



STANFORD LINEAR ACCELERATOR CENTER

2007 Mid-year Briefing on M&O Performance Goals

Presented to:

Aundra Richards, Acting Site Manager and SSO Staff
Research Office Building, Redwood Room A/B

9:00 AM to 11:00 AM

April 10, 2007



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Agenda

- Introduction
- Overview and Planned Format
 - Functional Leaders for each M&O Performance Goal/Objective
 - Open, formal, and informative presentations
 - Goal: Mutual understanding of the successes, issues, and challenges we are facing as we support the science at SLAC. Where we stand today and where we expect to be at the end of the year
- M&O Performance Self-Evaluation Summary
- Presentation and Discussion of each Performance Goal/Objective
- Adjourn



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M&O Performance Self-Evaluation

<u>Goal</u>	<u>Grade</u>	<u>Trend</u>
4.0 Leadership and Stewardship of the Laboratory (4.1, 4.2 & 4.3)	B+ (B+, B+ & B+)	—
5.0 Integrated Safety, Health, and Environmental Protection (5.1, 5.2 & 5.3)	B+ (B+, B+ & A-)	↑
6.0 Business Systems (6.1, 6.2 -A, 6.2-P, 6.3 & 6.4)	B (B+, C, B, A & B+)	↑
7.0 Operating, Maintaining, and renewing Facility and Infrastructure Portfolio (7.1 & 7.2)	B (B & B+)	↑
8.0 Integrated Safeguards and Security Mgmt. and Emergency Mgmt. Systems (8.1, 8.2, 8.3 & 8.4)	B+ (B+, B+, B+ & B+)	—



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Goal 4.0
**Provide Sound and Competent
Leadership and Stewardship of the
Laboratory**

Self-Evaluation Rating = B+

John Cornuelle



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

- In measuring the performance of this Objective, the DOE evaluator(s) shall consider the following:
- **#1** - Quality of the Vision developed for the Laboratory and effectiveness in identifying its distinctive characteristics;
- **#2** - Quality of Strategic/Work Plan for achieving the approved Laboratory vision;
- **#3** - Quality of required Laboratory Business Plan;
- **#4** - Ability to establish and maintain long-term partnerships/relationships that advance/expand ongoing Laboratory missions and/or provide new opportunities/capabilities; and
- **#5** - Effectiveness in developing and implementing commercial research and development opportunities that leverage accomplishment of DOE goals and projects with other federal agencies that advances the utilization of Laboratory technologies and capabilities.



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Measure 4.1.1: Effectiveness in meeting required milestones in the development and/or update of the Laboratory Vision and Strategic/Work Plan.

Self-Evaluation Rating (4.1.1) = B+

- SLAC's Business Plan Completed This Fiscal Year Now Shows Two New Business Lines: Accelerator Science and Technology, and Advanced Scientific Computing
 - This is a Fundamental Augmentation to SLAC's Core Business Lines, Indicating Recognition by SC That These Core Competencies at SLAC are Critical to SC
- SLAC's Revised Mission Statement for the PEMP Was Provided in March, 2007

These are Consistent with Performance Criteria #1 Through #3



DIRECTOR'S MEMORANDUM

March 26, 2007

TO: Hanley Lee, Deputy Manager, SSO

FROM: Jonathan Dorfan *Jonathan Dorfan*

SUBJECT: Science Mission Role Statement for SLAC PEMP Plan

In response to your email request of May 19, 2007, we have reviewed and amended the SLAC Science Mission Role Statement to be used in the PEMP as follows:

4.2.1 Science mission role

The Contractor shall develop and deliver the enabling technologies and scientific knowledge and discoveries supporting DOE's missions in the following areas: photon science, including but not limited to the utilization of synchrotron and x-ray free electron laser radiation in materials sciences, chemistry, environmental sciences, structural biology, physics and other disciplines; ultrafast science and nanoscale imaging; development and characterization of advanced materials; high energy physics and particle astrophysics including theoretical, experimental and accelerator physics; advanced accelerator R&D; and advanced scientific computing. This purpose includes the advancement of accelerator design, capabilities, and improvements as well as the development of new technologies, detectors and instrumentation. These elements are central to delivery of new science and user facilities.

As a major national user facility, SLAC will provide an open research environment to maximize the creativity of its unclassified scientific resources. This will be done through effective operations and business practices in an environmentally sound, safe manner, with due concern for property protection, national security, quality and efficiency.



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Measure 4.1.2: The Laboratory Vision provides a clear understanding of the distinctive characteristics of the Laboratory.

Self-Evaluation Rating (4.1.2) = B+

These are Consistent with Performance Criteria #1 Through #3

Laboratory Vision Element	Strategic Plan	Clear?	Distinctive
Photon Science in materials sciences, chemistry, environmental sciences, structural biology, physics, and other disciplines	Yes p.87	Yes	Advanced capabilities of SSRL; coupling to Stanford University
ultrafast science and nanoscale imaging	Yes p.87	Yes	PULSE center; LCLS capabilities; Stanford U.
development and characterization of advanced materials	Yes p.87, 89	Yes	
high energy physics	Yes p.86	Yes	B-factory user facility; ILC RDR; Tier 2 ATLAS
particle astrophysics	Yes p.87	Yes	GLAST Operations Center; Theoretical and computational efforts in KIPAC
theoretical, experimental, and accelerator physics	Yes p.87,88	Yes	LHC precision calculations initiative; B-physics; EXO R&D;; High Gradient accelerator R&D
advanced accelerator R&D	Yes p.88	Yes	Plasma wake field acceleration; laser acceleration
advanced scientific computing	Yes p.88	Yes	Peta-cache initiative; GEANT 4
major national user facility	Yes p.91,92	Yes	SPEAR 3; B-factory



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Measure 4.1.3: The Laboratory Business Plan provides all required data in a clear and concise manner and is completed within established guidelines and schedules.

Self-Evaluation Rating (4.1.3) = B+

- The Strategic Plan Was Revised to SC Satisfaction in the First Half of FY07

This is
Consistent
with
Performance
Criteria #3



SLAC

Lab-at-a-Glance

Location: Menlo Park, CA

Type: Program Dedicated Lab

Contract Operator: Stanford University

Responsible Field Office: Stanford Site Office

Website: www.slac.stanford.edu

Physical Assets:

- 426 acres
- 115 buildings
- 1.7M GSF in Active Operational Buildings
- Replacement Plant Value: \$807M
- Deferred Maintenance: \$30.7M
- Asset Condition Index:
 - Mission Critical 0.96 (Good)
 - Mission Dependent 0.97 (Good)
- Asset Utilization Index: 1.0 (Excellent)

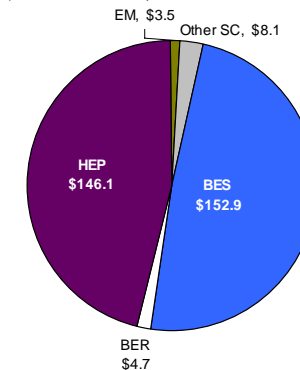
Human Capital:

- 1546 employees;
- 128 graduate students;
- 3000 Facility Users and Visiting Scientists

FY 2006 Total DOE Funding: \$315.3M

FY 2006 DOE Funding by Source

PALS Data (BA in Millions):



FY 2006 Non-DOE Funding: \$12.8M

Measure 4.1.4: Strategic partnerships are developed that demonstrate the Laboratory's leadership, support the leveraging of DOE resources, and support collaborative programs with other DOE laboratories and industry groups.

Self-Evaluation Rating (4.1.4) = B+

- For the LAT Detector, Integrated in FY06 with the Spacecraft:
 - Nov. 2006 – Completed LAT FSW Installation w/Compression
 - Dec. 2006 – Completed LAT Integration w/Spacecraft
 - Jan. 2007 – Completed LAT Post-Integration Functional Test
 - Feb. 2007 – Completed Spacecraft/LAT In-Rush/Signal Tests; Fixed ReBoots
 - Mar. 2007 – Completed LAT portion of Observatory Comprehensive Performance Test
- For the DOE SULI (Science Undergraduate Laboratory Internships) Program
 - To date in FY07, 23 students (11 females and 8 minority) Have Accepted Our Offer and Will Begin Their Eight Week Internship on June 25, 2007.

This is Consistent with
Performance Criteria #4



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Measure and Target 4.1.5/4.1.5.1: The Lab Communications Office will review its communications policies and procedures to assure they meet the Contracting Officer's procedures and guidelines for meeting requirements laid out in Contract Clause I.072, which implements DEAR 952.204-75

Self-Evaluation Rating (4.1.5) = A-

- The management and staff of the SLAC Communications Office carefully reviewed clause I.072 and ensured that all of the procedures have been followed. Future and current plans are in complete compliance with the requirements contained in DEAR 952.204-75 (completed FY07 Q1).



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Measure and Target 4.1.5/4.1.5.2: The Laboratory Communications Office, in concert with Lab and DOE management, will analyze its relationship with the surrounding community and determine any necessary steps to enhance that relationship.

- Brochure produced and distributed to local community on possible disturbances resulting from the construction of LCLS (October 2006)
- The LCLS “dashboard” was produced in early FY 2007 allowing the local community to stay in touch with the progress made in the construction of the facility
- Two (2) live LCLS webcams installed and operational so the public can observe progress on construction
- Several hundred new subscriptions to “SLAC Today” from the public in first half of FY 2007



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Measure and Target 4.1.5/4.1.5.3: The Laboratory develops a Communications Plan in conjunction with the DOE Stanford Site Office (DOE/SSO) within the first Quarter of the FY 2007 Performance Period which identifies actions to be completed during the remainder of the performance period

- Plan was submitted to the DOE Stanford Site Office and it was reviewed and approved by DOE/SSO on October 30, 2007 (*Georgia McClelland*)



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Measure and Target 4.1.5/4.1.5.4: As stated in the DOE-approved Communications Plan, the Laboratory will meet all required communications actions and milestones identified for completion during the performance period. Should circumstances preclude meeting the milestones in a timely manner, the Laboratory will work with the Site Office (SSO) to negotiate mutually agreed upon schedule revisions at least 30 days before the initial milestone date.

- Major goals and milestones contained in the Communications Plan have been met or exceeded for the 1st half of the fiscal year.
 - The only exception was SLAC's participation in an event that was cancelled by the DOE.
 - Accomplishment of note: In February 2007, SLAC employed a full-time Education Officer, Ms. Susan Shultz.
 - Performance standard exceeded - SLAC and Fermilab Public Affairs Offices were required to work together to increase online traffic to over 25,000 visits per month. Exceeded/Accomplished – 60,000 visits in March 2007



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Measure 4.1.6: The Laboratory Will Provide and Adhere to Detailed Roadmaps Supporting the Laboratory's Shift in Primary Sponsorship from HEP to BES

Self-Evaluation Rating (4.1.6) = B+

- DOE-BES completed review of SLAC linac operations costs
 - DOE-BES provided a detailed report to SLAC on November 7, 2006 that endorsed SLAC's "bottom up" approach and validated cost estimates for linac operations for LCLS.
 - Using this information, SLAC initiated preparation of a transition plan regarding laboratory manpower needs to ensure an optimized work force for LCLS operations in FY09. Plan to be completed in August, 2007.
- During Q1, FY2007 SLAC undertook an in-depth review of space allocation and future needs through its Space Working Group (SWG) co-chaired by P. Drell and K. Hodgson
 - Key for developing options for housing both the LCLS support and experimental staff as well as the associated science program initiatives (in particular the PULSE Center).
 - Phase I strategy plan was presented to a subgroup of the DOE Lehman Review of LCLS on October 24-26, 2006. and received a very positive endorsement as a viable go-forward strategy.
 - DOE-BES has proposed a line item MIE in the FY08 budget for space renovation and the CD process has been initiated by SLAC to implement this project.
 - SWG continuing work (meeting weekly) on other aspects of space planning and allocation at SLAC that are important among to the transition to BES-funded operations.
- During Q1, FY2007, SLAC began active planning for the LCLS experimental operations program.
 - An interim organization is being planned that will transition into the full operations division by the time LCLS becomes fully operational in 2010.
 - This plan includes the integration of LUSI into the LCLS construction project as one key step in this transition.
- SLAC is actively planning the ramp down and D&D of the B-factory. This plan will be reviewed in August 2007 by DOE-HEP.



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Objective 4.2: Provide for Responsive and Accountable Leadership throughout the Organization

Self-Evaluation Rating (4.2) = B+

- Responsiveness for Opportunities for Continuous Improvement
 - The Office of Assurance (OA) is now staffed with a Director (as of 1/2/07) and is presently recruiting for an additional Assurance Professional. The Assurance Program Description, completed late last fiscal year (9/27/06), underpins both the QA and Contractor Assurance Systems.
 - Responsiveness to opportunities for improvement is a core responsibility of the OA
 - OA Director has taken full ownership for the preparation and optimization of the PEMP
 - OA Director has installed the lab-wide process for generating “News of the Week” (started 3/16/07)
 - OA Director has been assertively inserted into the Lab. Directorate and attends all high level meetings such as the weekly Directorate Meeting and ESHCC meeting
- Responsiveness for Opportunities for Continuous Improvement
 - Successfully hired a replacement for retiring head of Business Services (3/26/07). The new Business Services Division Director has extensive and broad business experience and has been charged with aggressively improving known areas of weakness within Business Services



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Objective 4.2: Provide for Responsive and Accountable Leadership throughout the Organization – “Continued”

- Level of leadership in this area by responding to issues is commensurate with levels of severity
 - Readily seen in response to ES&H incidents.
 - SAFE07 Program developed and launched by ES&H
 - Director instituted a “Laser Safety Review”, with Ken Barat (LBNL) as Chair
- Leadership response is timely; permanent corrective action is required
 - Continue to use the “Argonne” model for site and SSO notification of safety/health/environmental events
 - This was expanded in early FY’07 to include Site Security events (completed 1/12/07).
 - Mitigation (when needed) and lessons-learned begin immediately.
 - Regular reporting to all managers.
 - News of the Week program, instituted by Director: keeps SSO and DC informed
- On-going responsibility for accountability, cognizance of corrective action plans
 - OIO Corrective Action Plan successfully completed, and all associated milestones met
 - The Office of Assurance (OA) now oversees SLAC’s issues management system “CATS”.
 - OA is responsible for tracking progress on closing out issues from all assessment activities including those which produce formal corrective action plans.
 - The OA also validates that corrective actions are taken and performs effectiveness reviews



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Objective 4.2: Provide for Responsive and Accountable Leadership throughout the Organization – “Continued”

- Level of leadership in this area by responding to issues is commensurate with levels of severity
 - Director’s Independent Investigation in response to charges of mis-design, waste and abuse on LCLS successfully completed. The charges were found not to be substantive. Report given to IG and SSO.
- Level of leadership in this area by responding to issues is commensurate with levels of severity
 - Director took forceful steps in conjunction with LCLS to Strengthen LCLS Project:
 - SLAC Controls Group fully integrated into LCLS: Head of LCLS Controls inserted as Head of SLAC Controls Department
 - SLAC Accelerator Operations integrated with LCLS to help run the Commissioning; MOU established that defines the respective roles and responsibilities of LCLS Project and Accelerator Operations
 - Instituted Conventional Facilities Executive Group to couple Project and Lab. legal, procurement and contract experts (meets every Tuesday)



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Objective 4.3: Provide Efficient and Effective Corporate Office Support as Appropriate

Self-Evaluation Rating (4.3) = B+

- Stanford University assesses SLAC's management approaches and systems
 - President and Provost meet separately at least once per quarter with SLAC Director (last meetings April 6, 2007 and February 6, 2007 respectively). Frequent meetings with other University leaders such as Chief Counsel, Special Assistant to President for Federal Affairs.
 - President's SLAC Policy Committee (SPC), comprised of 15 external advisors, meets every May and December (last meeting December 1-2, 2006, next meeting May 4-5, 2007). Written report issued for each meeting.
 - Management and organization effectiveness is an intrinsic part of every SPC meeting
 - William Madia, Battelle Executive Vice President for Laboratory Operations, appointed as of May 2007 to four-year term: management imperative
- Stanford University demonstrates leadership in reviewing and establishing risk limits, resource allocation decisions, and effectiveness reviews
 - ES&H
 - University requires a quarterly report on SLAC's ES&H program. Reports from Fall 2006 and Winter 2007 submitted to Vice Provost for Research
 - ESH Advisory Committee (ESHAC) is devoted to evaluation of SLAC ES&H program. ESHAC reports to SPC. ESHAC Chair serves as full member of SPC. ESHAC met October 10-12, 2006 and April 2-4, 2007.
 - » April 2007 review focused on adequacy of SLAC's safety systems and processes



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Objective 4.3: Provide Efficient and Effective Corporate Office Support as Appropriate - “Continued”

- Stanford University Provides Corporate Support by underwriting the salaries of key Managers:
 - Pays full salary of the Director. Pays partial salary of other senior leaders, most notably the two Deputy Directors and Lab Counsel.
- Stanford University Provided Corporate Support by funding housing costs of senior SLAC employees through ongoing nine-year housing allowance packages and below-market loans. This continues to be imperative for retention and recruitment.
- Stanford University Provides Corporate Support by funding on an ongoing basis the large financial packages (typically in millions of dollars) required to attract and retain new faculty.
 - SLAC Prof. Z. X. Shen was appointed the Paul Pigott Endowed Chair on October 10, 2006, which underwrites his salary and provides research funding
- Stanford University Provided Independent Audit services. FY2007 program of audits ongoing as established in consultation with DOE
 - Reports provided to Lab. and DOE. University Audit has recently added a *validation function* to ensure their recommendations are implemented
- Stanford University Provided Corporate Support through its Government Relations Office.
 - Facilitates interactions with Congress and other branches of government for SLAC leadership and the SLAC-based user organizations SLUO and SSRLUO. Washington DC visits of representatives from SLUO (March 21-23, 2007) and SSRLUO (March 21-23, 2007) to legislative and administrative branches of government



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Objective 4.3: Provide Efficient and Effective Corporate Office Support as Appropriate - “Continued”

- New standards for documentation (Policy, Lab-Wide Requirements, and Directorate-level Procedures) are currently being developed by the OA
 - OA is also developing the Contractor Assurance Systems for five different support programs – ES&H, Emergency Management, Business Operations, Security, and Cyber Security.
 - OA has developed an Independent Assessment Manual to guide all future internal independent assessments (completed 3/27/07).
 - Through these systems, risks are being identified, assessed, and adequately mitigated.



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Goal 5.0 & Objectives 8.1 and 8.3
Sustain Excellence and Enhance
Effectiveness of Integrated Safety, Health,
and Environmental Protection; Emergency
Management System; and Protection of
Special Nuclear Materials and Property

Self-Evaluation Rating (5.0) = B+

Self-Evaluation Rating (8.1) = B+

Self-Evaluation Rating (8.3) = B+

Sayed Rokni



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

Self-Evaluation Rating (5.1) = B+

- SLAC had no Type A or Type B accidents.
- No overdue ES&H-related corrective actions.
- No DOE Manual 232.1-1 reportable occurrences of radioactive contamination have occurred in this fiscal year to date.
- No releases of hazardous material to the environment.
- Additional prevention information and “safety stories” about organizations at SLAC that are succeeding very well with respect to engendering a safe work environment are being developed.
- SLAC’s industrial hygiene program has undergone seven major reviews in the last three years.
- Efforts to improve TRCs (C+) and DARTs (C+) are underway; Safe '07 campaign recently rolled out.



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

Self-Evaluation Rating (5.2) = B+

- The administrative activities such as training, work authorizations, and reporting requirements of the PEMP's in this Objective are showing strong performance.
- 96% completion for Mandatory Training and 90% for Supervisor-Required training.
- 95% completion of existing ISM corrective actions.
- SLAC staff provided the 1st quarter FY2007 report on accident and injury trending to DOE SSO staff on February 7.
- Opportunities for improvement include successful ramp-up of the Program Managers Self-Assessment Program.
- SLAC Lessons Learned program deemed effective by OIO.



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

Self-Evaluation Rating (5.3) = A-

- Radioactive waste generator training course proposal is 100% complete. Course content/presentation is 60% complete. Course implementation plan 10%.
- Routine operations radioactive waste reduction opportunity evaluation is 80% complete.
- SLAC is projecting 70% of its non-hazardous waste is being recycled, well above the B+ target of 56%.
- SLAC also projects 71% reduction by weight of hazardous waste generation from routine operations.
- SLAC's Chemical Management System program is on track to achieve its goals in all relevant hazardous materials management activities.
- SLAC projects 2 hazardous waste violations as of the end of the second quarter of FY2007 which have been corrected.
- SLAC reported to SSO the percentage of completion of Environmental Management System Awareness Training.



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Objective 8.1: Provide an Efficient and Effective Emergency Management System

Self-Evaluation Rating (8.1) = B+

- No unreported emergency events to date in FY2007.
- Self-assessment activity is planned for May, 2007.
- Preparation of Emergency Response Plan is on target for completion in May 2007.
- Preparation of Continuity of Operations Plan (COOP) is in early stages. Fire & Emergency Management (F&EM) is in the process of seeking outside assistance to expedite preparation of plan and provide expert assistance for technical input. Expectation is to submit plan to DOE for approval in mid-June, 2007.



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

Self-Evaluation Rating (8.3) = B+

- SLAC rarely receives special nuclear material (SNM) shipments of quantities above the reporting thresholds (DOE M 470.4-6 Table 1-1). We do not expect any additional quantities of SNM at SLAC through the 2nd quarter of FY2007.
- There are currently no outstanding corrective actions in regards to special nuclear materials and none is expected through the 2nd quarter of FY2007.
- The training status of the SNM Custodian Training was last completed 9/12/2005 and remained valid through the 2nd quarter of FY2007.
- Expect the Routine Area locations not to change in the next quarter. New Radiation Work Permits (RWPs) will be issued. Job Type RWPs are issued on an as-needed basis.



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Goal 6.0

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

Self-Evaluation Rating = B

Mimi Chang
(6.1 and 6.4)



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

Self-Evaluation Rating = B+



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Measure 6.1.1: The effectiveness of the Financial Management System as Validated by Internal and External Audits and Reviews.

- Stanford University Internal Audit Reports issued in FY07:
Accounts Payable Review at SLAC: “Overall we concluded that the SLAC Purchasing and Payables controls environment was adequate.”

OMB A-123 Testing of Internal Controls for Human Resources and Payroll: “Overall based on inquiry, observations, and re-performance, we concluded that both the HR and the Payroll Departments have adequate and properly-functioning internal controls in the areas we reviewed.”

There are several audits and reviews currently in process. To date, there have been no findings associated with the field work completed.



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Measure 6.1.2: Financial Management System Continual Improvements

- Proactive in improving internal controls
 - Accounts Payable Special Payment Request – Implemented additional approval before vouchers can be posted in PeopleSoft AP System.
 - Voucher posting: Real time email notification on changes requested for pre-approved voucher groups.
 - Checks printing: Enhance security control on printer access
- Prompt implementation of changes in response to recommendations from SU Internal Audit.
 - Added supervisor name on the preprinted timesheet.
 - Added a statement on the non-exempt, hourly, and bargain unit timesheet to address meal breaks and rest breaks.
 - Improved procedures on the documentation of chemicals receiving and the matching of vendor invoices.
 - Consistently review the monthly Accounts Payable Aging Report and follow up on outstanding credits.
- Set up cross training among accounting staff to provide ready backup for continuity in operations.



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Measure 6.1.3: Financial Management System Performance Expectation.

- Transmittal of FY06 year-end closing and all year-end required financial reports were on schedule.
- Transmittal of month-end and closings in FY07 were on schedule. In order to facilitate the transition from the DOE Chicago Operations Office to the Oak Ridge Operations Office (DOE-ORO), the Accounting Officer and her staff worked many long hours and weekends. This results in the successful completion of the transition of SLAC financial reporting to DOE-ORO for the “financial month” of February, as targeted in the DOE-ORO CFO transition plan.
- Submission of all required monthly and quarterly financial reports were on schedule in FY07.



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Measure 6.1.4: Effective Budget Management Execution/Budget Submission Expectation.

- The annual Field Budget Request for FY2009 was submitted on time per the DOE requirement. The FWP's were input to ePMA on time per the DOE guidance. With the transition of responsibilities from Chicago Operations Office to the Oak Ridge Operations Office, the Lab is awaiting guidance for the information required for the budget validation.
- The Senior Assessment Team (consisting of the CFO, the Budget Officer, and the Administrative Heads of the Photon Science and the Particle and Particle Physics Directorates) was intimately involved with the Field Budget Request process to ensure quality budget submissions, as well as the timeliness of the SLAC submittal.



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Measure 6.1.5: Effective Management of Costs (Direct and Indirect)

Currently, the FY07 SLAC budget for many of the programs is still not fully known. However, based on the best information available below is a projection of the Lab's expenditures for FY07.

- DOE Operating Programs (Direct Costs: 181.9 million; Indirect Costs: 48.4 million; Cost Ratios (%): 73.5/26.5.
- Total DOE Costs (Direct Costs: 335.1 million; Indirect Costs: 58.4 million; Cost Ratios (%): 82.5/17.5.
- Total SLAC Costs (Direct Costs: 340.2 million; Indirect Costs: 59.3 million; Cost Ratios (%): 82.6/17.4.

INDIRECT RATES: Recommended by the CFO and approved by the Laboratory Director. Current projection for FY07 based on the cost projection above

- G&A - 14.0%
- Common Site Support - 24.0%
- Procurement Charge – 3.6%
- Security Charge – 1.0%



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Objective 6.4: Provide Efficient, Effective, and Responsive Management Systems for Internal Controls and Audit Oversight

Self-Evaluation Rating = B+



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Measure 6.4.1: Internal Control and Audit Findings

We view internal controls and audits as critical to our success in Business Management Systems. Consistent with this approach, at this mid-year FY'07 review, we will report on:

- Follow-up actions from the August 2006 (FY'06) Stanford Internal Audit of our HR and Payroll Controls

and

- Observations, recommendations, and management actions resulting from the November 2006 Stanford Internal Audit of SLAC's compliance with OMB Circular A-123.



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Measure 6.4.1: Internal Control and Audit Findings “Continued”

Follow-up actions from the August 2006 (FY’06) Stanford Internal Audit of our HR and Payroll Controls

- This audit resulted in 4 medium risk observations and 1 low risk observation
- Three of the medium risk and the low risk items were responded to and new procedures or revised forms are in place:
 - Recruiting, Termination and Staffing (document enhancement) – Completed
 - Time, Attendance, and Effort Distribution (form revision) – Completed
 - Time, Attendance, and Effort Distribution (form revision) – Completed
 - Pay Processing (procedure distribution to payroll staff) – Completed
- One medium risk item is pending budget and resource availability
 - Time, Attendance, and Effort Distribution (electronic time entry) – FY’08



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Measure 6.4.1: Internal Control and Audit Findings “Continued”

- Observations, recommendations, and management actions resulting from the November 2006 Stanford Internal Audit of SLAC’s compliance with OMB Circular A-123
- This audit resulted in 2 low-risk observations, 2 medium-risk observations and 1 high-risk observation
- One of the low-risk and 1 medium risk items were responded to and completed:
 - Tracking procedures (procedure update written) – Completed
 - Aging reports (the \$10.5K outstanding item that was noted plus others have been completed) – Completed
- One medium risk item is pending budget and resource availability
 - Time, Attendance, and Effort Distribution (electronic time entry) – FY’08



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Measure 6.4.1: Internal Control and Audit Findings “Continued”

- One High-risk item is being completed with the lead from Accounting Treatment of Chemicals Receiving and Matching to Invoices (process being refined by Accounting) – Implementation expected in Q3
- Two medium-risk items are being completed in the Purchasing Department
 - Vendor Statements (written procedure needed) – To be completed by 04/13/07
 - Identifying and Applying Credits (written procedure needed) – To be completed by 04/13/07



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Target 6.4.2: Assessment of Continual Improvement

The following reviews by SU Internal Audit are in progress and will be completed in Q3 of FY07

- FY06 Allowable Cost Review
- FY06 OMB Circular A-133 Review
- FY07 OMB Circular A-123 Review

Progress toward any corrective actions will be reported at the next review. SLAC will keep close contact with DOE/SSO on these actions as it progresses through FY07



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

Self-Evaluation Rating = B-

Bob Todaro and Leslie Normandin



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Objective 6.2: Acquisition

**Purchasing Department
Mini Self-Assessment
July 1, 2006 – December 31, 2006**

Self-Evaluation Rating = C



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Purchasing Department Customer Perspective

<i>Customer Service Surveys</i>	DOE Target	<u>FY 06</u>	<u>FY 07</u>
• % of satisfied Requestors	92%	92%	96%
• % of satisfied BIS Operators	92%	96%	100%
• % of satisfied P-Card holders	92%	100%	100%



SLAC

Purchasing Department Internal Business Perspective

- | | DOE
Target | FY 06 | FY 07 |
|---|-----------------------|--------------|--------------|
| <ul style="list-style-type: none">• Effective Internal Controls<ul style="list-style-type: none">– Average % of system elements in full compliance with stakeholder requirements (e.g., applicable laws, regulations, procedures, terms and conditions of contracts, ethics, etc.) based on self-assessment review– 384 Purchasing files reviewed in March '07– Total of 15 contract requirements reviewed for compliance– Total average of actions reviewed found compliant = 88%– Note: training on revised Purchasing Procedures began March '07 | 90% | 83% | 88% |



SLAC

Purchasing Department Internal Business Perspective

	DOE Target	FY 06	FY 07
<ul style="list-style-type: none"> • Effective Supplier Management <ul style="list-style-type: none"> – % of on-time deliveries by key suppliers – % of on-time deliveries by all suppliers 	84%	74%	81%
	n/a	62%	74%
<ul style="list-style-type: none"> • Effective Use of Competition <ul style="list-style-type: none"> – % of total dollars obligated using effective competition (over \$100K) 	80%	88%	96.8%
<ul style="list-style-type: none"> • Effective Utilization of Alternative Procurement Approaches <ul style="list-style-type: none"> – Not assessed – labor intensive 			



Purchasing Department Internal Business Perspective

	<u>DOE Target</u>	<u>FY 06</u>	<u>FY 07</u>
• Acquisition Process			
– Average Cycle Time, > \$100K	25-30 days	23.4 days	17.4 days
– Average Cycle Time, ≤ \$100K	6-9 days	4.6 days	3.3 days
– Average Cycle Time, All Actions	8-11 days	5.0 days	3.6 days
• Socioeconomic Subcontracting			
– Small Business	41.3%	43.7%	68.1%*
– Small Disadvantaged Business	6.3%	3.7%	3.9%
– Small Woman-Owned Business	5.8%	5.4%	3.7%
– Veteran-Owned Business	1.3%	0.6%	3.0%
– Hub Zone Business	2.2%	1.9%	0.6%

*Covers the period 10/1/06 – 2/28/07



SLAC

Purchasing Department Learning & Growth Perspective/Financial Perspective

• Learning & Growth Perspective	<u>DOE Target</u>	<u>FY 06</u>	<u>FY 07</u>
<ul style="list-style-type: none"> – Employee Satisfaction <ul style="list-style-type: none"> • Not assessed – Employee Alignment <ul style="list-style-type: none"> • Not assessed 	90%	94%	n/a
<ul style="list-style-type: none"> – Employee Alignment <ul style="list-style-type: none"> • Not assessed 	98%	100%	n/a
<ul style="list-style-type: none"> • Financial Perspective <ul style="list-style-type: none"> – Cost to Spend Ratio <ul style="list-style-type: none"> • Not assessed 	<\$.025	\$.018	n/a



Purchasing Department Achievements in FY07 to date

- All contract Terms and Conditions formats updated (Oct. 2006)
- Developed PeopleSoft Direct Connect Project Plan (Nov. 2006)
- Revision of Purchasing Policies and Procedures completed (Dec. 2006)
- eProcurement website launched on Purchasing Homepage (Feb. 2007)
- Oral RFQ (\$10K – 25K) implemented (Feb. 2007)
- Training Plan for Buyers published (Mar. 2007)



SLAC

Purchasing Department Mid-Year Grade

Objective 6.2.2: Perform Procurement Balanced Scorecard evaluations in accordance with the FY 2007 Balanced Scorecard Plan and successfully meet at least 90% of the BSC targets.

- FY 2007 BSC Gauge Model: ≥ 92 Outstanding
- Mini Self-Assessment Score = 92% (64.5 out of 70 points)
- Mid-Year Grade = B+/A- (without Jacob's Engineering audit findings (Feb. '07))
- Mid-Year Grade = C (with Jacob's Engineering audit findings (Feb. '07))



SLAC

Objective 6.2: Property Management



Self-Evaluation Rating = B



SLAC

Balanced Scorecard (BSC) Performance Objective 1 - Customer Perspective

- **1.1 External Customer Satisfaction**
 - Letter survey to be done before end of fiscal year measuring timeliness, quality and partnership
 - FY06 rating = Outstanding
- **1.2 Internal Customer Satisfaction**
 - Email survey to be done before end of fiscal year measuring timeliness, quality and partnership
 - FY06 rating = Outstanding
- **1.3 Accuracy of and consent to property assignments (internal)**
 - Sensitive and Equipment will be physically validated at the end of the physical inventory by Property Control and SSO.
 - FY06 rating Sensitive = Excellent (1 item was with a different custodian)
 - FY06 rating Equipment = Outstanding



BSC Performance Objective 2 - Internal Business Perspective

- **2.1 Asset Accountability: % of property subject to physical inventory located during inventory.**
 - Equipment (4614)
 - Cost – 34.40%
 - Line – 64.80%
 - FY06 Rating = Outstanding
 - Sensitive (10247) Includes sensitive added per DOE Order 580.1
 - Cost – 32.32%
 - Line - 39.29%
 - FY06 rating = Outstanding
 - With the implementation of DOE Order 580.1 the sensitive items list has more than doubled the amount of our sensitive inventory.
 - Stores (Cycle Count Inventory from 10-1-06 through 3-23-07)
 - Cost - 99.97%
 - Items – 98.78%
 - FY06 rating = Outstanding



SLAC

BSC Performance Objective 2 - Internal Business Perspective – “Continued”

- 2.3 Percent of increase in the volume of items reported excess and disposed of within 180 days as compared with the previous cycle.
 - SLAC meets the 8% increase of the reported as excess and disposed within 180 days from previous year.
 - Currently 88 items have been entered into excess
 - None are past the 180 day criteria
 - FY06 we exceeded a total of 111 items
 - FY06 rating = pass
 - SLAC has high utilization standards. Property is used until it is usually unserviceable or in poor condition. Computers are past their service life. Property Control has no control over the items turned in.



SLAC

BSC Performance Objective 3 - Internal Business Perspective - “Continued”

- 3.1 The percent of surplus items sold using “on-line” sales media during the year.
 - Meets the percentage of items sold on-line by 10%
 - Total on-line sales FY07 to date: 25
 - FY06 - 48 items sold
 - FY05 - 55 items sold
 - FY06 rating = Fail
 - Corrective Action:
 - Try to increase the number of items placed into the Energy Asset Disposal System, EADS, performance measure 2.3. Items not transferred or donated are then advertised for sale using the on-line services of Bid4Assets. On-line sales are the final step in the disposal process.



SLAC

BSC Performance Objective 4 - Internal Business Perspective – “Continued”

- 4.1 % of personal property acquired via purchase card is recorded in the property and financial database within 72 hours of receipt of property.
 - 127 property items requiring bar code label to date; 16 were late
 - Current rating is 87.40% = Marginal; FY06 rating = Unsatisfactory
 - Corrective Action:
 - » The purchase card administrator sent an email to all card holders and approvers reminding them of their responsibility to notify Property Control when they receive equipment purchased within the 72 hour criteria.
 - » Updating the purchase card procedures
 - » Property Control is sending an email to the card holder and end user if they are delinquent.
 - » Article placed in SLAC Today
 - Property Control still has serious concerns on this measure. If the intent is to mark all equipment ordered on a purchase card, we are meeting this goal. We do monthly audits of all purchase cards. We are meeting the goal of 95 – 100% marked within 60 days.



SLAC

BSC Performance Objective 5 - Internal Business Perspective – “Continued”

- 5.1 98% of subcontractor-held property is recorded in contractor’s management system.
 - Currently SLAC has one equipment item at a subcontractor, Eljen Technology. The item has been identified and recorded in the property data base.
 - Tooling for hextube scintillator
 - FY06 rating = Outstanding



SLAC

BSC Performance Objective 6 - Learning and Growth

- 6.1a % of scheduled training, supporting balanced scorecard objectives, completed by personal property management employees during the period.
 - Training has been identified
 - FY06 rating = Outstanding
- 6.1.b % of personal property professional staff with an individual development plan (IDP) on balanced scorecard objectives
 - Property Control staff have an IDP that includes BSC objectives
 - FY06 rating = Outstanding
- 6.1.c % of personal property professional staff that received an annual review of performance against balanced scorecard objectives
 - Property Control staff will receive an annual performance evaluation with BSC measures and goals
 - FY06 rating = Outstanding



SLAC

BSC Performance Objective 7 - Financial Perspective

- 7.1 Optimum Cost Efficiency – Cost of (Major) process
 - 7.1.a Major Process Identified
 - The physical inventory was chosen as our major process to measure.
 - 7.1.b Efficiency (Cost vs. Performance) of targeted processes.
 - FY05 baseline \$ 2.14
 - FY06 cost \$ 2.56
 - FY07 cost to be determined
 - Our figures are based on the total number of hours spent on inventory multiplied by the employee hourly rate and divided by the number of assets inventoried.
 - We have implemented a new process. After the inventory of a building we go right back and do a quick search of the assets not inventoried. This should save us time at the end of the inventory during our reconciliation phase.
 - We need to take into consideration the salary increase.
 - One of our inventory takers has been on and off disability for the past 2 years.



SLAC

BSC Performance Objective 7 - Financial Perspective

- 10.1 Personal Property Management System is in compliance with Federal Property Management Regulations (FPMR), the DOE Property Management Regulations (DOE-PMR) and applicable DOE Orders to assure the Property Management System are in compliance.
 - Approved Property Management System 1/13/05
 - DOE Order 580.1 implemented into SLAC contract in Feb
 - Added new required fields to property data base
 - Revised sensitive property list
 - Updated property procedures approved by SSO
 - Updating the Personal Property Management Guide



SLAC

Fleet Management
part of
Personal Property
BSC
Performance Measures



SLAC

BSC Performance Objective 2 - Internal Business Perspective

- 2.2 Equipment Utilization: Percent of equipment meeting Federal or local utilization standards or objectives
 - % of motor vehicles meeting utilization standards and objectives
 - 76% vehicle usage
 - Total of 219 GSA vehicles
 - 167 vehicles meet the utilization standards
 - FY06 rating = Good
 - These criteria are based on utilization standards developed between DOE/OAK and SLAC
 - Utilization criteria awaiting approval from DOE
 - Corrective Action:
 - Require a trip log for all vehicles



SLAC

BSC Performance Objective 7 - Financial Perspective

- 8.1 By each non-law enforcement sport utility vehicle (SUV), compare the number of trips made that required driving on other than normal road conditions with the total number of trips the SUV made.
 - 277 off road miles = 2% rating (Fail) target is 90%
 - The performance gradient states by trips. Since we did not require a trip log we measured this on miles.
 - FY 06 rating = Fail
 - The SUV statistics for FY06 included 4x4 vehicles. Per Oak Ridge conference call 3/15/07, 4x4 vehicles should not be included.
 - SLAC SUVs have all been approved by SSO
 - Corrective Action:
 - Review the 4 SUVs currently on site.
 - Request a new justification
 - Require a trip log to accurately meet this measure



SLAC

BSC Performance Objective 7 - Financial Perspective

- 9.1 The percentage of reduced petroleum consumption within entire motor vehicle fleet, as compared with FY1999 petroleum consumption levels.
 - Current data not available at this time. This information comes from GSA at the end of the fiscal year
 - FY06 rating = pass



SLAC

Objective 6.3: Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program



Self-Evaluation Rating = A
Self-Evaluation Rating = B+

Lee Lyon
(6.3.1 - 6.3.3 and 8.4)



SLAC

**Measure and Target 6.3.1/6.3.1.1: Overall Customer Feedback &
Measure and Target 6.3.2/6.3.2.1: Review One HR System Annually**

- 6.3.1/6.3.1.1: We have not yet conducted our survey. We will gather this information during the late summer/early fall for submission with our annual self- assessment report (No Rating).
- 6.3.2/6.3.2.1: We reviewed our Human Resource Information System (HRIS) and some related processes for efficiency and control in handling our personnel information. We identified four issues and made system change to correct each one (B+).



SLAC

Measure and Target 6.3.3/6.3.3.1: Success in Attraction/Retention of Highly Qualified Employees

- 1) In-hire compensation package assures 85% acceptance rate

Our acceptance rate for the period October 1, 2006 through March 31, 2007 is 109 acceptances out of 118 offers for an acceptance rate of 92.4%. Of the nine declines, six were for salary reasons, making a 94.9% acceptance rate based on declines for salary reasons (A).

- 2) SLAC turnover is lower than Stanford University by between 15% and 24%

The projected SLAC turnover for the year based on our rate through the end of March is 7.2%. Based on the same time period, the University projected turnover rate is 11.5%. This means SLAC will be 37.4% lower than the University (A+).



SLAC

Measure and Target 6.3.3/6.3.3.1: Success in Attraction/Retention of Highly Qualified Employees “Continued”

- 3) SLAC turnover rate for PhD physicists and engineers is between 5% and 9%.

The turnover rate for SLAC PhD engineers and physicists is projected to be 5.7% (A).



SLAC

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

- Target 8.4.1.1: B+ = Events involving protection of sensitive information are reported and mitigated as necessary. Events have been reported and mitigated.

On February 9th, SLAC was notified by the San Jose Police Department that a former temporary employee in Human Resources had been arrested for using PII of a SLAC employee to open a fraudulent credit card account. Once we determined the extent of the exposure, SSO was notified of the breach during the week of February 12th. Because the temporary employee had access to paper files containing PII of all current and former SLAC employees, a notification letter was sent to approximately 9,500 current and former employees. These letters were mailed on February 15th. Other future mitigating measures may include converting all personnel information to electronic files and evaluating the use of temporary employees in Human Resources.

- Target 8.4.2.1: B+ = Contractor will perform a formal assessment with corrective actions, as necessary, of security systems for the protection of Personally Identifiable Information (PII) by the end of 2nd quarter of FY07.

We have a current Cyber-Security Plan of Actions and Milestones (POA&M) to “transfer collections of sensitive PII into an enclave with moderate-level security controls” scheduled to be complete by 12/15/07. We are preparing for a formal ST&E in June, 2007 to be conducted by an independent external auditor. In August 2006, SU Internal Audit did a comprehensive Application Security Review of SLAC’s PeopleSoft (Version 8x) implementation. In the intervening months of FY07, all eight recommendations were acted upon and corrective actions completed to mitigate issues noted.



SLAC

Measure 6.3.4: Increase Diversity



Self-Evaluation Rating = B+

**SueVon Gee
(6.3.4 - 6.3.5)**



SLAC

Measure 6.3.4: Increase Diversity

- Projections (Goal Setting)
- As a strategy, SLAC tends to set higher goals than availability figures reflect to increase probability for reaching strong minority and female representation within special programs.
- Although overall opportunities will decrease between 2006 and 2007 (from 42 to 37 slots; decrease of 5 positions), we continue to set goals at same level as 2006. Positions are commensurate with available funding, both inside and outside SLAC. This upcoming year, DOE is supporting 4 fewer Science Undergraduate Laboratory Internships (SULI) and inflation will decrease our Youth Opportunity Program by 1 slot.
- Commitment to diversity remains high, however, with an increase between 2006 and 2007 of the percentage goals set (i.e., from 69.0% to 70.3% for minorities and 45.2% to 48.6% for women).



SLAC

2006 and 2007 Projections (Comparative)

2006 Special Programs	Total	Minorities	%	Women	%
Science Undergraduate Laboratory Internship	26	13	50	13	50
Graduate Engineering for Minorities	4	4	100	1	25
Work Study Program	4	4	100	2	50
Youth Opportunity Program	4	4	100	2	50
SLAC Internship	3	3	100	0	0
Alonzo Ashley Fellowship	1	1	100	1	100
All Special Feeder Programs	42	29	69	19	45.2

2007 Special Programs	Total	Minorities	%	Women	%
Science Undergraduate Laboratory Internship	22	11	50	12	54.5
Graduate Engineering for Minorities	4	4	100	1	25
Work Study Program	4	4	100	1	25
Youth Opportunity Program	3	3	100	2	66.7
SLAC Internship	3	3	100	1	33.3
Alonzo Ashley Fellowship	1	1	100	1	100
All Special Feeder Programs	37	26	70.3	18	48.6



SLAC

Measure 6.3.4: Increase Diversity

Results

- Mid-year results illustrate strong diversity results (e.g., 100% minority participation and 45.5% female participation). It is noted that mid-year results do not reflect upcoming 2007 summer appointments in the special programs and current results will change as summer appointment results are added.
- We expect 2007 results to be similar to those of 2006 (which had excellent diversity among the special programs). In 2006, we projected 69.0% minority representation and achieved 57.9% representation. For women, we projected 45.2% representation and achieved 44.7% representation.



SLAC

2006 and 2007 Actual to Date (Comparative)

2006 Special Programs	Total	Minorities	%	Women	%
Science Undergraduate Laboratory Internship	22	6	27.3	12	54.5
Graduate Engineering for Minorities	5	5	100	1	20
Work Study Program	4	4	100	1	25
Youth Opportunity Program	3	3	100	2	66.7
SLAC Internship	3	3	100	0	0
Alonzo Ashley Fellowship	1	1	100	1	100
All Special Feeder Programs	38	22	57.9	17	44.7

2007 Special Programs	Total	Minorities	%	Women	%
Science Undergraduate Laboratory Internship	*	*	*	*	*
Graduate Engineering for Minorities	5	5	100	2	50
Work Study Program	4	4	100	2	50
Youth Opportunity Program	*	*	*	*	*
SLAC Internship	1	1	100	0	0
Alonzo Ashley Fellowship	1	1	100	1	100
All Special Feeder Programs	11	11	100	5	45.5
*To be determined Summer 2007					



SLAC

Measure 6.3.5: Historically Black Colleges and Universities (HBCU)

- Original DOE Partnership grant between SLAC and four HBCUs administered by Paine College has expired. SLAC was working with its expert consultant and Paine College to obtain a similar, but different grant through the National Science Foundation and DOE. The Paine College administrators with whom our consultant was working failed to submit the new proposal in a timely fashion and, as a result, we will not have a grant approved in time for a 2007 program. We are now looking forward to a program in the summer of 2008 with a new HBCU grantee.
- Concurrence from SSO regarding inapplicability of performance measure
- This performance target is no longer applicable.



SLAC

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

Self-Evaluation Rating = B

John Weisend and Rick Challman



SLAC

Measure 7.1.1: Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs

Target 7.1.1.1 B+ = SLAC achieves the Office of Science MII goal of 2.0% in FY07

- SLAC Grade C
 - Target maintenance spend \$9,346K
 - Target maintenance spend minus DM Reduction Plan \$8,554K
 - With projected FIMS RPV of \$1,126 million, MII = 0.76%
 - With High Value/Low Maintenance proposal RPV of \$610 million, MII = 1.40%
- Notes:
 - FIMS RPV increased from \$905 million in FY06 to \$1,126 million in FY07 as a result of two years inflation and an increased site factor.
 - High Value/Low Maintenance proposal, submitted on 11/3/07, has yet to be accepted.
 - Revised site factors, submitted on 2/5/07, have yet to be accepted.



SLAC

**Measure 7.1.2: Effective reduction of Deferred Maintenance (DM) &
Measure 7.1.3: Efficient completion of scheduled preventive maintenance
activities for conventional facilities.**

Target 7.1.2.1 B+ = SLAC meets DM reduction goal as stated in the Ten Year Site Plan for FY07

- SLAC is on track to meet this goal (B+). Between 10/1/06 to 3/1/07, we have cleared more than \$900K of DM (actual cost both in projects & maintenance)

Target 7.1.3.1 B+ = SLAC completes 100% of planned PM within 30 days of scheduling and access. The exceptions are: HVAC will perform 80% of planned Preventive Maintenance within 30 days of scheduling and access. Fleet Management will perform 85% of planned Preventive Maintenance within 30 days of scheduling and access (B+).



SLAC

Measure 7.1.4: Effective execution of annual goals within the Energy Performance Management Agreement

- Self-Evaluation Rating = B+ (if all Objective 2 is funded) or B (if Objective 2 is not funded)
- There are 5 Objectives for FY07:
 - Objective 1: Can be met 100% with a caveat: SLAC must complete the conceptual design and cost estimate of a new advanced power monitoring system (SCADA type) to monitor conventional facilities' electrical consumptions (separately from experiment electrical energy usage)
 - Objective 2: Can be met 100% with two caveats: Complete the re-lamping for at least one identified building on the survey list (B050 is one on the list) and re-lamp the Collider Housing with new energy efficient lighting.
 - Objective 3: Can be met 100%. No caveat.
 - Objective 4: N/A (No new conventional building construction at SLAC in FY07)
 - Objective 5: Here is the goal for FY07: " Provide a Site metering plan and install at least 100 percent of the meters identified in the Site metering plan for 2007".
- 100 percent or more: Meet expectation
- Objective 5 can be met 100% if we complete the Site metering plan and state in the plan that installation to begin in FY08.



SLAC

Measure 7.1.5: Provide Efficient, and Effective Implementation of Project Management

Target 7.1.5.1 B+ = SLAC successfully implemented DOE O 413.3A, Program & Project Management for the Acquisition of Capital Assets.

- SLAC grade B+ for the SORI Project
- SLAC grade B+ for the LCLS Project
- SLAC grade B+ for the LUSI and site-wide EM projects



SLAC

Measure 7.1.6: Make Substantial Progress in Completing the Project (Relates to 2.2)

Target 7.1.6.1 B+ = Reasonable progress is being made in relations to the amount of funding that is provided to SLAC. The overall performance of the following set of performance measures shall be utilized by evaluator as the primary measure of the Contractor ' s success in meeting this measure.

- The completion of designs for treatment systems at the Plating Shop and Former Solvent Underground Storage Tank areas.
- Construction of the FSUST Dual Phase Extraction (DPE) system is a least 80% complete and the construction of the Plating Shop DPE has commenced.
- Contaminated soil from seven Investigation /Misc. Soil Areas (EBR Table 4-3) has been removed, disposed, and all confirmation sampling completed.
- Issue the Feasibility Study for the Groundwater VOC Operable Unit.
- Obtain and present sufficient data to allow the Core Team to make decisions on whether Investigation Areas and Misc. Soil Sites are either No Further Action or require Removal or Remedial Action.



SLAC

Measure 7.1.6: Make Substantial Progress in Completing the Project (Relates to 2.2) – “Continued”

- Issue the Feasibility Study for the Groundwater VOC Operable Unit.
- Out of SLAC's control. It's behind schedule because Core Team (DOE and Stanford University) hasn't worked out the Remedial Action Objectives
- Obtain and present sufficient data to allow the Core Team to make decisions on whether Investigation Areas and Misc. Soil Sites are either No Further Action or require Removal or Remedial Action.
- The evaluation of this measure may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified above but that provide evidence to the effectiveness/performance of the Contractor in meeting this measure.
- On schedule for this.
- Rating (A-)



SLAC

Measure 7.2.1: Effective integrated planning for the acquisition, utilization, maintenance, infrastructure recapitalization and disposition of real property

Target 7.2.1.1 B+ = Redundant Target, SLAC completes 100% of integrated planning milestones identified and agreed to by DOE and SLAC in the areas of deferred maintenance, maintenance plan, FIMS and Rehab and Improvement Cost. Prior year carryover shall be 100% costed in the following year. The Infrastructure Recapitalization program consist of small capital projects and may include:

- Strategic Laboratory Projects (SLI)
- General Planned Projects (GPP)
- Energy Efficiency projects
- Other small capitalized projects
- Rating (B+)



SLAC

Measure 7.2.2: Effective execution of the Safety and Operational Reliability Improvement (SORI) project

- Target 7.2.2.1 B+ = SLAC executes the SORI project within 10% of target for cost and schedule per approved Level II milestone schedules and change controls outlined in the SORI Project Execution Plan (PEP) document. The cost and schedule performance indices will be within -10% or positive variance. The project progress reviews mechanism will be via monthly submitted project cost tracking, weekly project meetings, and Quarterly DOE Review document.
- Rating (B+)



SLAC

Measure 7.2.3: Effective execution of facility and infrastructure projects greater than \$250 K

- Target 7.2.3.1: B+= SLAC executes effective facility and infrastructure projects (General Plant Project and Operating projects) by completing projects within 10% of target for cost and 3 months of scheduled completion date (Cost and schedule performance indices are within -10% or positive variance). All projects >\$250K will be completed within 3 years of start date. The cost performance rating is established by calculating the cost performance index at completion for each project. The cost index for each project will be multiplied by a weighted factor based on their Total Project Cost (TPC) all projects > \$250K completed within the Fiscal Year (FY). The final cost rating will be calculated based on the weighted cost indices. The effective execution will be graded via monthly project cost tracking reports, project meetings, and walk throughs with the SSO FPD.
- Rating (B+)



SLAC

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

Self-Evaluation Rating = B+

Heather Larrieu



SLAC

Objective 8.2: Provide an Efficient and Effective System for Cyber-Security

Self-Evaluation Rating = B+



SLAC

Measure 8.2.1: Cyber-Security Events are reported and mitigated immediately

- Cyber-security events of interest are addressed upon discovery and, as indicated, are reported to appropriate agencies on a timeline consistent with published guidance.
- Cyber-security events of interest are managed via our trouble ticketing system which facilitates logging and archiving, activity tracking, and workflow assignment. The analysis of each event is chronicled, including its remediation and any “lessons learned,” in the trouble ticketing system.



SLAC

Measure 8.2.2: Performance of network vulnerability scans are performed on a monthly basis or after significant system upgrades/changes. Reports from network system scans shall be submitted on a quarterly basis to the DOE/SSO

- The Vulnerability Management program includes graduated periodic scanning including daily scans, quarterly scans, and “on access” scans for VPN connections.
- The quarterly scanning program was recently expanded to include a more rigorous and comprehensive test set.
- A user initiated scan tool, called Scan-Me, is available to enable end users to check the patch and vulnerability status of their machines at any time.
- An activity report on quarterly scanning is provided to the SSO.



SLAC

Measure 8.2.3: In support of demonstrating an effective Cyber-Security system, SLAC will provide DOE/SSO with a copy of the risk assessment and the current plans for action, study, or inaction in accordance with NIST SP 800-37

- The current Certification and Accreditation (C&A) package, which was submitted to DOE/SSO in Sept. 2006, contains site risk assessment.
- The risk assessment is reviewed as part of the annual required self-assessment, and is expected to be part of the Security Test and Evaluation (ST&E) conducted in June.
- Current plans for action or study are maintained in the quarterly POA&Ms



SLAC

Measure 8.2.4: SLAC maintains all the Plan of Action and Milestones (POA&M) on schedule

- There are currently 10 active POA&Ms, and we are on target for addressing them as indicated on our POA&M sheet, which we share with DOE/SSO quarterly.



SLAC

Measure 8.2.5: SLAC maintains and implements a cyber-security program that informs all users of their Cyber-Security responsibilities. The program will require that each individual user provide written acknowledgement of their individual cyber-security responsibilities

- The CSPP and Cyber Security Program Policies outline the line management roles and responsibilities for cyber security.
- Users and employees sign an acceptable usage agreement referencing computer security policies prior to being assigned a computer user account.
- Lab personnel have also been made aware of and acknowledged their role for appropriate data handling for PII data.
- In addition to the annual ISEMS briefing, a lab wide electronic newsletter and several mailing lists are used for communicating computer security issues to the lab community.



SLAC

THANK YOU



SLAC