

Office of Assurance  
SLAC-I-770-0A17Z-001-R000

# Performance Evaluation and Measurement Plan (PEMP) Development Manual

11 July 2007 (updated 11 July 2007)

*Stanford  
Linear  
Accelerator  
Center*



# Publication Data

This document was designed and published by ES&H Division Publishing

Document Title: Performance Evaluation and Measurement Plan (PEMP) Development Manual

Original Publication Date: 11 July 2007

Revised Publication Date: 11 July 2007 (updated 11 July 2007)

Original Source: Office of Assurance

Document Number: SLAC-I-770-0A17Z-001-R000

Prepared for the United States Department of Energy under contract DE-AC02-76-SFO0515

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# Acronyms and Definitions

DOE	United States Department of Energy
M&O	management and operations
OA	SLAC Office of Assurance
PAM	performance assessment model
PEMP	performance evaluation and measurement plan
QASP	quality assurance/surveillance plan
SC	DOE Office of Science
SLAC	Stanford Linear Accelerator Center
SSO	DOE Stanford Site Office
S&T	science and technology

*Document.* Issued material that regulates an action or directs an activity in order to facilitate a consistent and predictable outcome or that describes, specifies, reports, records, certifies, provides results, or otherwise furnishes information or evidence of data. This material may be recorded on paper or machine-readable or other physical media.

*Functional team leader.* SSO and SLAC will each designate a functional team leader for each M&O goal and at the objective level for goals 6 (Business Systems) and 8 (Emergency Management; Cyber-Security; Special Nuclear Materials, Classified Matter, and Property; and Protection of Sensitive Information)

*Functional team member.* For each of the M&O goals, a functional team will consist of, at a minimum, a team leader from SSO and a SLAC representative. Representatives from OA, Stanford University, and others may participate in teams as needed.



# 1 Introduction

## 1.1 Purpose

The Stanford Linear Accelerator Center (SLAC) Office of Assurance (OA) assures the laboratory director and the DOE Stanford Site Office (SSO) that SLAC programs are safe, secure, adhere to ethical and compliant business practices, and meet customer requirements, reasonable standards of formality, and the requirements and standards specified in the contract between the trustees of the Leland Stanford Junior University (Stanford University) and the US Department of Energy (DOE) for operation of SLAC.

As a part of that responsibility, the OA is the primary point-of-contact with SSO on all matters of assurance. This guidance document is provided for use by PEMP functional team leaders and team members from SSO and SLAC in the development of the management and operations (M&O) measures and targets required under Prime Contract Number DE-AC02-76-SFO0515.<sup>1</sup>

## 1.2 Scope

The PEMP, which primarily serves as DOE's quality assurance/surveillance plan (QASP), is required by the Prime Contract Clause H.14, "Standards of Contractor Performance", and is included in Appendix B. Pursuant to the contract, DOE HQ Program Office, SSO, SLAC, and Stanford University will review the PEMP annually and agree to necessary modifications. Nothing in this guidance document is intended to limit the DOE contracting officer's authority under Clause H.14 to unilaterally establish the evaluation process. SSO, SLAC, and Stanford University will actively engage in annual and ongoing discussions (as necessary) to confirm and mutually agree that the PEMP appropriately reflects the most current expectations against which performance is to be evaluated by the SSO contracting officer. The discussions addressed in this guidance document pertain to management and operations (M&O) measures and/or targets (optional) of the PEMP framework developed in support of the goals and objectives defined by DOE Office of Science (DOE-SC).

## 1.3 Performance Levels

### 1.3.1 Level 1 – Performance Goal

A general overarching statement of the desired outcome for each of eight major performance areas prescribed by the DOE SC, as follows:

#### 1.3.1.1 Science and Technology (S&T) Goals

1. Mission Accomplishment
2. Construction and Operations of Research Facilities

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<sup>1</sup> SLAC/DOE Contract DE-AC02-76-SFO0515, <http://www-group.slac.stanford.edu/bsd/contract/>

### 3. S&T Program Management

#### 1.3.1.2 Management and Operations (M&O) Goals

1. Lab Leadership and Stewardship
2. ES&H
3. Business Systems and Other
4. Facilities and Infrastructure
5. Safeguards and Security/Emergency Management System

#### 1.3.2 Level 2 – Performance Objective

A statement of desired results for an organization or activity (for example, Lab Leadership – Provide Distinctive Vision)

#### 1.3.3 Level 3 – Performance Measure

A quantitative or qualitative method for characterizing performance, reflecting achievement of the corresponding objective

#### 1.3.4 Level 4 – Performance Target (optional)

The desired condition, milestone, or target level of achievement for each measure (objective or subjective as appropriate). Targets should be written at an appropriately detailed level to serve as a basis for performance assessment. The target for each measure is established at the “B+” gradient.

#### 1.3.5 Methodology

DOE-SC has implemented a standard methodology and process for evaluating DOE-SC laboratory contractors’ performance. Consequently, DOE-SC has prescribed the eight Level 1 goals set forth above and the corresponding Level 2 objectives contained in the PEMP. Goals 1 through 3 will not have measures and targets and/or will be evaluated by DOE headquarters (DOE-HQ) at the objective level. Measures and targets for goals 4 through 8 will be agreed to by SSO and SLAC consistent with this guidance.

The set of performance measures identified for each objective represents the set of significant indicators that if fully met collectively places performance for the objective in the B+ grade range. Measures should identify significant activities, requirements, and/or milestones important to the success of the corresponding objective and will be used as the primary means for determining SLAC’s success in meeting the objective during the performance evaluation period. The targets (optional) for each measure within the M&O goals should be developed so as to indicate the expected level of performance and if fully met would result in a B+ evaluation grade.

## 1.4 Calendar of Activities

The yearly schedule for developing the PEMP is presented in Table 1.

**Table 1** Calendar of Activities

Date	Action
June 1	Meeting of all PEMP functional team leaders and other representatives to commence FY negotiation process
June 15- August 1	PEMP functional teams negotiate FY PEMP measures and/or targets (optional), and associated performance assessment models (as needed)
August 7-14	SSO and OA review FY PEMP measures and/or targets (optional), and associated performance assessment models
August 15	SSO submits draft FY PEMP to DOE-SC
September 7-14	DOE-SC provides feedback and makes recommendations to SSO prior to the approval of FY PEMP
September 28-30	FY07 Appendix B PEMP officially part of contract



## 2 Roles and Responsibilities

### 2.1 Director, Office of Assurance

The director, OA will

- Ensure that a well coordinated and integrated PEMP is developed and maintained, including annual and periodic modifications as needed
- Champion measures and/or targets (optional) that add value, provide for continuous improvement, and address the most critical performance expectations of DOE
- Provide guidance for developing M&O measures and/or targets (optional) to each of the respective organizations and take appropriate actions to enhance the process as required
- Ensure the calendar of activities is maintained so that the milestones will be met for DOE SC submission
- Resolve functional team negotiation issues that cannot be settled within the team or appropriate escalation to higher levels of management
- Review draft and final annual PEMP (including performance assessment models) prior to submittal to DOE-HQ

### 2.2 Functional Teams

For each of the M&O goals, a functional team will develop measures and/or targets (optional) for SSO and SLAC approval. Each functional team includes, at a minimum, a team leader from SSO and a SLAC representative. Representatives from OA, Stanford University, and others may participate in teams as needed.

For PEMP Goal 6 (Business Systems) and Goal 8 (Emergency Management; Cyber-Security; Special Nuclear Materials, Classified Matter, and Property; and Protection of Sensitive Information), functional teams are formed at the objective level in the following functions:

- Financial Management, Internal Audit, and Information Management
- Procurement
- Property
- Human Resources
- Emergency Management
- Cyber-Security
- Special Nuclear Materials, Classified Matter, and Property
- Protection of Sensitive Information

The functional teams will

- Discuss and reach initial agreement on Measures and/or Targets (optional)
- Provide measures and targets to SSO for consolidation into a draft PEMP for SSO site manager and SLAC director review, feedback, and approval in preparation for submission to DOE SC Headquarters review
- Address comments from SSO site manager and SLAC director as appropriate to finalize measures and targets
- Recognize changing circumstances, including important issues and DOE initiatives specific to their function, that may require annual or periodic modification to measures and/or targets (optional)
- Develop and maintain a protocol document (that is, performance assessment model or other) for their function
- Propose modifications to the PEMP through the change control process described below
- Conduct semi-annual PEMP review activities, including holding quarterly functional team meetings, preparing summary briefs to be submitted to SSO and OA, and reporting progress to SSO, SLAC, and Stanford University as appropriate

## 2.3 Functional Team Leaders

SSO and SLAC will each designate a functional team leader for each M&O goal and at the objective level for goals 6 (Business Systems) and 8 (Emergency Management; Cyber-Security; Special Nuclear Materials, Classified Matter, and Property; and Protection of Sensitive Information). The functional team leader will

- Manage the functional team negotiation process for their respective organization, including designating and coordinating subject matter experts or others within their respective organizations needed to support or participate in the negotiation process
- Facilitate communication among the functional team, SSO, and OA, including elevating issues for resolution (as appropriate)

The SSO functional team leader will

- Schedule and lead the functional team quarterly meetings (at a minimum)
- Modify the documentation of measures and/or targets (optional) as a result of negotiations and provide the updated documentation to all functional team members in time for future negotiations
- Submit the final measures and/or targets (optional) and associated protocol documents to SSO and OA

The matrix that identifies the M&O functional team leaders is available from the Office of Assurance web site.<sup>2</sup>

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2 “Office of Assurance at SLAC”, <https://www-internal.slac.stanford.edu/OA/>

# 3 Protocol Document

Each PEMP functional team should develop a protocol document that provides specifics not detailed in the measures and/or targets (optional) as necessary. Depending on how the measures and/or targets (optional) are expressed, the protocol documents could serve multiple purposes. At a minimum, all protocol documents should include the following information:

- Scoring gradients; that is, how the parties will determine a score based on the work accomplished. If narrative descriptions for gradients are developed, it is sufficient to describe gradients for ranges of letter grades such as at the A- to A+, B- to B+, C- to C+, D- to D+, and F levels.
- Weighting of each measure (the PEMP will not include any measure weighting; weighting is advisory and not conclusive as to how a measure may be included in the appraisal of laboratory performance by the DOE contracting officer)
- As appropriate, descriptions of the underlying basis for assessing performance:
  - How the achievement of specific measures and/or targets (optional) will be assessed (for example, time-periods, calculations algorithms)
  - How related evaluation processes will be used (for example, self-assessment methodology, operational awareness activities)
  - DOE validation requirements

Protocol documents do not need SSO and OA review but must be mutually agreed upon by the SSO and SLAC functional team leaders and completed no later than October 1 (that is, at the very start of the fiscal year covered by the PEMP). A concurrence signature page must be executed and included as part of the protocol document submitted to SSO and OA.

## 3.1 Performance Assessment Model

A performance assessment model (PAM) serves as the protocol document when measures and/or targets (optional) lack specific performance requirements. A performance assessment model is, in practice, a collection of sub-measures that roll up to the PEMP measures. For example, a PAM should be employed when measures and/or targets (optional)

- Are compilations of required tasks or initiatives to be completed that are not explicitly listed in the PEMP (for example, construction/project management activities that correspond to the Facilities and Infrastructure Goal section);
- Are combinations of several distinct but complementary functions not explicitly listed in the PEMP (for example, financial management activities related to the Business Systems Goal section); or
- Reference *balanced scorecard* requirements from DOE Headquarters (for example, Procurement and Property sub-measures required in the Business Systems section)

In developing a Performance Assessment Model, a Functional Team should consider the following:

- Measured activities reflect sound overall management of the Functional activity;

- SSO coordination with DOE-SC Headquarters and Service Center functional contacts is conducted to ensure appropriate consistency relative to expectations and priorities
- The document must be consistent with the PEMP guidance. That is, it cannot fundamentally alter the contractual language regarding Measures and/or Targets (optional)

A performance assessment model requires greater formality than other protocol documents. Each performance assessment model must be reviewed by the SSO and OA. This process should occur simultaneous with draft and final measures and/or targets (optional) review for approval.

## 4 Change Control

Measures and/or targets (optional) at the B+ (Meets Expectations) level are included in the PEMP, which is formally incorporated into Contract DE-AC02-76-SFO0515 as Appendix B. Any changes to the language for measures and/or targets (optional) included in the PEMP will require formal modification to the contract. PEMP functional team leaders or others may propose such changes to SSO or the Office of Assurance for review, approval, and submission for formal contract modification.

Care should be taken to ensure that measures and/or targets (optional) are not inadvertently changed through informal discussions without implementing a formal contract change. Such a misunderstanding could have an adverse impact on the final performance rating. When in doubt, consult your respective contracting officials for advice.

Changes to the performance assessment models require review by the SSO and OA. For changes to other protocol documents, the SSO and OA will concur on any changes. All revised protocol documents require that a new concurrence signature page be executed and transmitted to SSO and OA for posting.<sup>3</sup>

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3 “Office of Assurance at SLAC”, <https://www-internal.slac.stanford.edu/OA/>



## 5 Team leader

The matrix that identifies the M&O functional team leaders is available from the Office of Assurance web site.<sup>4</sup>

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4 “Office of Assurance at SLAC”, <https://www-internal.slac.stanford.edu/OA/>