4.1- 4.0 Goal Performance Rating Development

Table 4.2 – 4.0 Goal Final Letter Grade

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

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

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

The weight of this Goal is 25%

This Goal measures the Contractor's effectiveness in implementing safety and environmental protection programs that result in significant reductions in worker injuries or illnesses, achieve or make significant progress toward meeting the Office of Science safety goals for Total Recordable Case (TRC) and Days Away, Restricted or Transferred (DART) rates, and eliminate or minimize the potential for releases to the environment.

The objectives and targets supporting this goal focus on some key areas requiring improvement that have been previously identified in Integrated Safety Management (ISM) system reviews of SLAC management systems and work processes. In achieving these objectives, SLAC will be expected to demonstrate tangible improvements in the implementation of the SLAC lessons learned program including, but not limited to, timeliness in reporting of events and occurrences, quality of its causal analysis process and investigation reports, distribution of lessons learned, and implementation of effective systems and processes for identification and tracking of corrective actions. SLAC is also expected to develop and implement more robust fire protection programs that fulfill the expectations and requirements of DOE in this functional area.

SLAC is expected to effectively and efficiently manage and operate the Laboratory through implementation of best-in-class management practices designed to support DOE core research missions while assuring the safety and health of workers and the public and enhancing SLAC programs to protect the environment. SLAC is expected to implement effective and integrated safety and environmental management systems to achieve and maintain excellence in safety and environmental performance. The performance goal, objectives, measures and targets are fundamentally linked to the seven Guiding Principles and five Core Functions of Integrated Safety Management System (ISMS), the ISO 14001 elements and framework of an effective Environmental Management System (EMS) and the specific DOE/Stanford University contract provisions that require SLAC to integrate environment, safety and health into work planning and execution at all organizational levels including flow down to SLAC subcontractors and sub-tier subcontractors. In response to previous ISMS reviews that identified weaknesses in SLAC systems and work processes, SLAC is also expected to focus efforts to develop a more structured and consistent site-wide Work Planning and Control (WPC) process that results in significant improvement in the planning of work activities and identification of hazards and appropriate controls. SLAC is also expected to implement actions that reinforce safe behaviors, encourages reporting of safety issues and concerns, and promotes a culture of accountability.

The overall numerical score is 3.2 and grade assigned is B+.

The Laboratory has made significant improvements in worker safety and health as evidenced by the reduction in the number and severity of injuries (73% reduction) in recordable injuries over the last two years. LCLS had only one DART case in last 19 –months, a 20-fold decrease from previous case rate. Leadership is establishing a safety culture at the Laboratory, and encouraged workers to report incidents, accidents, and concerns; in FY09, the fist aid to TRC rate was 11:1, an eleven-fold increase from FY07. SLAC is still experiencing a higher than acceptable rate of off normal incidents, as evidenced by the September of 2009 laser eye injury; this needs to be addressed and corrected in FY10.

The new WPC program has gained traction and is generally viewed positively overall with a few pockets within the Laboratory that require better implementation and acceptance. The WPC is a relatively new program and the effectiveness of site-wide implementation will need to be assessed further by SLAC and the SSO as it matures over time.

Incident notification and reporting improved significantly in FY09; however, the operating experience and lessons learned program continues to have issues.

While increased reporting of injuries and other incidents and near misses is a good indicator of positive change in the safety culture at SLAC, SLAC will need to better utilize information obtained from all of the reporting systems to identify negative and positive trends, along with information gained from a more thorough investigation and detailed analysis of causal factors, to develop appropriate and effective corrective actions.

The lack of sufficient resources to perform all of the necessary functions is preventing SLAC from achieving objectives in a number of areas including internal assessments and independent verification. SLAC will need to continue to ensure that managers and supervisors are routinely walking work spaces and communicating with workers and receiving feedback. Management systems and work processes are also being assessed in order to identify weaknesses and opportunities for improvement, and to implement corrective actions that effectively address underlying causal factors. Although progress has been made in fire safety, the goal of developing an effective fire protection programs that achieve best protected class (or Highly Protected Risk) level of fire protection has not been met and requires additional work.

SLAC runs a very effective and efficient waste management & pollution prevention program.

5.1 Provide a Work Environment that Protects Worker Safety, Health and the Environment

Objective Weight = 40%

Numerical score = 2.8

Grade = B

- The Laboratory met the Office of Science TRC rate goal of 0.65 with a Lab rate of 0.50. The Laboratory missed the Office of Science DART rate goal of 0.25 with a lab rate of 0.30; however, the Laboratory has reduced the number of recordable injuries by 73% over the last two years.
- The OPEX benchmark report was not submitted on time; however, the Laboratory's independent assessment of the OPEX program is on track.
- The Laboratory encourages reporting but SLAC needs to ensure that leadership at all levels provides consistent, positive and timely reinforcement to those reporting events. A core of trained individuals was formed, a grading mechanism for reports was implemented, and the Laboratory received an average grade on reports of a meets expectation.
- Some of the goals and elements (such as facility assessments) for implementation of DOE O 420.1B CRD were not met by the anticipated delivery dates. Other elements that were declared to be in compliance were found to be incomplete and in need of further improvement. SLAC needs to ensure that proper attention is placed in this area in FY10.

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

Objective Weight = 50%

Numerical score = 3.4

Grade = B+

- The Plan-of-the-Week (POW) meeting has been ongoing and well attended; however, not all participants talk through the hazards for the work and how hazards are being mitigated. This meeting (in principle) is seen at other laboratories as a best practice.
- The new WPC process has been developed and is substantially implemented. There are still some work groups where the new WPC has not been fully embraced or implemented. Preliminary SSO observations of the implementation of the WPC process across the site indicates that many workers have only recently become familiar with the new process and; therefore, it has not achieved full maturity in FY09.
- The Laboratory has streamlined high hazard work plans with new and better forms. The WPC e-tool helps workers plan work and identify what permits are required; however, it is not clear to SSO to what degree the e-tool streamlines the actual permitting process.

- The positive recognition program or “safety chip program” was implemented; however, many SLAC workers are not aware if the program is being used. Better awareness of the program and advertising of actual recipients is needed. SLAC needs to obtain more feedback from SLAC workers in order to assess the effectiveness of this recognition program.

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

Objective Weight = 10%

Numerical score = 3.6

Grade = A-

- SLAC has demonstrated that it has in place the framework and fundamental elements of an Environmental Management System (EMS). SLAC did not receive any NOVs for non-compliance with regulatory requirements in FY09 and subject matter experts in many of the individual environmental protection program areas possess the necessary knowledge and skills to assess the laboratory’s compliance with regulatory requirements. SLAC’s environmental protection program personnel should be working to interface and more fully integrate their environmental support activities into the planning stages of work activities and projects. Specifically, environmental program personnel should be more involved at the planning stage of projects to ensure that environmental, energy, and transportation management and sustainability have been sufficiently evaluated before the work activities begin.
- SLAC continues to make good progress implementing EMS across the site and identifying areas that may require more attention, including SLAC senior management reviews of the status and closure of site-specific Environmental Management Programs (EMPs) and incorporation of measurable goals, objectives, and targets into Directorate-specific business plans. The SLAC EMS Program Manager/EMP Coordinator communicates effectively with other SLAC personnel to track the status and ongoing progress of each of the EMPs. This information is tracked and presented routinely to SLAC senior management and SSO on a quarterly basis and incorporated as part of the annual EMS Management Review. The effectiveness of flow down of EMS to SLAC subcontractors has not been thoroughly evaluated, and additional training of both University Technical Representatives (UTRs) and project managers in this area may be needed.
- SSO and SLAC completed the declaration of full implementation of EMS on June 1, 2009, ahead of the June 30, 2009, deadline required by DOE Order 450.1A. In preparation for the SSO and SLAC declaration of full implementation of EMS, SLAC developed and submitted to the SSO, in a timely manner, a corrective action plan to address the two minor non-conformances that were identified in the formal audit of the SLAC EMS conducted by the SSO and Integrated Support Center.
- SLAC has made improvements resulting from implementation of the EMPs and it is in the process of developing an executable plan that would facilitate demonstrating more progress against the sustainable energy and transportation management goals in Executive Order 13423 and DOE Order 430.2B. The inability of SLAC to move forward on certain energy-related projects (i.e., energy efficiency, sustainable buildings, water conservation) as a result of decisions out of their direct control has contributed to some delays in demonstrating more progress in this area. SLAC will now need to develop an alternative plan to comply with Executive Order 13423 and DOE directives in this area.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection					
5.1 Provide a Work Environment that Protects Workers and the Environment	B	2.8	40%	1.12	
5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management	B+	3.4	50%	1.7	
5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention	A-	3.6	10%	0.36	
Performance Goal 5.0 Total					3.2

Table 5.1 – 5.0 Goal Performance Rating Development

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

Table 5.2 – 5.0 Goal Final Letter Grade

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

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

The weight of this Goal is 25%

This Goal shall measure the Contractor's overall success in deploying, implementing, and improving integrated business system that efficiently and effectively support the mission(s) of the Laboratory.

The overall numerical score is 3.0 and grade assigned is B.

- Business systems improved in FY09 and generally supported laboratory mission.
- While the procurement management system improved through the year, timeliness and quality of packages reviewed by SSO did not always meet expectations.
- SLAC reduced GSA fleet vehicle count by over 18%.
- SLAC implemented a corrective action plan to safeguard and account for sensitive property.
- SLAC implemented a new individual performance-based appraisal review system based on achieving laboratory objectives.
- SLAC did not submit the Phase 2 situational analysis report on-time.
- SLAC did not submit the data on invention and licensing activities report on-time.

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

Objective Weight = 15%

Numerical score = 3.1 Grade = B+

- SLAC met the first milestone and is working on completing the second milestone. The time delay due to the replacement of the Chief Information Officer (CIO) and the Chief Financial Officer (CFO) presented difficulty to meet this second milestone, since those positions are critical to the direction and completion of the projects related to this performance measure. Both of these positions have been filled and the systems upgrade project is moving forward.

6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System

Objective Weight = 40%

Numerical score = 2.7 Grade = B-

- While SLAC did not meet the target milestone, they have implemented processes and provided training for their procurement staff and customers. Additionally, the Purchasing Description was not submitted in a

timely manner. The Purchasing Desk Guides have not been submitted, SLAC anticipates completion in FY10.

- SLAC did not meet the target milestone but have initiated procurement tools such as the Advanced Procurement Plans, Contract Administration Plans and Invoice Tracker. The implementation of tracking invoices and payments remain in the early stage. Monthly updates of the Quality processes were included in the procurement briefings.
- Procurement Balanced Score Card (BSC) was 73%.
- Improvements in subcontracting packages have been evident compared to FY08, however; the subcontracting packages still require quality control/assurance. Based upon the improvements, the Laboratory's purchasing threshold was increased in May for competitive actions from \$500K to \$1M.
- The Laboratory responded well to the added workload prompted by the American Recovery and Reinvestment Act (ARRA). The Purchasing Department developed a comprehensive ARRA guide for the SLAC staff and updated periodically. The changes in leadership over the past year are a concern as well as the recruitment of qualified staff. At the end of September, 2009 SLAC did hire a new Acquisition Management Systems Director.

6.3 Provide an Efficient, Effective, and Responsive Property Management System

Objective Weight = 15%

Numerical score = 3.3 Grade = B+

- SLAC achieved a Property BSC rating of 94%. SLAC reduced vehicle count from 170 to 139, a reduction of 31 (18%) vehicles.
- SLAC developed and implemented a corrective action plan to safeguard and account for all sensitive property. SLAC had one stolen laptop in the 2H09.

6.4 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program

Objective weight = 10%

Numerical score = 3.2 Grade= B+

- The Roles, Responsibilities, Authorities and Accountabilities (R2A2's) were integrated into 97% of laboratory personnel, in accordance with the job descriptions. Performance level achieved April 30, 2009.
- SLAC did not meet the milestone to complete a comparison of its current compensation system policies, procedures and practices. Comparison was completed September 1, 2009 and no material differences noted; SLAC ranked overall 8th out of 16 comparators.
- SLAC did not meet the milestone on the Employee Benefits Value Study (Ben-Val). Study was completed September 1, 2009.
- Initial workforce planning stage has been initiated and submitted in late September 2009 to the contracting officer. SLAC will continue to pursue this item in FY10.

- Diversity plans are integrated into the Directorates' goals and plans. SLAC took responsibility for the summer diversity program.
- A new five year union contract negotiated and ratified.
- SLAC implemented a new individual performance appraisal review system based on achieving objectives.

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

Objective weight = 15%

Numerical score = 3.0 Grade = B

- SLAC met the performance expectations. SLAC had no material findings. SLAC has a centralized corrective action plan tracking system with a milestone schedule to implement recommendations, as well as using the Stanford Internal Audit recommendation/cap tracking system for milestone schedules, and improvement implementations.
- SU Internal Audit and Institutional Compliance has met the performance expectation. SU Internal Audit (SUIA) completed the initial FY09 audit plan and, in addition, has completed nearly the entire subsequent audit requests received, as of September 15, 2009. SUIA provides a SLAC Quarterly Follow-up Review to the Site Office.

6.6 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets

Objective weight = 5%

Numerical score = 3.0 Grade= B

- SLAC met the five new collaboration agreements.
- SLAC did not submit the data on inventions and licensing activities report on time.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)					
6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)	B+	3.1	15%	.47	
6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System	B-	2.7	40%	1.08	
6.3 Provide and Efficient, Effective, and Responsive Property Management	B+	3.3	15%	.50	

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
System					
6.4 Provide an Efficient, Effective, and responsive Human Resources Management System	B+	3.2	10%	.32	
6.5 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate	B	3.0	15%	.45	
6.6 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets	B	3.0	5%	.15	
Performance Goal 6.0 Total					3.0

Table 6.1 – 6.0 Goal Performance Rating Development

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

Table 6.2 – 6.0 Goal Final Letter Grade

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

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

The weight of this Goal is 15%.

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

The overall numerical score is 3.0 and grade assigned is B.

- General material condition and housekeeping across the laboratory improved in FY09.
- Project management of Cooling Tower 101 replacement was not satisfactory which led to two work stoppages in FY09.
- Facilities and infrastructure support for the commissioning of LCLS was extraordinary, meeting and exceeding all program requirements for on-time turn on of the instrument.
- SLAC implemented a comprehensive and effective system to execute ARRA projects across the laboratory.

7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs

Objective Weight = 50%

Numerical score = 3.1

Grade = B+

The Laboratory is having difficulty executing projects (such as CT 101), and the Laboratory is struggling to resource load schedules which will better identify where the Laboratory needs to make new hires. The Laboratory needs to better plan how it will meet the TEAM initiatives especially since the ESCO contract has been determined to be a no go.

- Project management of Cooling Tower 101 replacement was not satisfactory which led to two work stoppages.
- The Laboratory fell short of completing all of the projects described in the Facilities Renewal Plan.
- The Laboratory did an excellent job of cleaning and maintaining six significant areas on site.
- SLAC exceeded the goal to assess 80% of SLAC buildings by assessing 90% of the buildings.
- The Laboratory did not submit a plan that addresses TEAM initiatives and goals per Executive Order 13423 to DOE by August 29, 2009.
- General material condition and housekeeping across the laboratory improved in FY09.

7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support the Continuation and Growth of Laboratory Missions and Programs

Objective Weight = 50%

Numerical score = 2.9 Grade = B

- The Laboratory has incorporated the Strategic Plan into the business plan, the annual operating plan, the plan of the week, and daily tasks; but did not meet the 5 year infrastructure planning process plan.
- SLAC has developed and implemented a planning and assessment system that led to plan of the week. The plan of the week is a best practice as noted by other laboratories.
- Facilities and infrastructure support for the commissioning of LCLS was extraordinary, meeting and exceeding all program requirements for on-time turn on of the instrument.
- SLAC implemented a comprehensive and effective system to execute ARRA projects across the laboratory.
- While SLAC established processes to manage and oversee projects laboratory-wide in FY09, staffing and qualification of this critical area needs attention and improvement in FY10.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs					
7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs	B+	3.1	50%	1.6	
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs	B	2.9	50%	1.5	
Performance Goal 7.0 Total					3.0

Table 7.1 – 7.0 Goal Performance Rating Development

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

Table 7.2 – 7.0 Goal Final Letter Grade

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

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

The weight of this Goal is 10%.

The overall numerical score is 3.1 and grade assigned is B+.

- SLAC was slow to implement some aspects of the emergency management plan.
- SLAC sponsored a very successful multi-agency (over 12 non-DOE authorities) emergency response exercise in August which was the largest drill the Laboratory has ever run.
- SLAC did not provide adequate security protection when a former worker vandalized operations at SSRL that resulted in a destruction of \$500K worth of scientific samples.
- SLAC successfully transferred all but one accountable nuclear source, resulting in the lowest radioactive material inventory the laboratory has had in over 40 years.
- SLAC was slow to reevaluate its two-gate security posture in FY09.

8.1 Provide an Efficient and Effective Emergency Management System

Objective Weight = 30%

Numerical score = 3.0

Grade = B

- Emergency Management program needs further improvement to meet expectations of DOE Order 151.1C; and, an Operational Emergency Hazardous material Program Plan was not submitted as required.

8.2 Provide an Efficient and Effective System for Cyber-Security

Objective Weight = 40%

Numerical score = 3.3

Grade = B+

- All Cyber Security Events and Incidents were reported both correctly and managed in a timely manner.
- The Laboratory had no significant deficiencies or repeat findings.
- The Laboratory completed all (with one exception) Plan of Actions and Milestones (POA&Ms); SC-K-024 was not completed on-time. The milestone was to re-architect the internal network for the separation of non-centrally managed system and to improve the Intrusion Detection System's (IDS) capabilities.
- SLAC increased the employee and Management awareness in Cyber-Security through the development of a computer-based training course. Ninety-five percent (95%) of the SLAC employees received the mandatory cyber security training.

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

Objective Weight = 10%

Numerical score = 2.0 Grade = C

- SLAC transmitted the Final Draft Radioactive Sealed Source and Nuclear Materials Reduction Plan to SSO on June 22, 2009, ahead of schedule. SLAC reduced the sealed source inventory by shipping 28 sources (26 solid, 2 liquid) back to the manufacturer.
- SLAC has maintained the nuclear material inventory well below CAT 3 Nuclear Facility Thresholds as defined by DOE-STD-1027.
- SLAC had a security breach in July 2009 at SSRL which resulted in damage to experimental samples worth approximately \$500K.

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

Objective Weight = 20%

Numerical score = 3.3 Grade = B+

- Overall, SLAC has done an excellent job in protecting sensitive information; however, there were incidents of missing and lost computer-related equipment where irresponsibility was the cause.
- The Laboratory had no releases of PII information.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM)					
8.1 Provide an Efficient and Effective Emergency Management System	B	3.0	30%	.9	
8.2 Provide an Efficient and Effective System for Cyber-Security	B+	3.3	40%	1.32	
8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, and SLAC Property	C	2.0	10%	.2	
8.4 Provide an Efficient and Effective System for the Protection of Sensitive Information	B+	3.3	20%	.66	
Performance Goal 8.0 Total					3.1

Table 8.1 – 8.0 Goal Performance Rating Development

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

Table 8.2 – 8.0 Goal Final Letter Grade

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Laboratory Year-End Performance Assessment Report

Date:
10/14/2009

Headquarters Program Office Fiscal Year 2009 Evaluation of Stanford University
for Management and Operation of the SLAC National Accelerator Laboratory

Agency:
U. S. Department of Energy

Program Office:
Basic Energy Sciences (BES)

FY Funding Level: (Budget Authority)

Evaluator:

Phone Number:
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E-mail Address:

Goal 1.0 Provide for Efficient and Effective Mission Accomplishment

Goal Score: 3.66

Goal Grade: A-

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 1.0 Performance Summary Statement:

BES supported research conducted with the PULSE institute for ultrafast science continued to be productive and demonstrate important scientific progress, most notably in conjunction with the atomic, molecular, and optical science experiments that will be the first conducted on the Linac Coherent Light source (LCLS). The BES supported materials sciences research projects at SLAC deemed world leading are those in correlated electron systems, nanomagnetism, ultrafast science and materials discovery as evidenced by the latest program and mail reviews and results published in the scientific literature.

- The PULSE program continued to fulfill a very important DOE mission in performing

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outstanding science-driven ultrafast materials research, particularly in the areas of nanomagnetism and materials in extreme environments. SLAC scientists were successful in obtaining an award under the Single-Investigator and Small-Group Research (SISGR) solicitation in the area of ultrafast soft x-ray science which will further enhance the capabilities of the LCLS.

- SLAC received a total of three awards in the SISGR solicitation. SLAC's success in the highly competitive SISGR solicitation demonstrates scientific leadership and presents an opportunity to enhance grand-challenge and use-inspired basic energy research in the laboratory.
- Programs supported under the Stanford Institute for Energy and Materials Sciences (SIMES) were reviewed; the review found the laboratory to possess outstanding scientific excellence in the areas of nanomagnetism, high temperature superconductors, materials synthesis and strongly correlated electron systems. One program in electronic materials was found to lack cohesiveness and to not be sufficiently delineated from research funded by other sources. This program was subsequently terminated.
- The SLAC Accelerator Research Division was successful in receiving BES accelerator research funding to study the use of Echo-Enhanced Harmonic Generation for Free Electron Lasers (FELS). This technique has the potential to significantly improve the efficiency of harmonic generation in FELs which could lead to significant cost savings in future FELs.

Objective 1.1 Science and Technology Results Provide Meaningful Impact on the Field

Score: 3.7

Grade: A-

Weighting: 50

Objective 1,1 Performance Summary Statement:

No BES Chemical Sciences, Geosciences, and Biosciences (CSGB) Division-supported research programs were reviewed in FY 2009. CSGB Division research conducted with the PULSE institute for ultrafast science continued to be productive and demonstrate important scientific progress, most notably in conjunction with the atomic, molecular, and optical science experiments that will be the first conducted on the Linac Coherent Light Source (LCLS).

The BES Materials Sciences and Engineering (MSE) Division-funded research at the PULSE Institute for Ultrafast Energy Science was not reviewed in 2009. However, the PULSE program continued to fulfill a very important DOE mission in performing outstanding science-driven ultrafast materials research, particularly in the areas of nanomagnetism and materials in extreme environments. SLAC National Accelerator Laboratory (SLAC) scientists were successful in obtaining an award under the Single-Investigator and Small-Group Research (SISGR) solicitation in the area of ultrafast soft s-ray science which will further enhance the capabilities of the LCLS.

Programs supported under the Stanford Institute for Energy and Materials Sciences (SIMES) were reviewed in FY 2009. The review found the laboratory to possess outstanding scientific excellence in the areas of nanomagnetism, high temperature superconductors, materials synthesis and strongly correlated electron systems. However, one program in electronic materials was found to lack cohesiveness and to not be sufficiently delineated from research funded by other sources. This program was subsequently terminated. SIMES is gradually evolving from single principal investigator efforts, and the program was directed to restructure into smaller field work proposals with coherent scientific themes. SLAC responded in a timely and satisfactory manner to the restructuring activity.

The SLAC Accelerator Research Division was successful in receiving BES Scientific User Facility

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(SUF) Division accelerator research funding to study the use of Echo-Enhanced Harmonic Generation for Free Electron Lasers (FELS). This technique has the potential to significantly improve the efficiency of harmonic generation in FELs which could lead to significant cost savings in future FELs.

Objective 1.2 Provide Quality Leadership in Science and Technology

Score: 3.8

Grade: A

Weighting: 20

Objective 1.2 Performance Summary Statement:

The PULSE leadership is assembling a world class team of co-principal investigators and collaborators at PULSE. Notable in this regard was the successful recruitment of Todd Martinez in FY 2009 and PULSE's role in the coordination and planning of most of the atomic, molecular, and optical science experiments that will soon begin during the commissioning phase of the LCLS.

The research projects supported at SLAC by the MSE Division that are deemed world leading are those in correlated electron systems, nanomagnetism, ultrafast science and materials discovery as evidenced by the latest program and mail reviews and results published in the scientific literature. The laboratory successfully recruited Thomas Devereaux in the area of scattering theory which will ensure the leadership in the programs in the aforementioned fields and in other energy relevant areas.

SLAC received three of the ninety-five awards in the SISGR solicitation made by BES in FY 2009. SLAC's success in the highly competitive SISGR solicitation demonstrates scientific leadership and presents an opportunity to enhance grand-challenge and use-inspired basic energy research in the laboratory.

SLAC provided leadership in developing new accelerator concepts and instrumentation.

Objective 1.3 Provide and Sustain Outputs that Advance Program Objectives and Goals

Score: 3.6

Grade: A-

Weighting: 15

Objective 1.3 Performance Summary Statement:

The quantity and quality of CSGB Division supported research outputs in peer-reviewed journals was fully acceptable.

The research supported by the MSE Division at SLAC produced high quality publications in prestigious journals in the areas of photoemission studies of high temperature superconductors, x-ray scattering of magnetic materials, ultrafast science, and discovery of complex oxides and rare earth compounds with novel properties.

Objective 1.4 Provide for Effective Delivery of Products

Score: 3.4

Grade: B+

Weighting: 15

Objective 1.4 Performance Summary Statement:

CSGB Division-supported research programs were effective and efficient in meeting scientific objectives and milestones; the programs were responsive to requests from BES for information and

research highlights.

The activities supported by the MSE Division were effective in transmitting the results to the community and responding to requests from BES for information and research highlights. Significant improvements in the program have taken place since the previous review.

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

Goal Score: 3.77

Goal Grade: A

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 2.0 Performance Summary Statement:

Significant progress has been made in the LCLS and PULSE construction and the LUSI instrumentation projects. SLAC management has demonstrated effective leadership and responsiveness to project needs, ensuring adequate personnel and organization support, and appropriate attention to budgetary details. Stanford Synchrotron Radiation Laboratory (SSRL) continues to excel in its user support, and operates with high reliability.

- SLAC succeeded in advancing the PULSE project to complete the Phase B baseline and to defend it successfully to a critical SC-OPA review team in May 2009, whose report recommends CD-2B. Phase B represents the majority of the building renovation.
- SLAC continued great progress in the LCLS project, finishing the rest of conventional construction with minor exceptions. The office space design was finalized in FY 2009 and construction initiated. The project installed a large majority of the scientific equipment and commissioned this equipment up to the Near Experimental Hall with scientific results beyond expectations. The rash of safety incidents that plagued LCLS during FY 2008 and in the first quarter of FY 2009 were alleviated through significant improvements in the work planning and control.
- The SSRL operated at a reliability of 99 percent. There were 1090 unique on-site users. Progress was made in establishing the top-off mode of operations. SSRL is a key facility for Stanford University faculty. User support at SSRL was excellent and attracted a broad user community.

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

Score: 3.6

Grade: A-

Weighting: 15

Objective 2.1 Performance Summary Statement:

During FY 2009, SLAC succeeded in advancing the PULSE project to complete the Phase B baseline and to defend it successfully to a critical SC-OPA review team in May 2009, whose report recommends CD-2B. Phase B represents the majority of the building renovation.

Objective 2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication

of Components (execution phase, Post CD-2 to CD-4)

Score: 3.9

Grade: A

Weighting: 55

Objective 2.2 Performance Summary Statement:

In FY 2009, SLAC continued great progress in the LCLS project, finishing all of the rest of conventional construction with minor exceptions. The office space design was finalized in FY 2009 and construction initiated. The project installed a large majority of the scientific equipment and commissioned this equipment up to the Near Experimental Hall with scientific results beyond expectations. The rash of safety incidents that plagued LCLS during FY 2008 and in the first quarter of FY 2009 were alleviated through significant improvements in the work planning and control.

Also during FY 2009, SLAC projects successfully completed several reviews from SC/OPA. SLAC succeeded in advancing Phase A of the PULSE building renovation project through CD-3B milestone and successfully achieved CD-3 for the LUSI project. In so doing, SLAC showed responsiveness to project needs, e.g., continuing to mature interfaces between the project and the SLAC supporting organizations. However, smaller projects at SLAC still need improvement to promote safety awareness and oversight. SLAC continued to struggle with expediting procurements in support of projects.

In FY 2009, SLAC commenced successful operations on the LCLS Injector and the Undulator complex.

Objective 2.3 Provide Efficient and Effective Operation of Facilities

Score: 3.6

Grade: A-

Weighting: 20

Objective 2.3 Performance Summary Statement:

The SLAC Stanford Synchrotron Radiation Light Source (SSRL) operated at a reliability of 99 percent. There were 1090 unique on-site users. Progress was made in establishing the top-off mode of operations.

Objective 2.4 Utilization of Facilities to Grow and Support Lab's Research Base and External User Community

Score: 3.6

Grade: A-

Weighting: 10

Objective 2.4 Performance Summary Statement:

SSRL is a key facility for Stanford University faculty. User support at SSRL was excellent and attracted a broad user community.

Goal 3.0 Provide Effective and Efficient Science and Technology Program Management

Goal Score: 3.48

Goal Grade: A-

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 3.0 Performance Summary Statement:

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SLAC management provided effective program vision and leadership; and it was successful in recruiting and retaining high quality scientific staff. The SLAC Photon Sciences Division, within which the BES research programs are housed, is a concept that is still under development. The formation of SIMES and PULSE will help to ensure SLAC's leadership in scattering and ultrafast sciences.

- The SLAC management has made considerable progress in organizing the operational structure of the LCLS. A new Director for LCLS was selected, an internationally respected synchrotron radiation researcher.
- The Director of the SLAC PULSE institute has been an effective leader of the CSGB Division-supported programs within PULSE and was especially active in recruiting both junior and senior scientific staff into PULSE and in fostering collaborations with the broader x-ray and ultrafast science communities. The Director of SIMES has been particularly effective in the redirection and enhancement of the teaming within SIMES in response to the recent review.
- The laboratory vision for the SIMES and PULSE institutes are evolving and are well aligned with BES. The MSE Division-funded research projects in SIMES have been reorganized in response to BES comments and guidance provided following the recent on-site review. The reviewers commented favorably on the development and utilization of new tools and techniques, the active participation of students and post-doctoral fellows in the program, and the selection of appropriate mission-relevant topics.

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

Score: 3.6

Grade: A-

Weighting: 40

Objective 3.1 Performance Summary Statement:

The SLAC management has made considerable progress in organizing the operational structure of the LCLS. A new Director for LCLS was selected, an internationally respected synchrotron radiation researcher. The SLAC management has shown strong leadership role and great vision in planning future scientific directions of research at the laboratory.

The Director of the SLAC PULSE institute has been an effective leader of the CSGB Division-supported programs within PULSE and was especially active in recruiting both junior and senior scientific staff into PULSE and in fostering collaborations with the broader x-ray and ultrafast science communities.

The laboratory vision for the SIMES and PULSE institutes are evolving and are well aligned with BES. The MSE Division-funded research projects in SIMES have been reorganized in response to BES comments and guidance provided following the recent on-site review. The reviewers commented favorably on the development and utilization of new tools and techniques, the active participation of students and post-doctoral fellows in the program, and the selection of appropriate mission-relevant topics.

SLAC has been proactive in providing renovated facilities and enhanced capabilities for both the SIMES and PULSE Institutes. Of particular note is the progress in the construction activities for Building 40 and the implementation of a SLAC LDRD program to address the need for stewardship for future scientific directions.

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

Score: 3.4

Grade: B+

Weighting: 30

Objective 3.2 Performance Summary Statement:

The Director of the SLAC PULSE Institute has been an effective and active spokesperson for the CSGB Division-supported programs within PULSE, notably at the annual BES Atomic, Molecular, and Optical Sciences contractors' meeting.

The Director of SIMES has been particularly effective in the redirection and enhancement of the teaming within SIMES in response to the recent review. His leadership has resulted in an improvement in the BES funded projects since the last review. A concern was expressed by BES following the last review centered on cohesiveness of the program and delineation of the SIMES BES program from the principal investigator's activities supported by other agencies.

The involvement of SLAC senior leadership in the evolution of the program management and support structures for the BES research programs has been effective.

Objective 3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

Score: 3.4

Grade: B+

Weighting: 30

Objective 3.3 Performance Summary Statement:

Communications between the CSGB Division and SLAC management associated with the PULSE institute for ultrafast science were generally thorough and timely in FY 2009.

Communication between the MSE Division and SLAC management was proactive and timely. The review documentation and on-site presentations were timely and responsive to BES guidance.

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Laboratory Year-End Performance Assessment Report

Date:
10/20/2009

Headquarters Program Office Fiscal Year 2009 Evaluation of Stanford University
for Management and Operation of the SLAC National Accelerator Laboratory

Agency:
U. S. Department of Energy

Program Office:
High Energy Physics (HEP)

FY Funding Level: (Budget Authority)

Evaluator:

Phone Number:
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E-mail Address:

Goal 1.0 Provide for Efficient and Effective Mission Accomplishment

Goal Score: 3.52

Goal Grade: A-

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 1.0 Performance Summary Statement:

The research programs in non-accelerator physics, theory and detector R&D have performed strongly and are recognized as such in peer reviews. They are also strong in accelerator development and are continuing to exploit the last of the B-factory data.

Objective 1.1 Science and Technology Results Provide Meaningful Impact on the Field

Score: 3.6

Grade: A-

Weighting: 30

Objective 1,1 Performance Summary Statement:

The lab has had a strong impact in several areas of particle astrophysics research, including gamma ray astrophysics (data operations and physics analysis for the Fermi Gamma-ray Space Telescope [FGST]), dark energy (technical R&D and scientific planning for LSST) and strong support for the EXO-200 neutrino-less double beta decay experiment. The lab's overall impact on proton accelerator-based research is smaller but commensurate with the size of their effort.

Reviewers on the panel of the July 2009 Laboratory Detector R&D review felt SLAC has done and continues to do excellent detector development work on important High Energy Physics projects in which the laboratory is involved. The laboratory has outstanding electronics and detector development capability. SLAC has major responsibility for ILC development in the areas of radio-frequency supply, beam delivery systems, electron sources, and component availability. The program has also received strong peer reviews in these areas.

The SLAC Theory groups (HEP, Particle Astrophysics and Cosmology at Kavli) conduct research in all thrusts of the Theory Research Program, except lattice gauge theory. The group reviewed exceptionally well in the lab-wide theory program review last year and was considered by the review panel intellectually the strongest among all lab theory groups.

Objective 1.2 Provide Quality Leadership in Science and Technology

Score: 3.6

Grade: A-

Weighting: 30

Objective 1.2 Performance Summary Statement:

SLAC has leadership positions in most of the BaBar analysis projects, and SLAC's planning for the proposed Italian-led Super-B accelerator and detector projects are critical for their success. SLAC personnel are leading the technical design of the Super-B accelerator project, a recognition of the expertise and experience they acquired in making the SLAC B-factory project a success.

SLAC is leading the field in LSST R&D and doing good work on the broader science studies for dark energy. The SLAC group is leading the effort in FGST data operations and in some of the science being produced, and is moving towards taking leading roles in EXO and in proposed future dark matter experiments. The SLAC theory group has significant interaction with the experimentalists at SLAC and in the broader community and contributes significantly to the overall HEP program at the lab.

SLAC provides world leadership and unmatched expertise in RF supply and beam delivery systems for the ILC. Staff are regularly consulted by other projects in these areas. The laboratory staff has taken limited leadership roles in important areas including installation, and operation of detector components of the ATLAS experiment at the LHC. Although they made a relatively late entry into ATLAS, they have defined a coherent program of work that matches the needs of the ATLAS experiment and the laboratory interests.

Objective 1.3 Provide and Sustain Outputs that Advance Program Objectives and Goals

Score: 3.5

Grade: A-

Weighting: 20

Objective 1.3 Performance Summary Statement:

The publication rate of the BaBar analysis team at SLAC has been among the best of all the collaboration teams. The BaBar collaboration is producing over 40 publications a year even after the facility finished operations in April, 2008. The SLAC sensor, electronics, and data acquisition research and development work has been outstanding for many years, as recognized in the recent lab detector R&D review.

The development of RF components and beam delivery systems for ILC has been progressing steadily.

Objective 1.4 Provide for Effective Delivery of Products

Score: 3.3

Grade: B+

Weighting: 20

Objective 1.4 Performance Summary Statement:

SLAC is meeting expectations for delivery of products. Their ILC R&D is done in cooperation with other laboratories, and the delivery of components to other laboratories has been timely and sufficient. Most project goals and milestones have been met, however electron source and sheet beam klystron work have encountered difficulties. These are being prudently handled and will not impact the overall ILC work.

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

Goal Score: 3.40

Goal Grade: B+

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 2.0 Performance Summary Statement:

The FACET project made good progress in FY 2009.

The continuing support of B-factory data analysis and the planning for the disassembly and disposal of the PEP-II has been satisfactory.

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

Score: 3.4

Grade: B+

Weighting: 40

Objective 2.1 Performance Summary Statement:

SLAC has one project, FACET, that has passed CD-0 and not yet reached CD-2. FACET is completely funded by the Recovery Act. This has created additional reporting requirements for the project. FACET has completed their conceptual design and it has been reviewed by SC. The work has met expectations.

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

Score: NA

Grade: NA

Weighting: 0

Objective 2.2 Performance Summary Statement:

Objective 2.3 Provide Efficient and Effective Operation of Facilities

Score: 3.4

Grade: B+

Weighting: 60

Objective 2.3 Performance Summary Statement:

SLAC continues to support access to the data from the B-factory and is in the process of the disassembling the Babar detector. SLAC is also planning of the disassembly and disposal of the PEP-II accelerator, and this work was reviewed by SC in FY 2009. The lab is meeting expectations in all of these areas.

Objective 2.4 Utilization of Facilities to Grow and Support Lab's Research Base and External User Community

Score: NA

Grade: NA

Weighting: 0

Objective 2.4 Performance Summary Statement:

Goal 3.0 Provide Effective and Efficient Science and Technology Program Management

Goal Score: 3.08

Goal Grade: B+

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 3.0 Performance Summary Statement:

The lab has struggled to define a scientific vision for the future of SLAC HEP effort that is well-aligned with the priorities and resources of the national program.

The proposed transition from B-Factory operations and analysis to participation in LHC appears not to have been carefully thought-out.

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

Score: 3.0

Grade: B

Weighting: 40

Objective 3.1 Performance Summary Statement:

The lab has struggled to define a scientific vision for the future of SLAC HEP effort that is well-aligned with the priorities and resources of the national program. In part this has been due to shifts in national program priorities for efforts where SLAC has a major role (eg, ILC), but the lab has also been slow to embrace the HEPAP/P5 strategic vision at the Intensity Frontier, where they could in principle be taking important leadership roles. The lab's vision of SLAC as the US center for particle astrophysics is ambitious, but here the lab is currently leading several important efforts and is well-positioned to maintain or adopt leadership roles in selected future projects.

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

Score: 3.0

Grade: B

Weighting: 40

Objective 3.2 Performance Summary Statement:

SLAC's proposed program at the Energy Frontier (LHC/ATLAS) was viewed by the recent proton research review as high-quality but overly ambitious. The proposed transition from B-Factory operations and analysis to participation in LHC appears not to have been carefully thought-out.

The SLAC management team has been restructured a few times in recent years as the lab continues to work to align their management, budgeting and reporting structures with the priorities and programs of the Office of Science. While the effort is commendable, the lab has yet to converge on a management and budget model that works for all areas of research (eg, scientific computing).

Objective 3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

Score: 3.4

Grade: B+

Weighting: 20

Objective 3.3 Performance Summary Statement:

SLAC generally meets expectations in this area. The lab identifies issues, brings them to the attention of OHEP as appropriate, and responds promptly to requests for information. The lab is actively engaged in public relations and outreach for FGST in collaboration with NASA.

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Laboratory Year-End Performance Assessment Report

Date:
10/13/2009

Headquarters Program Office Fiscal Year 2009 Evaluation of Stanford University
for Management and Operation of the SLAC National Accelerator Laboratory

Agency:
U. S. Department of Energy

Program Office:
Biological and Environmental Research (BER)

FY Funding Level: (Budget Authority)

Evaluator:

Phone Number:

E-mail Address:

Goal 1.0 Provide for Efficient and Effective Mission Accomplishment

Goal Score: 3.50

Goal Grade: A-

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 1.0 Performance Summary Statement:

Objective 1.1 Science and Technology Results Provide Meaningful Impact on the Field

Score: 3.5

Grade: A-

Weighting: 30

Objective 1,1 Performance Summary Statement:

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SSRL's structural molecular biology (SMB) program continues to have a high impact on the field. Twenty one papers were identified as from the SMB program in FY 2009 just in *Nature*, *Science*, *Cell* and *PNAS*, the most influential journals for the life sciences.

The Environmental Remediation Science Program (ERSP) Science Focus Area (SFA) at the laboratory is producing research that has a high impact on its field.

Objective 1.2 Provide Quality Leadership in Science and Technology

Score: 3.5

Grade: A-

Weighting: 20

Objective 1.2 Performance Summary Statement:

The SMB program attracts an outstanding group of collaborators, many of whom are leaders in addressing the major questions in structural biology and the life sciences as a whole. This is a result of the leadership and staff in the program continuously looking for ways to innovate in the instrumentation and infrastructure offered to the scientific community by the program.

The ERSP SFA is a highly collaborative effort with scientists at several other institutions involved in a research program that could only reach its objectives with the combined expertise of these participants. The risky decision to make this a strongly collaborative program is paying off in important scientific results.

Objective 1.3 Provide and Sustain Outputs that Advance Program Objectives and Goals

Score: 3.5

Grade: A-

Weighting: 20

Objective 1.3 Performance Summary Statement:

The SMB program has produced a large number of macromolecular structures that were deposited in the Protein Data Bank in FY 2009. These structures are also featured in many publications in highly-ranked peer reviewed scientific journals.

The ERSP SFA is highly productive, with several papers published in leading journals in FY 2009, especially considering the size of the budget (smallest in the ERSP).

Objective 1.4 Provide for Effective Delivery of Products

Score: 3.5

Grade: A-

Weighting: 30

Objective 1.4 Performance Summary Statement:

The SMB program consistently meets the goals and milestones set in its proposals, and is highly effective in making its unique instrumentation available for a high percentage of the possible beam time. Results of experiments are rapidly communicated. The SMB organization is highly responsive to the DOE and to the research community it serves.

The ERSP SFA program consistently achieves project goals and milestones, and makes highly efficient use of the resources provided.

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

Goal Score: 3.50

Goal Grade: A-

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Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 2.0 Performance Summary Statement:

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

Score: NA Grade: NA Weighting: 0

Objective 2.1 Performance Summary Statement:

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

Score: NA Grade: NA Weighting: 0

Objective 2.2 Performance Summary Statement:

Objective 2.3 Provide Efficient and Effective Operation of Facilities

Score: 3.5 Grade: A- Weighting: 90

Objective 2.3 Performance Summary Statement:

The program is unique for U.S. light sources in offering access to all technologies (diffraction, scattering, spectroscopy, imaging) through a single, integrated program. The staff of the program also develop important new capabilities and frequently are authors of influential research papers.

Objective 2.4 Utilization of Facilities to Grow and Support Lab's Research Base and External User Community

Score: 3.5 Grade: A- Weighting: 10

Objective 2.4 Performance Summary Statement:

The structural molecular biology program provides access to SSRL for a large and diverse community of users. The external user community in the life sciences continues to grow, thanks to the effective management of the capabilities offered to it. The high proportion of remote users (now at or over 75%) for macromolecular crystallography is an indication of the success of the SMB staff in developing the user community.

Goal 3.0 Provide Effective and Efficient Science and Technology Program Management

Goal Score: 3.50

Goal Grade: A-

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 3.0 Performance Summary Statement:

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

Score: 3.5

Grade: A-

Weighting: 20

Objective 3.1 Performance Summary Statement:

The SMB program at SSRL is noteworthy for the quality of the scientists contributing to it. The laboratory is highly successful in retaining these scientists, whose expertise is essential for the continuing development of the broad range of capabilities the program offers to researchers in the life sciences.

The ERSP SFA provides leadership research programs for a significant segment of the national environmental research community. The staff have developed significant experimental research capabilities and make effective use of these capabilities in addressing DOE/SC missions in environmental science.

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

Score: 3.5

Grade: A-

Weighting: 30

Objective 3.2 Performance Summary Statement:

The Laboratory is highly effective in managing the SMB program, regularly developing initiatives in technology or methods that anticipate needs of the community it serves. The program is noteworthy for leveraging the wide range of capabilities at the Laboratory to develop new approaches. Resources are obtained from a variety of institutions outside the Federal government: in FY 2009 one of the newly-developed Pixel Array Detectors for macromolecular crystallography was installed using funds from a private foundation.

The ERSP SFA is managed effectively. Research planning is excellent, resulting in resources being focused on the most important scientific questions. External input is regularly obtained in planning the research program.

Objective 3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

Score: 3.5

Grade: A-

Weighting: 50

Objective 3.3 Performance Summary Statement:

The leadership of the SMB program is outstanding in communicating with the staff at BER about developments in and/or relating to the program. It is always clear who is in charge of each aspect of the program. This communication includes negative as well as positive developments. In FY 2009, for example, an external user group had a substantial number of crystals destroyed. The director of the SMB program informed the program manager at BER about the problem within hours of its discovery, well before the incident was reported in the media.

The ERSP SFA staff and senior laboratory management are all highly effective in communicating new developments in the program to HQ staff, as well as in responding to requests from HQ.

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ATTACHMENT II



Laboratory Year-End Performance Assessment Report

Date:
10/13/2009

Headquarters Program Office Fiscal Year 2009 Evaluation of Stanford University
for Management and Operation of the SLAC National Accelerator Laboratory

Agency:
U. S. Department of Energy

Program Office:
Office of Workforce Development for Teachers & Scientists (WDTS)

FY Funding Level: (Budget Authority)

Evaluator:

Phone Number:

E-mail Address:

Goal 1.0 Provide for Efficient and Effective Mission Accomplishment

Goal Score: 3.43

Goal Grade: B+

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 1.0 Performance Summary Statement:

- SLAC has a long standing, well established mentor culture within the laboratory. The education office has the knowledge base of the national issues that impact STEM and helps guide WDTS in positioning its programs to be a model for addressing those needs.
- The success of the undergraduate internship program funded by WDTS is based in the careful attention given to matching mentors and students. The education office selects a diverse cohort of students that are successful in collaborating together on deliverable (abstracts, full papers, and etc.). The research interns are considered valuable resource within the laboratory as they are viewed as a critical asset able to support the current research but vital to the long term mission of DOE and the laboratory in particular.

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- Students are placed in challenging research environments are carefully guided to a productive outcome. Student products and outputs are always of excellent quality.

Objective 1.1 Science and Technology Results Provide Meaningful Impact on the Field

Score: 3.7

Grade: A-

Weighting: 25

Objective 1.1 Performance Summary Statement:

The education office has dedicated itself to program and process improvement both of which are most evident by the overall quality of the internship and fellowship research products. They seek opportunities throughout the lab and with headquarters where they can work in tandem to create multiple science education benefits and raise the visibility and need for science education.

Objective 1.2 Provide Quality Leadership in Science and Technology

Score: 3.4

Grade: B+

Weighting: 30

Objective 1.2 Performance Summary Statement:

Student products and outputs are always of excellent quality as validated by peer review, participant surveys, and a longitudinal self-evaluation.

Objective 1.3 Provide and Sustain Outputs that Advance Program Objectives and Goals

Score: 3.3

Grade: B+

Weighting: 30

Objective 1.3 Performance Summary Statement:

Undergraduate interns and educators at SLAC are fully integrated into the lab operation and gain significant research capability but are placed on equal footing with other laboratory researchers and benefit from that immersion experience.

Objective 1.4 Provide for Effective Delivery of Products

Score: 3.3

Grade: B+

Weighting: 15

Objective 1.4 Performance Summary Statement:

SLAC does an excellent job in matching interns/educators with research experiences where their talent is at a level of competency where they can substantial contribute to the research. The education office is very effective in providing resources required to ensure that the intern and the PI equally benefit from the collaboration. Mentors are very willing to host intern/educators as a result of the reputation and dependability of the education office.

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

Goal Score: 0.00

Goal Grade: NA

Please complete the Objective fields then click the Calculate button to get the final Score and

Grade.

Goal 2.0 Performance Summary Statement:

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

Score: NA

Grade: NA

Weighting: 0

Objective 2.1 Performance Summary Statement:

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

Score: NA

Grade: NA

Weighting: 0

Objective 2.2 Performance Summary Statement:

Objective 2.3 Provide Efficient and Effective Operation of Facilities

Score: NA

Grade: NA

Weighting: 0

Objective 2.3 Performance Summary Statement:

Objective 2.4 Utilization of Facilities to Grow and Support Lab's Research Base and External User Community

Score: NA

Grade: NA

Weighting: 0

Objective 2.4 Performance Summary Statement:

Goal 3.0 Provide Effective and Efficient Science and Technology Program Management

Goal Score: 3.04

Goal Grade: B

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 3.0 Performance Summary Statement:

- The education office has focused time and talent on operating as a well integrated team and the results demonstrate a significant increase in productivity where student outputs are of superior quality and the research experience and the influence of the mentor is a powerful event compelling the student to pursue a DOE laboratory career.
- SLAC uses a "selection committee" to review applications and assign placements to mentors and divisions. This process ensures that not only the best students are selected but to include students/educators for whom the opportunity will make a difference.
- SLAC, similar to a number of the other laboratories, places an emphasis on recruiting under-represented students into the program and this year successfully increased their percentage of diversity over previous years.

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

Score: 3.2

Grade: B+

Weighting: 20

Objective 3.1 Performance Summary Statement:

Undergraduate interns at SLAC are fully integrated into the lab operation and gain significant research capability but are placed on equal footing with other lab researchers and benefit from that immersion experience.

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

Score: 3.0

Grade: B

Weighting: 40

Objective 3.2 Performance Summary Statement:

SLAC is outstanding in their development and assessment of policies, procedures, and outcomes both for the intern/educator as well as the mentor and the research division.

The education staff ensures that interns/educators gain a full appreciation for the depth and breadth of the research managed within the laboratory as well as the research and results performed at their facilities.

Objective 3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

Score: 3.0

Grade: B

Weighting: 40

Objective 3.3 Performance Summary Statement:

Commitment to communication and an appreciation for science education enhanced by mentor research is a basic principle for operation within the laboratory. It is a quality that is impressed upon every participant and guides all interactions between mentor and mentee, as well the effective program relationship between WDTs and the education staff.