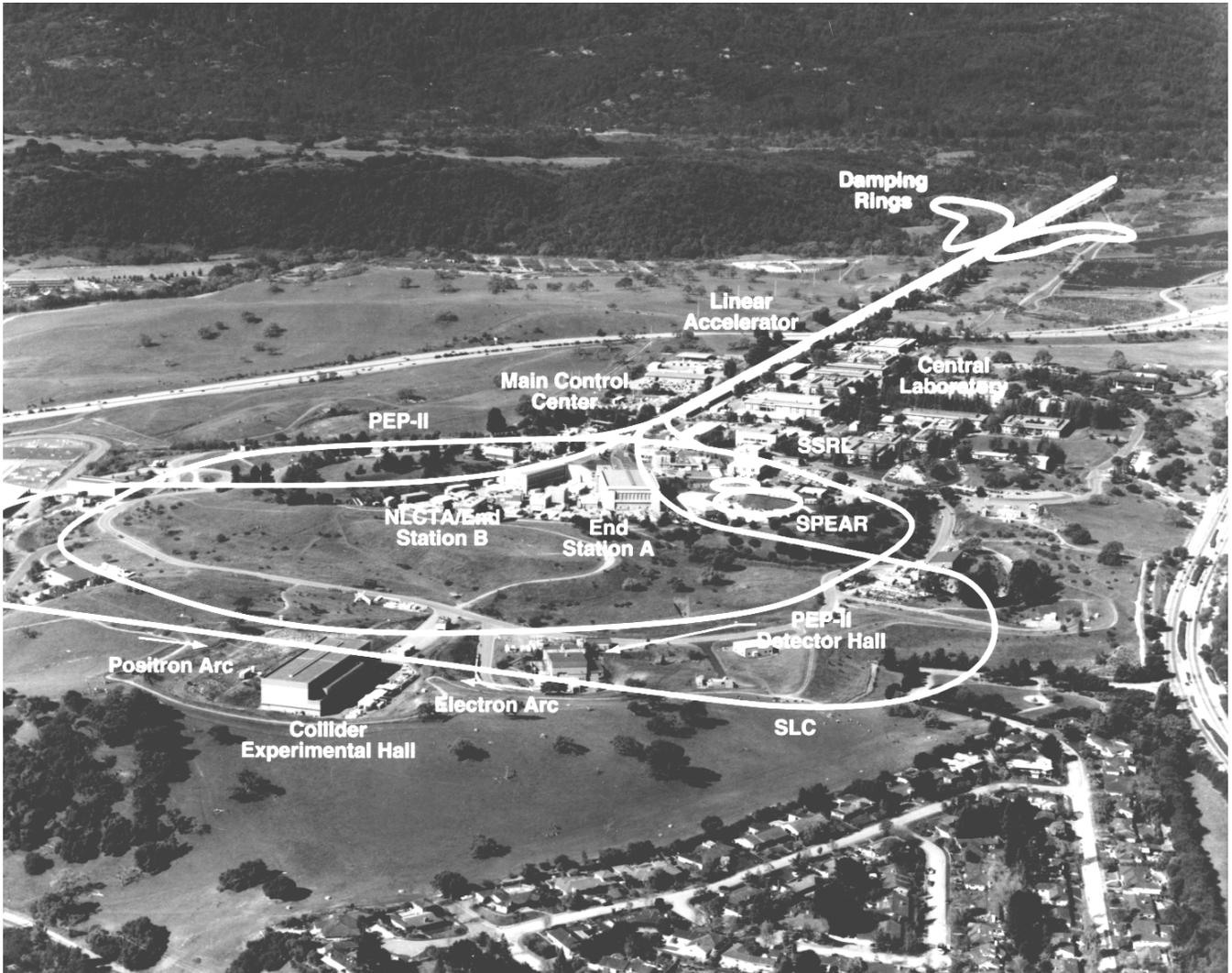


DOE STANFORD SITE OFFICE (SLAC)

STRATEGIC PLAN

Fiscal Years 2001-2003



December 2001

U.S. Department of Energy
Stanford Site Office (SLAC)
Stanford Linear Accelerator Center
2575 Sand Hill Road, MS-8A
Menlo Park, CA 94025

**DOE Stanford Site Office
Strategic Plan
Fiscal Years 2001-2003**

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Message from the Stanford Site Office (SSO) Manager

This Strategic Plan sets forth how the Stanford Site Office will accomplish the mission assigned by the DOE Headquarters Office of Science during Fiscal Years 2002 and 2003. It describes the vision that guides us into the future, and states the values that we expect our leaders and ourselves to exemplify.

This Stanford Site Office (SSO) Strategic Plan cascades from Strategic Plans of Headquarters Office of Science (SC) and Oakland Operations Office (OAK), and sets forth SC Expectations, SSO Objectives and Functional Performance Metrics. SSO's Objectives, Criteria and Measures flow down to all SSO staff, to ensure that all SSO staff work is linked with SC and DOE strategic goals.

SC priority for SSO is the science produced by the Laboratory in High Energy Physics and Synchrotron Radiation research and development. SSO partners with the Laboratory for success in reaching SC objectives, and as stewards of the public trust responsible for oversight of this DOE National User Facility. Performance-based management sets annual objectives, criteria and performance measures for continuous improvement by SLAC and SSO.

SSO responsibilities are grouped by functions assigned to the Stanford Site Office: Science Programs; Project Management; Environment, Safety & Health; Infrastructure Management; and Business Operations. These responsibilities comprise our core business management responsibilities, which must be fulfilled in order for Stanford Linear Accelerator Center (SLAC) and the Office of Science to accomplish DOE's mission.

Each SSO staff member should be thoroughly familiar with this Strategic Plan, and their part in it. SSO's success depends upon our collective commitment to achieving the mission of the Office of Science.

John S. Muhlestein, Director
Stanford Site Office

SSO Reporting Relationship to the Office of Science

In the September 2000 memorandum "DOE Field Office Restructuring," the Deputy Secretary directed the Oakland Operations Office (OAK) to report to the National Nuclear Security Administration (NNSA), and the Stanford and Berkeley Site Offices to report directly to HQ-SC, rather than through OAK. OAK continues to provide SSO and SLAC with essential business, administrative, and operational matrix support in the execution of SC's mission. OAK remains the Head of Contracting Activity for the SLAC Management and Operations Contract.

To ensure seamless transition of OAK services to SC, a Memorandum of Agreement (MOA) was signed between OAK, SC SSO/BSO Site Offices, HQ Defense Programs Office, and the Office of Science. That agreement specifies the range of support that OAK provides to the SC Site Offices, including technical and administrative services. It defines a stronger business management role for the Site Offices, including the placement of a Contracting Officer on the Site Office staff to conduct post-award M&O Contract activities, incl. Cooperative Research and Development Agreements (CRADAs) and Work for Others (WFOs).

This arrangement is working well. SSO has received a continuous level of support since this new reporting relationship has gone into effect. The SSO agreed with OAK on the role of its expanded

business management function, and the Contracting Officer's position has been established. A benefit of the reorganization has been the Site Office's ability to appropriately apply DOE policies and requirements to the execution of our Science programs, particularly in Environment, Safety, and Health (ES&H), and in Security, where there are distinct differences between defense and science work and facilities. More cost-effective and practical solutions are being applied to operational and administrative matters.

SLAC Mission, Core Competencies, Long-Range Plan and Budget (Stanford Linear Accelerator Institutional Plan FY1999-2004, Jan. 5, 2000)

"The Stanford Linear Accelerator Center is the lead Department of Energy Laboratory for electron-based high energy physics. It is dedicated to research in elementary particle physics, accelerator physics, and in allied fields that can make use of its synchrotron radiation facilities—including biology, chemistry, geology, materials science and environmental engineering. Operated on behalf of the DOE by Stanford University, SLAC is a National User Facility serving universities, industry and other research institutions throughout the world. Its mission can be summarized as follows:

- Perform world-class research in high energy physics and using synchrotron radiation;
- Provide accelerators, detectors, instrumentation and support for national and international research programs in elementary particle physics and allied fields that use synchrotron radiation;
- Advance the art of accelerators and related devices through development of sources of high energy particles and synchrotron radiation, plus new techniques for their scientific utilization;
- Advance the critical technologies necessary to maintain its leadership and excellence in particle physics, accelerator physics and synchrotron radiation;
- Transfer practical knowledge and innovative technology to the private sector;
- Contribute to the education of the next generation of scientists and engineers, and to the scientific awareness of the public;
- Achieve and maintain excellence in matters of environmental concern, and provide for the safety and health of its staff and the general public."

"In order to carry out its mission, the Laboratory must have, and indeed does have, great expertise in certain areas (core competencies). To support its accelerator operations and research users effectively, we have developed expertise in several technical areas (supporting expertise):

- High-intensity, high-brightness electron linear accelerators and storage rings;
- High-power pulsed and continuous-wave microwave power sources;
- Fabrication and support of large-scale experimental facilities;
- Charged-particle and X-ray optical systems and detectors;
- High energy physics, condensed matter physics and structural biology."

"Supporting expertise (includes):

- Real-time computing;
- High-speed computing and networking, e.g., World Wide Web;
- Advanced electronics;
- Large-scale ultrahigh vacuum systems;
- Radiation physics and monitoring;
- Polarized and high-brightness electron sources;
- Magnet design and measurement;
- Control and feedback systems;
- Support for worldwide collaborative research and experiments;

- Utilization of expertise at other DOE Laboratories.”

SLAC Long-Range Plan:

Advancement of science and related technologies is one of DOE’s core missions. SLAC, as one of the Laboratories of the Office of Science, advances DOE’s core mission through programs in high energy physics and synchrotron radiation. The alignment of SLAC’s long-range strategic plan with DOE’s mission is kept through periodic reviews of priorities conducted by DOE’s advisory panels: High Energy Physics Advisory Panel (HEPAP); Basic Energy Sciences Advisory Committee (BESAC); and the Biological and Environmental Research Advisory Committee (BERAC). From these reviews, SLAC’s long-range plan envisions (Fig. 1):

In high energy physics, in accord with HEPAP recommendations: exploitation and improvement of the B-Factor (PEP-II Storage Ring and BaBar Detector upgrades); beginning the conceptual design phase of the Next Linear Collider (NLC); continuing Fixed Target experiments in End Station A; conducting the GLAST experiment (Gamma-ray Large Area Space Telescope satellite project), in collaboration with NASA and foreign partners; and, construction of the AstroPhysics and Cosmology Institute, with funding donated to Stanford University by Pehong and Adele Chen.

In synchrotron radiation, in accord with BESAC and BERAC recommendations: upgrade SSRL’s SPEAR Storage Ring (SPEAR3 Project), jointly funded by National Institutes of Health and DOE, with related beamline and instrumentation upgrades; construct the X-ray Free Electron Laser (LCLS) project; and seek funding from a Stanford University donor for an interdisciplinary link to the Bio-X Project on Stanford’s main campus, to be located at SSRL.

Infrastructure projects support SLAC’s high energy physics and synchrotron radiation programs, including: General Plant Projects (GPP); Strategic Facilities Plan; Research Office Building; and User Lodging Facility (for SSRL and SLAC Users, funded by Stanford Univ.).

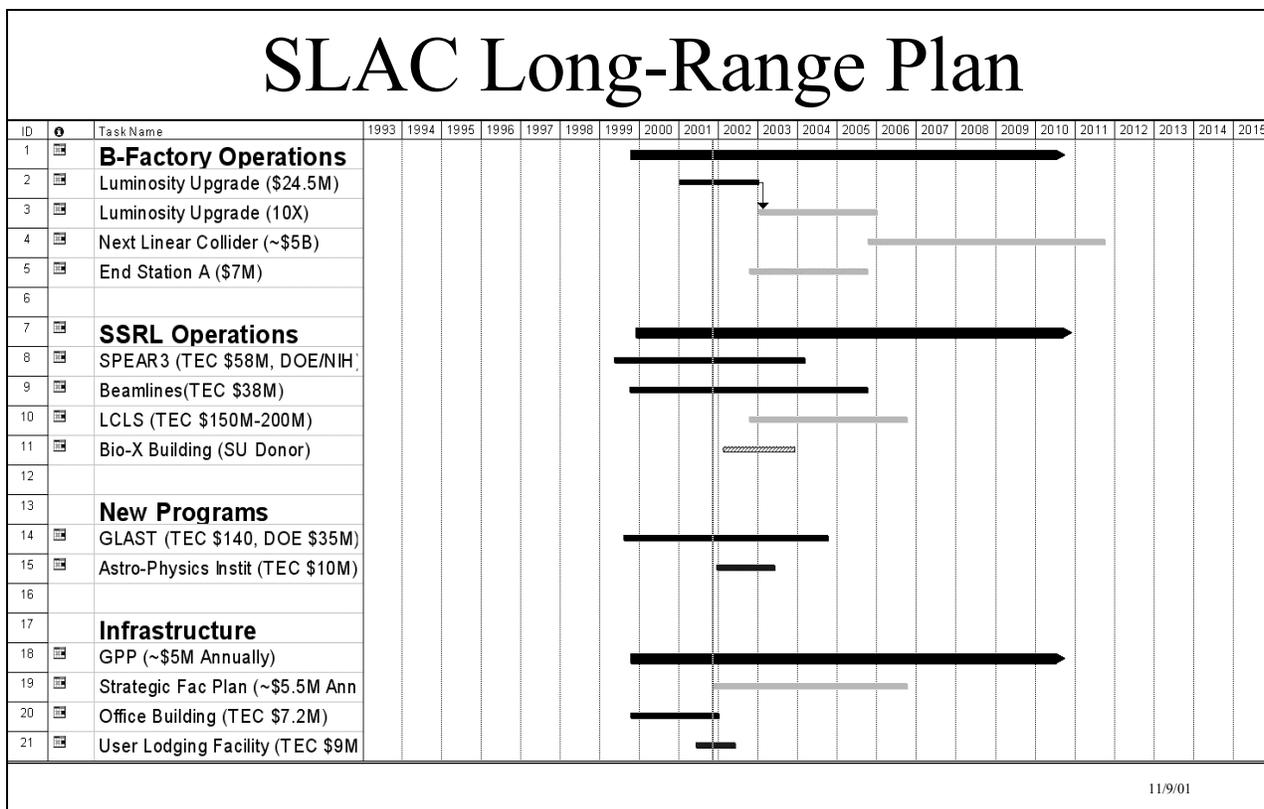


Figure 1. SLAC Long-Range Plan.

SLAC Budget, Staffing and Users:

The SLAC budget (Fig. 2) covers: High Energy Physics Program, incl. B-Factory operations, Fixed Target experiments, Gamma-Ray Large Area Space Telescope (GLAST) with NASA, and Next Linear Collider R&D; and, Synchrotron Radiation research at SSRL (SPEAR operations, SPEAR3 Upgrade Project, and Linac Coherent Light Source or X-ray Free Electron Laser Project). Annual funding is about \$200 million. In 2001, SLAC had more than 1,300 Staff serving 3,300 Users.

SLAC Program/Project Budget, Staff and Users

<u>SLAC</u>	<u>FY 2001 *</u>	<u>FY 2002 **</u>	<u>Staff ***</u>	<u>Users ****</u>
High Energy Physics	\$163 M	\$163.5 M	1,141	1,324
including:				
- GLAST LAT Project	\$ 5.7	\$ 8.1		
- Next Linear Collider R&D	\$ 16.2	\$ 16.2		
- Research Office Building	\$ 5.2	\$ 0		
Synchrotron Radiation (SSRL)			178	1989
Basic Energy Sciences	\$ 34.7 M	\$ 31.6 M		
Biol. & Environmental Res.	\$ 3.9 M	\$ 4.2 M		
including:				
- SPEAR3 Upgrade Project	\$ 10.0 M	\$ 9.0 M		
- LCLS (X-ray FEL) R&D	\$ 1.5 M	\$ 1.5 M		
	-----	-----		
Sub Total:	\$ 38.6 M	\$ 35.8 M		
	=====	=====	=====	=====
Total Lab:	\$201.6 M	\$199.3 M	1,319	3,313

Figure 2. SLAC Program/Budget. Staff and Users.

* Incl. \$2.4 M GSO

** Preliminary

*** FY 2001 FTE; about half of the Laboratory staff are degreed professionals

**** FY 2001

SSO Mission, Vision and Core Values

"The mission of the Office of Science is: to advance basic research and the instruments of science that are foundations for DOE's applied missions, a base for U.S. technology innovation, and a source of remarkable insights into our physical and biological world, and the nature of matter and energy." (Strategic Plan of the Office of Science, June 1999, p. v)

SSO Mission:

The mission of the DOE Stanford Site Office at SLAC is to: provide Field Management and implementation of Programs and Projects assigned by HQ Office of Science (SC); and, provide Institutional Management of SLAC, and the Stanford Synchrotron Radiation Laboratory (SSRL). SSO

provides SC with an on-site presence to: improve operational awareness in program and project management, Environmental Safety and Health (ES&H), and business operations; improve communications with SLAC, regulators and stakeholders; and, facilitate partnering for process improvements and cost efficiencies.

SSO Vision:

The vision of the SSO is to be recognized and valued by its customers and stakeholders within DOE, SLAC, other National Laboratories, User Facilities, contractors, and the public, as an exemplary DOE Site Office providing a reference standard of service and performance in: program and project execution and management; institutional and business management, and environmental, safety, and health protection.

SSO Core Values:

As employees of the Stanford Site Office, we have established the following set of values to guide our behavior. We are committed to practice and maintain these values. Our actions will be consistent with these values, making our office a productive and enjoyable place to work.

- We take pride in serving our customers;
- We value people as our most important asset;
- We strive to improve leadership and management practices;
- We seek to continually improve and promote quality and excellence in our work process and results;
- We value cooperation and collaboration to get the job done.

OAK Goal for Support to SSO & BSO
(Oakland Operations Office Strategic Plan 2001-2002.)

“OAK Goal 2b:

Provide support to Office of Science’s Berkeley Site Office (BSO) and Stanford Site Office (SSO) in their respective line management of the Lawrence Berkeley National Laboratory (LBNL), Stanford Linear Accelerator Center (SLAC), and the DOE Science and Energy programs at the Lawrence Livermore National Laboratory (LLNL), and contracted through OAK with the private sector.”

“OAK Strategy:

Implement the Memorandum of Agreement (MOA) signed in April 2001 between OAK, the DOE Office of Science, and the NNSA Office of Defense Programs regarding OAK’s support to the BSO and SSO.”

”Strategic Indicators:

- Transition contract post-award functions to BSO and SSO, in accordance with the MOA (including WFO and CRADA approvals);
- Establish regular, effective lines of communication with BSO and SSO;
- Complete the transfer of BSO and SSO personnel to the Office of Science;
- Implement procedures for including HQ parent organizations in the Performance-Based Contract Management processes, both for the establishment of POCMs, and assessments of annual performance at LBNL and SLAC
- Execute timely, quality renewals of ... the SLAC contract in FY04, based on HQ extend-compete decisions;
- Survey and evaluate support to BSO and SSO for quality, effectiveness, efficiency, responsiveness, completeness and transparency of support to customers.”

SSO Integration with Office of Science Strategic Plan

Stanford Site Offices strategic Goals and Objectives, below, are a subset of the Office of Science's "Strategic Plan", relevant to the high energy physics mission supported by DOE at Stanford Linear Accelerator Center (SLAC), and the basic, biological, and environmental sciences (BES and BER) mission of SLAC's Stanford Synchrotron Radiation Laboratory (SSRL). Relevance to SLAC's mission is noted in the right column.

NOTE: HQ-SC Goals and Objectives beyond the SLAC-SSRL mission are set off by brackets [].

<u>Office of Science Strategic Goals, Objectives, and Strategies:</u>	<u>SLAC-SSRL Mission</u>
<i>[Goal 1. Fuel the Future]</i>	[beyond SLAC-SSRL mission]
Goal 2. Protect Our Living Planet Energy Impacts on People and the Biosphere	SSRL User Experiments
<i>Objective 1. Sources and Fate of Energy By-products: Improve our scientific understanding of the sources and fate of energy by-products.</i>	
<i>Strategies: Sources and transport in the biosphere/Chemical interactions and transformations.</i>	
<i>Objective 2. Impacts on People and the Environment: Provide a basic understanding of the biology and ecology of energy by-products as they affect humans and the natural world.</i>	
<i>Strategies: Human health impacts and risks/Ecosystem and biological responses/Regional and global consequences</i>	
<i>Objective 3. Prevention and Protection: Create new science-based approaches to minimize energy by-products, and protect the biosphere and human health.</i>	
<i>Strategies: Pollution Minimization/Cleanup and remediation/Carbon sequestration/Health protection and medical research</i>	
Goal 3. Explore Matter and Energy Building Blocks from Atoms to Life	Particle Physics, Astrophysics SSRL User Experiments

"Exploring matter at deeper and deeper levels has resulted in knowledge spanning scales from the molecular, to the atomic, and ultimately, to the subatomic and beyond. Now, experiments in particle, nuclear and astrophysics are providing glimpses into a more complete understanding of what the world is really made of, and how it works. On a larger scale, the constituents of matter and energy are assembled into complex molecular structures, and are organized in the biosphere into the fabric of life. Understanding these complex relationships gives us a considerable advantage in adapting them for effective use.

"The Office of Science has identified three objectives as critical fields for future exploration in understanding the building blocks of all matter and life:

- 1. To apply fundamental physical theories to understanding the most basic components of matter, the elementary particles and the forces through which they interact;*
- 2. To understand the origin and fate of the universe, and the evolution of life, through basic physical theories;*
- 3. To understand and learn to control the ways these simple building blocks can be assembled, or can assemble themselves, into complex systems of great versatility and usefulness." (Strategic Plan of the Office of Science, June 1999, p. 26.)*

"Discoveries in High Energy Physics: The Fermilab Tevatron and the Stanford Linear Accelerator Center's (SLAC) B-Factor offer unique opportunities to make world-leading discoveries in the next five years. The B-Factor may explain why our universe is made of matter instead of antimatter." (Department of Energy, Office of Science, Overview, Priorities, FY2001, p. 2, SC-7)

Objective 1. Components of Matter:

Understand the nature of matter at the most fundamental level.

**B-Factor, NLC
Fixed Target Program
SPEAR2 & SPEAR3**

Strategies: Elementary particles and their interactions/Nuclear matter and interactions/Atoms and molecules/Biomolecular building blocks.

Objective 2. Origin and Fate of the Universe:

Explore the evolution and fate of the universe through the fundamental interactions of energy, matter, time, and space.

GLAST LAT Project

Strategies: Beginning of the cosmos/Creation of nuclei and matter/Evolution of astrophysical structures/Formation of life.

Objective 3. Complex Systems:

Control complex systems of matter, energy, and life.

**SSRL User Experiments
SLAC Accelerator Controls
Automated Experiments
Astrophysics & Cosmology**

Strategies: Complex phenomena/Adaptive systems.

Goal 4. Provide Extraordinary Tools for Extraordinary Science

**SLAC & SSRL
Accelerator Physics &
Beamline Development**

National Assets for Multidisciplinary Research

"Accelerators, light sources,...and advanced computational centers are just some of the major instruments of science that distinguish DOE's capabilities, and enhance the nation's scientific base and infrastructure." "(This) goal...identifies the critically important tools of discovery necessary to achieve the scientific research goals." (Strategic Plan of the Office of Science, June 1999, pp. v, vii.)

Objective 1. Instrumentation for the Frontiers of Science:

B-Factor, GLAST, NLC

SPEAR3, LCLS

Provide leading research facilities and instrumentation to expand the frontiers of the natural sciences.

Strategies: Accelerators and detectors for high-energy and nuclear physics/Light sources and neutron beam facilities/Specialized scientific facilities.

"Our strategies in providing research facilities emphasize accelerators and detectors for high-energy...physics; (and) synchrotron light sources.... Above all, we are committed to maintaining and improving these extraordinary tools, and to ensuring their accessibility and usefulness to the nation's scientific community."

"The future exploration of high-energy physics will require new generations of accelerators. The Office of Science supports further international collaborations for the design of 'the next linear collider,' which will eventually reach a center of mass energy up to 1 TeV. Exploration of other new accelerator concepts is also of value for advances in particle physics.... To overcome future limits, accelerators may make use of lasers, plasmas, and very-high-frequency radio sources to accelerate charged particles.... Exquisitely crafted particle detectors reveal the new phenomena created at accelerators, detecting and reconstructing the particle trajectories that provide evidence of collision events."

"Synchrotron light...facilities help improve our understanding of the natural world through their interactions with bulk material and molecules, atoms, and ions. They probe the structure of materials and living systems at atomic and molecular levels or larger, revealing countless mysteries of how things work.... Synchrotron radiation provides an intense source of tunable light over a broad range...from the infrared to the hard x-ray. So great is the scientific interest that the available beams at Stanford Synchrotron Radiation Laboratory (SSRL), the National Synchrotron Light Source at Brookhaven, the Advanced Light Source at Berkeley, and the Advanced Photon Source at Argonne have all been oversubscribed. To add more beamlines and end stations, and improve temporal and spatial resolution and signal strength, the Office of Science will improve its existing synchrotrons, and study the building of even more advanced machines."

"Biological and environmental research is conducted at dedicated beamlines and equipment stations at synchrotron light...sources. Structural biology research facilities investigate protein structure at sub-angstrom scale." (Strategic Plan of the Office of Science, June 1999, pp. 40-42, 45.)

Objective 2. Scientific Simulation: **SLAC-SSRL Computing**
Advance computation and simulation as critical tools for scientific discovery.

Strategies: Science applications software/Ultra-high performance computation and communications facilities/Computer science and enabling technologies.

Objective 3. Institutional Capacity: **SLAC-SSRL**
Strengthen the nation's institutional and human resources for basic science and multidisciplinary research.

"The Office of Science bears a fundamental responsibility to maintain the nation's foremost research facilities and programs in many fields; to train and support the next generation of the nation's scientists and engineers; to educate its sponsors and the general public about the many aspects of energy that touch all our lives; and, to cooperate with other agencies, universities, and private industry to sustain scientific and technological progress. Our strategies for meeting this objective focus on the national laboratory system; on disciplines, such as high-energy...physics, that are essential to the DOE mission; and, on science education.

"National Laboratories supported by the Office of Science (like SLAC-SSRL) conduct fundamental research and development, often requiring years of sustained effort by multidisciplinary teams. They design, construct, and operate the most powerful and specialized scientific facilities of our time, facilities that offer solutions to mysteries across a range of disciplines. In no other setting do researchers have access to technology so sophisticated. Capabilities of instrumentation not only serve the objectives of DOE, but they also provide...the detector systems and instruments deployed by other agencies, including NASA, the National Institutes of Health, and the National Science Foundation."

"Science Education: Every year many hundreds of graduate students complete their degrees at national laboratories and user facilities, and hundreds more do their first independent research as postdoctoral fellows at these facilities. Hands-on experience at the national laboratories has inspired tens of thousands of undergraduates to continue their academic majors in science and engineering..."

"Additionally, we will encourage small businesses to provide innovative technologies to federal research and development programs through grants, awards, and collaborations in a wide variety of fields including accelerator science,...biotechnology, and computer science." (Strategic Plan of the Office of Science, June 1999, pp. 48-50.)

Strategies: National Laboratory System/Disciplines essential to our missions/Science education/Broadening the scope of research performers.

Goal 5. Manage as Stewards of the Public Trust **SLAC (SSO & OAK)**
Scientific and Operational Excellence

Objective 1. Scientific Excellence and Mission Relevance: Pursue the highest standards of scientific excellence and relevance.

Strategies: Peer review and merit evaluation/Scientific advice and planning/Research coordination and partnership/Culture for creativity.

Objective 2. Protect Workers, the Public, and the Environment: **SLAC (SSO & OAK)**
Distinguish our facilities and operations as models of **Integrated Safety Management**
safety, health, and environmental protection.

"Our strategies for achieving this objective include (1) the pervasive application of Integrated Safety Management Systems, and (2) a commitment to fostering communications and good relations with communities that have a stake in our work."

"Integrated Safety Management: Science often involves working at extreme energies and pressures, with dangerous processes and materials. It is imperative that the Office of Science integrate health, safety, and environmental protections into its operations, to ensure the safety of those who conduct the work, the well-being of local communities, and the protection of the environment. The Office of Science has adopted Integrated Safety Management Systems as its underlying strategy and policy framework, systematically building safety measures into all research programs, from initial planning through execution. The strategy is integrated into individual responsibilities at all levels of every program, facility, and institution supported by the Office of Science. The Office insists that its scientists match the creativity to pursue science with the discipline to ensure safety and protect the environment. Research funds will be applied as necessary to ensure that all activities are conducted safely, and in an environmentally conscientious manner, and that researchers take up lessons learned and best practices from throughout the scientific community.

"Communications and community relations: Office of Science officials, and laboratory and facility managers, need to communicate their plans, expectations, disappointments, and successes to their own personnel, to local communities and industry partners, and to state and national representatives. Our strategy is to build constructive relationships and strengthen communication with local community members, to learn their concerns, inform them of the changes taking place at our facilities, and develop cooperative solutions to problems. " (Strategic Plan of the Office of Science, June 1999, p. 55.)

Strategies: Integrated Safety Management/Communications and community relations.

Objective 3. Management Effectiveness and Efficiency: **SLAC, SSRL, SSO, OAK**
Manage our operations and human resources for high performance and efficiency.

"The Office of Science supports the principle of performance measurement as the critical strategy for managing its programs and research performers.... For basic research, quality, relevance, and leadership continue to be the primary assessment criteria, and expert review the primary assessment method. The Office of Science will also assess the stewardship of its researchers, institutions, user facilities, and program management through peer review, quantitative indicators, customer evaluation, and stakeholder input.... The Office of Science, dedicated to efficient and responsible operations, has realigned its field reporting structure, and is working with its field offices and laboratories to deliver more cost-effective management." (Strategic Plan of the Office of Science, June 1999, p. 56.)

Strategies: Performance-based management/Streamlined operations/Award-winning construction management practices/Trained and effective work force.

SSO Organization and Functions

The Stanford Site Office provides programmatic, operations, project management, technical, and business services to support the needs and expectations of Office of Science in the Laboratory's

achievement of world-class science. Objectives for SLAC and SSO are set by Performance-Based Management (PBM) and priorities established by the Office of Science. SSO provides a critical link between HQ-SC, SLAC, and OAK by maintaining a broad range of interfaces throughout the SC line organization, within SLAC-SSRL, and across the OAK matrix Divisions supporting SC, SSO and SLAC. SSO is committed to adding value by constructively determining effective and efficient ways to successfully achieve the overall DOE mission, objectives, and expectations, while ensuring a safe and secure work environment.

SSO ORGANIZATION

SSO provides Field Management and execution of Office of Science programs and projects, and Institutional Management of SLAC and SSRL. SSO provides HQ-SC with an on-site presence for operational awareness of: Operations, incl. ES&H and Infrastructure; Programs and Projects assigned to SSO; and, Business Management, incl. post-award Contract Management of the DOE-Stanford Univ.-SLAC Management and Operations (M&O) Contract. The SSO Organization consists of the Director and 8 staff (Fig. 3). SSO relies upon OAK for matrix support in functional areas, which include: contract management, budget, finance and accounting, ES&H, environmental restoration, legal, personnel, public affairs, security, information management, property management, and business evaluation/audit.

In accomplishing DOE’s science and technology mission, SSO serves as an integrator and a conduit for interactions (guidance, direction, responses to formal requests, contract negotiations, etc.) between HQ-SC, SLAC, and Stanford University. In accomplishing its mission, SSO interacts with HQ, Oakland, other Operations offices, other Federal, state, county, and local agencies (including regulators), and the public (including nearby residents). These interactions comprise information exchange, meetings, correspondence, reviews, and negotiations.

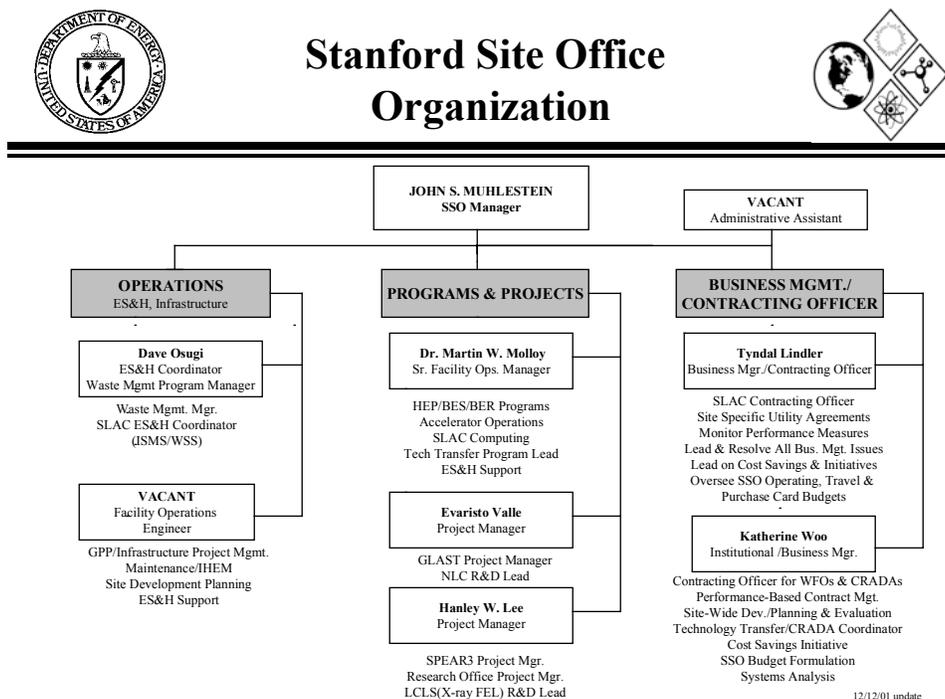


Figure 3. Stanford Site Office Organization

SSO FUNCTIONS

Stanford Site Office (SSO) functions are grouped under: Program/Project Execution; Operations/Environment, Safety and Health; Business/Institutional Management; and, Site Management (Fig. 4).

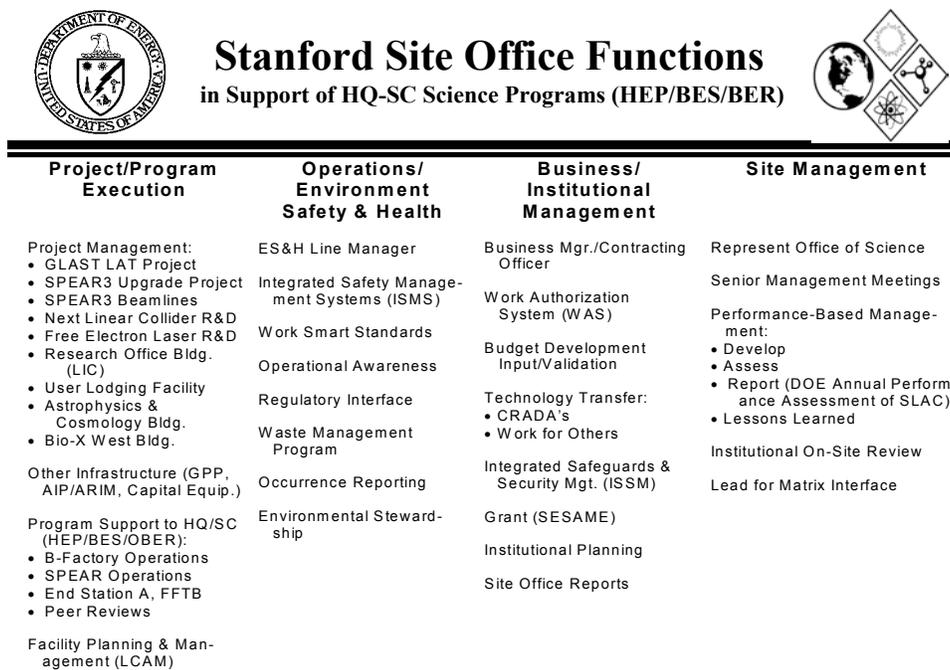


Figure 4. Stanford Site Office Functions in support of HQ-SC Science Programs (HEP/BES/BER) at SLAC.

SSO PROJECT MANAGEMENT FUNCTIONS

HQ-SC delegates to Stanford Site Office the management of HEP and BES projects being conducted at SLAC. SSO supports SC and SLAC during the pre-project R&D phase, preparing the justification for HQ-SC's Critical Decision (CD) approving mission need, which formally initiates the Project Planning phase (CD-0). For projects assigned by the Office of Science, SSO's Project Manager supports SLAC in preparation of the Conceptual Design Report, and the Laboratory's External Independent Review. SSO conducts the Project NEPA Review, and prepares the required NEPA documentation with SLAC support. SSO supports SC in the Project Validation Review, and preparation of the Preliminary Project Baseline, for SC Critical Decision 1 (CD-1).

During the Project Execution phase, SSO supports SLAC in developing the Project Performance Baseline, for approval by SC (CD-2). Following SC approval to Start Construction (CD-3), SSO's Project Manager works closely with SLAC on Project Reports, Procurement Plans, subcontract approvals and public affairs, and supports SC during ongoing Project Reviews of Cost, Schedule and Control. The Project Manager leads Operational Awareness of the Project at the SLAC site, including ES&H, and OSHA Construction Safety inspections.

In preparation for SC's approval of Start of Operations (CD-4), which successfully completes the project construction phase (e.g. commissioning, building occupancy), SSO's Project Manager leads Project Readiness Reviews (accelerator Operational Readiness, construction punch lists, etc.). Following SC's

approval of CD-4, SSO’s Project Manager closes the Project books with OAK and SLAC Financial Officers, prepares Project Lessons Learned for the DOE complex, and completes the Project Close-Out Report, as shown in Figure 5.

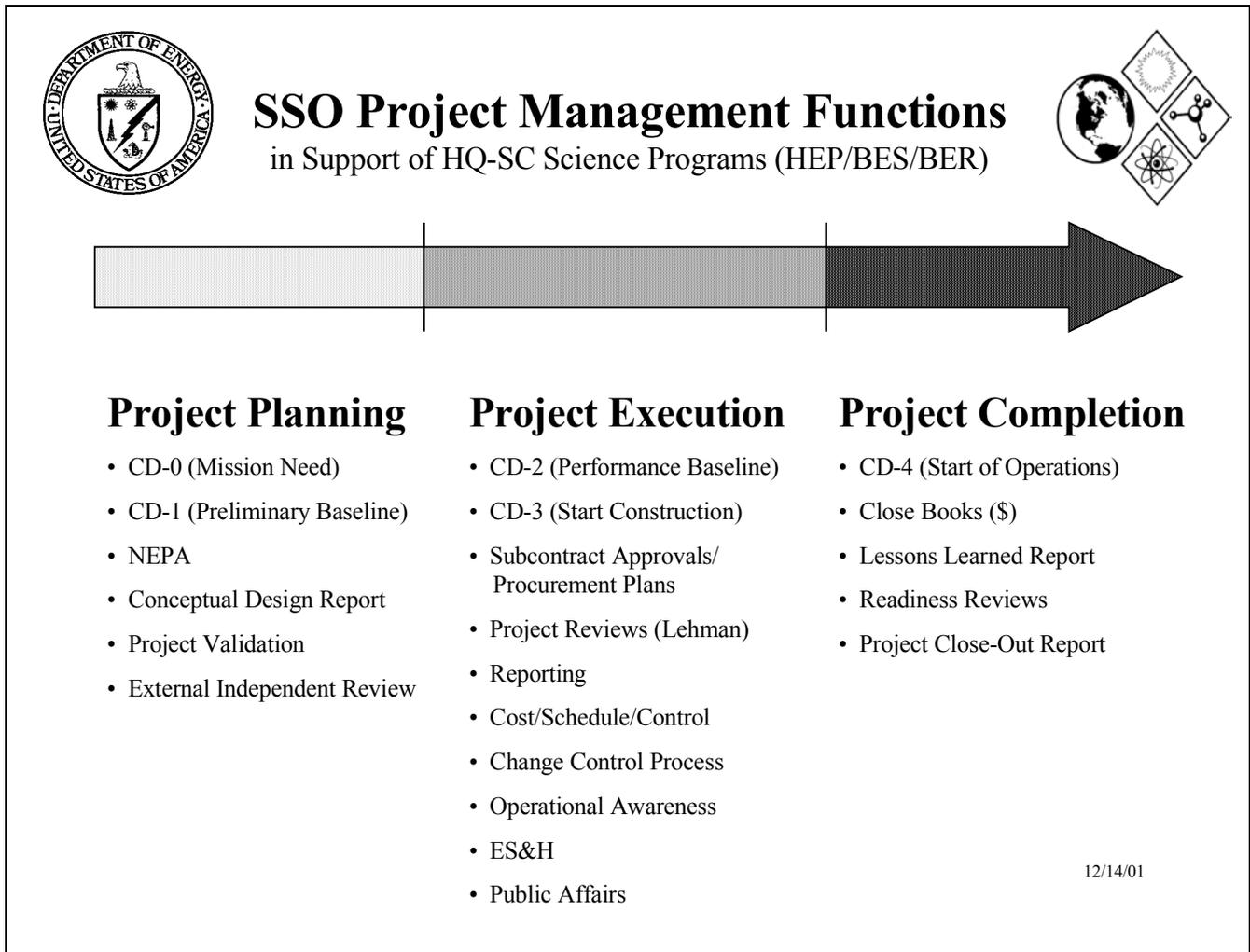


Figure 5. SSO Project Management Functions in support of HQ-SC Science Programs (HEP/BES/BER) at SLAC.

OAK MATRIX SUPPORT TO SC, SSO AND SLAC

Oakland Operations Office supports SC, SLAC and SSO, under the Memorandum of Agreement, with Subject Matter Experts (ES&H) and specialists in essential functions required to manage the SLAC M&O Contract (Fig. 6).



Oakland Matrix Support to SC, SSO and SLAC



- | | |
|--|---------------------------------------|
| • Contract Management | • Public Affairs |
| • Finance and Accounting | • Security |
| • Budget | • Information Management |
| • ES&H Subject Matter Experts | • Engineering and Facility Management |
| • Personnel | • Legal |
| • Environmental Restoration and Waste Minimization | • Property Management |
| • Waste Management Support | • Business Evaluation/Audit |

11/13/01

Figure 6. Oakland Matrix Support to SSO.

OAK Matrix Support for SC and SSO Business Operations at SLAC:

- **Procurement:** Timely administration of the contracts, including purchasing system approval, allowability of cost determinations, and fee determinations. Manages the Performance-Based Management Program for the Department. Timely processing of actions for CRADAs, WFO and contract funding modifications. Preparation for Extend/Compete of SLAC's M&O Contract.
- **Finance:** Maintain integrated financial accounts, perform monthly and annual closing and prepare timely financial reports. Provide reliable financial advice and guidance in accordance with federal laws, Departmental requirements, and sound business principles. Validate contractor obligations and prepare timely updates of the Automated Standard Application for Payment.
- **Budget:** Expeditiously provide funds to the laboratories. Process a minimum of one contract funding modification per month for SLAC. Coordinate funding sources for special projects and needs. Monitor financial integrity of the laboratories and identify funding issues in a timely manner to OAK and Laboratory management for resolution.
- **Business Evaluation:** Perform annual certification of LDRD funds accumulation process. Perform annual certification of internal controls. Perform timely review and approval of indirect cost rates, settlements, special allocations, disclosure statements and accounting change proposals.
- **Information Management:** Provide oversight and continuity in the management of information, a corporate resource to improve the quality of its products; to add value to scientific programs and customer services; and as a tool improve its work processes. Provide documentation of SLAC's early web presence, in anticipation of the tenth anniversary of the first U.S. Web site. Undertake Part I of the Program Review Committee recommended for Collection Review.
- **Industrial Relations/Human Resources:** Ensure performance measures for contractor human resources reflect DOE priorities in recruitment/retention, diversity, training, and workforce planning. Ensure compensation programs maintain alignment to appropriate markets using "industry best-practices" strategies. Support SSO training, staffing & succession planning (Business Mgr./CO; Infrastructure/ES&H FOE; Administrative Assistant).
- **Property:** Perform assessment and approval of the Laboratory property management system.

- **Legal:** Provide timely review of legal matters as required by law, regulation and order and timely support of litigation involving SC program activities. (E.g. NEPA reviews, WFO agreements, CRADAs, environmental compliance, leasing and real property matters, etc.)
- **Public Affairs:** Provide timely guidance and support to Laboratory public affairs counterparts developing and implementing policies and procedures for communications with stakeholders and the media.

Office of Science Expectations of SSO (Operational Accountability)

Science Programs incl. Accelerator Operations, and Leadership:

HQ Office of Science defines Operational Accountability as the utilization of agreed to performance-based expectations, whereby SC can evaluate field contributions to the SC mission (i.e. value-added to customers), and provide feedback for continuous improvement. The purpose of Operational Accountability is the alignment of field contributions with the SC mission.

SC Expectations:

Implement HQ-SC program policy and direction at SLAC.

Support SC and SLAC in achieving outstanding science and leading-edge technologies critical to SC's mission and the Nation:

- *Provide Field Management & Implementation of SC programs/projects;*
- *Provide Institutional Management of SLAC, incl. SSRL;*
- *Program Support to HQ-SC (HEP/BES/OBER), B-Factory, and SPEAR Operations;*
- *Participate in SC Annual Program Reviews/Project Reviews;*
- *Lead DOE Annual Performance Assessment of SLAC;*
- *Conduct SC On-Site Institutional Planning Review; and,*
- *Line Management of ES&H at SLAC.*

Ensure excellence, relevance and stewardship in the conduct of all aspects of SC's mission:

- *Effective interactions with Directors/Manager and ADs at SLAC, OAK, HQ-SC (Summit Mtgs., Program & Project Reviews);*
- *Overall Management of the Performance Based M&O Contract at SLAC; and,*
- *Initiation of third party (Donor, Stanford) buildings, incl. DOE Under Secretary approval (User Lodging, AstroPhysics, Bio-X).*

Project Management, incl. Third Party Financing:

SC Expectations:

Execute Federal Project Management on behalf of the Office of Science, to assure that assigned projects are successful.

Assigned projects are managed in accordance with Project Execution Plans, meeting technical, cost, and schedule objectives:

SSO Project Management:

Linac Coherent Light Source Project (TEC \$165M-225M, Start FY03, Complete FY06);

SPEAR3 Upgrade Project (TEC \$58M, Start FY99, Complete FY04);

GLAST/Large Area Telescope (LAT) Project (TEC-DOE \$ 35M/TEC \$ 158.2M, Start FY00, Complete FY05); and,

Research Office Building (TEC \$7.2M, Start FY00, Complete FY02).

Third Party Financed Projects:

User Lodging Facility (Stanford University, \$10 M);
Astrophysics and Cosmology Institute (Pehong and Adele Chen, \$15M);
Bio-X West Building at SSRL (proposed for Stanford University donor);
XLAM (proposed X-ray Laboratory for Advanced Materials above SPEAR3 beamline).

Environment, Safety and Health, incl. OAK ES&H Support:SC Expectations:

Execute ES&H line management responsibilities through ongoing evaluation of the effectiveness of Integrated Safety Management (ISM) implementation, Operational Awareness of site activities, and Self-Assessment for continuous improvement.

Infrastructure Management, incl. Electric Power:SC Expectations:

Maintain SLAC Infrastructure to support operations in a safe, environmentally responsible, and cost-effective manner:

- *SLAC Infrastructure Plan (5-yr./\$50 M): Routine (GPP & Ops.); Revitalization (VVS, switchgear, etc.); and Seismic Upgrades; and,*
- *General Plant Projects (GPP): most effective use of limited funds; no overruns.*

Continue to monitor the evolving CA power situation, and act on behalf of DOE and its Labs in the best interests of SC programs and projects.

Business Operations and Institutional Planning, incl. OAK Support:SC Expectations for SSO:

Implement efficient and effective corporate management systems to guide decision-making, streamline operations, reduce costs, and improve delivery of results.

Enhance Security at SLAC: regulations/badging, CyberSecurity, Integrated S&S Management approach.

SC Expectations for OAK Support:

OAK's Matrix will perform the Appendix B duties at SLAC in a timely manner producing quality products. Expectations will be developed with the Site Offices, SC, and functional HQ organizations as appropriate. Goals and measures will be developed using established processes with laboratory managers. OAK functional managers will perform oversight using the most efficient and economical means available. Performance assessment results will be provided in a timely manner to the Site Managers.

Functional Performance Metrics (OAK-SLAC Matrix):

Assist in the implementation of the Business Management Information System (BMIS) Phoenix and conversion to Government-wide Standard Ledger. Oversees implementation of WFO Safeguards and Security rate. Support special projects such as leases and third party construction. Address overhead review issues, proposed allocation process changes and disposition of variances. Review CAS compliance. Ensure records are identified and retained for studies and court actions. Prepare for Extend/Compete for SLAC M&O Contract (2004-2008).

Community/Stakeholder Relations:*SC Expectations:*

Encourage and support SLAC's efforts to be a good neighbor.

Work with HQ, SLAC, OAK, regulators, and neighbors in an open, frank, and constructive manner.

- *Effective communication of DOE-SLAC accomplishments to press and community; and,*
- *Customer Satisfaction.*

Summary of Major Services

SSO is the DOE Contracting Officer (CO) for post-award actions on the SLAC M&O Contract. SSO is responsible for SLAC facilities, and the efficient and effective execution of SLAC programs and projects. Services performed by SSO to ensure that the missions of SC, SLAC, and SSO are achieved, include:

- 1) Support the SC Science Program execution at SLAC;
- 2) Lead DOE's Annual Performance-Based Management Assessment of SLAC;
- 3) Serve as the DOE/SLAC Contracting Officer for post-award actions, as defined in the April 2001 MOA, incl. CRADAs and WFOs;
- 4) Provide line management oversight and validation of the SLAC ES&H Integrated Safety Management Program;
- 5) Evaluate SLAC performance and provide feedback, and, when necessary, provide direction to SLAC and Stanford University;
- 6) Maintain effective working relationships and communication with DOE-HQ, DOE Oakland, SLAC, Stanford University, and appropriate federal, state, county, and local agencies, including regulators;
- 7) Serve as the facility owner, and provide DOE line management oversight for SLAC facilities and activities;
- 8) Approve SLAC's budget through financial modifications to the contract;
- 9) Perform government administrative and business management functions;
- 10) Determine applicability of DOE policies and issue direction/guidance;
- 11) Perform infrastructure, project, and facilities Line management oversight (including planning and implementation);
- 12) Integrate competing or conflicting interests, programs, and requirements;
- 13) Conduct community stakeholder and media relations;
- 14) Develop appropriate tools and techniques (e.g. standard operating procedures) to successfully accomplish assigned mission elements.

The SSO Manager is ultimately responsible and accountable for the successful performance of all SSO responsibilities, functions, objectives, and mission. From a practical standpoint, the above services and responsibilities are assigned to individual SSO staff, all of whom have multiple assignments, with significant support from the OAK-SLAC Matrix, in accordance with the April 2001 MOA.

FY 2002 Performance Commitments

For FY-02, the Management of the Office of Science has selected strategic priorities that focus the SSO and OAK operations and serve as a foundation upon which this Operational Accountability Plan is built. The Plan is used to guide the development of individual SSO and OAK staff Performance Plans and expectations for FY-02. The following information includes both the FY-02 priorities, and the SSO and OAK activities that support those priorities:

Objective SSO-1: PROJECTS

Performance Objective 1 Project Management

Performance Criteria 1.1: Project Performance

Execute Federal Project Management on behalf of the Office of Science to assure that assigned projects are successful. Assigned projects (Line item projects or projects designated by SC) are managed in accordance with Project Execution Plans, meeting technical, cost and schedule objectives.

Performance Assumptions:

Critical Decision (CD) milestones are determined and approved in the Project Execution Plan (PEP). Changes to the milestones are approved using the Change Control Process outlined in the PEP. CD pre-requisites are based on the requirements in DOE O 413.3, *“Program and Project Management for the Acquisition of Capital Assets”*, unless otherwise noted.

Performance Measure 1.1a:

Assure Critical Decision Pre-requisites are completed to support approval of scheduled critical decisions for the Linac Coherent Light Source (LCLS). (TEC = \$165M-\$225M)

In FY02, the LCLS project will seek approval for Critical Decision 1. CD-1 will establish the project’s preliminary baseline estimate via the development of a Conceptual Design Report (CDR). The CDR will contain the preliminary baseline for technical scope, cost, and schedule.

The principal products from the SSO FPM are:

- Review and comment on the Conceptual Design Report, 2/02
- Drafting of an Acquisition Plan, 4/02
- Drafting of the Project Execution Plan, 12/01
- Manage and coordinate the Independent Project Review, 4/02
- Manage and coordinate the CD–1 review and document preparation, 5/02

The SSO FPM will start, at this phase, the issuance of monthly and quarterly project reports; lead quarterly project reviews and evaluate project progress against the preliminary baseline. The SSO FPM will continue to prepare the annual Project Validation Report and OMB A-11 Report.

Performance Measure 1.1b:

Assure Critical Decision Pre-requisites are completed to support approval of scheduled critical decisions for the SPEAR3 Upgrade Project. (TEC = \$58M) The SPEAR3 project received approval of CD-3 prior to issuance of DOE O 413.3. There are no critical decision approval in FY02, however the SSO FPM will continue to issue quarterly project reports; lead quarterly project reviews and evaluate project progress against the performance baseline. The SSO FPM will continue to prepare the annual Project Validation Report and OMB A-11 Report. The SSO FPM will manage and support the Independent Project Review in February 2002.

Performance Measure 1.1c:

Assure Critical Decision Prerequisites are completed to support approval of scheduled critical decisions for the Research Office Building (ROB; TEC = \$7.2M). The ROB project received approval of CD-2 prior to issuance of DOE O 413.3.

In FY02, the ROB project will complete construction and seek CD-4 approval (start operations). The SSO FPM will complete the following to support CD-4 approval:

- Conduct a ES&H inspection of the ROB utilizing appropriate subject matter experts from OAK, 11/01;
- Participate in the punch list inspection with SLAC and OAK subject matter experts and develop a final punch list, 12/01;
- Evaluate correction of punch list items, 1/02
- Prepare and coordinate CD-4 documentation for approval, 1/02.

The SSO FPM will continue to issue quarterly project reports; lead quarterly project reviews and evaluate project progress against the performance baseline.

Performance Measure: 1.1d

Assure Critical Decision Pre-requisites are completed in order to support approval of scheduled critical decisions for the GLAST Large Area Telescope (LAT) (DOE-TEC = \$35M, TEC = \$160M) The LAT project received approval of CD-0 on June 2000.

<u>Critical Decision/Pre-requisites</u>	<u>Completion Date</u>
CD-1 (Preliminary Baseline Range)	January 2002
<ul style="list-style-type: none"> • Quarterly Project Reporting (20th business day after end of each quarter) • Draft PEP • Preliminary Hazard Analysis Report • Project Acquisition Plan • Conceptual Design Report • Independent Project Review 	December 2001 December 2001 December 2001 April 2000 January 2002
CD-2 (Performance Baseline)	August 2002
<ul style="list-style-type: none"> • Quarterly Project Reporting (20th business day after end of each quarter) • Final PEP • NEPA Documentation 	May 2002 May 2002

- Performance Baseline
 - Independent Project Review
- CD-3 (Start Construction)
- Quarterly Project Reporting (20th business day after end of each quarter)
 - Update PEP and Performance Baseline.

January 2002

June 2002

August 2002

Performance Measure: 1.1e

Assure Critical Decision Pre-requisites are completed in order to support approval of scheduled critical decisions for the Next Linear Collider (NLC), TEC range approximately \$5 Billion. The NLC project received approval of CD-0 prior to issuance of DOE Order 413.3. This project is in the Research and Development Phase, leading to requesting approval for start of Conceptual Design Report. The performance measure consists of providing project management support to SC-20 via technical progress reports.

Critical Decision/Pre-requisites

CD-0 (Mission Need)

Completion Date

TBD

Objective SSO-2: THIRD PARTY FINANCING**Performance Objective 1 Third Party Financing****Performance Criteria: 1.1**

Support SLAC external opportunities, such as the User Lodging Facility and the Particle Astrophysics Institute, by identifying and resolving DOE constructing, operating and resource issues in a timely manner. Ensure DOE interests are not compromised in support of external opportunities at SLAC. Execute DOE line management responsibilities as it relates to these opportunities.

Performance Assumptions:

The SSO is not responsible for the conduct and coordination of the external opportunities at SLAC. The SSO will ensure the projects are executed in a safe and environmentally sound manner and that DOE ES&H requirements are met. The SSO will ensure the requirements of the Memorandum of Agreement in the SLAC contract is adhered to. This measure will be used for all external opportunities at SLAC. Milestone dates will be developed when the facility schedule is finalized.

Performance Measure: 1.1a

Support SLAC by identifying and fulfilling DOE requirements during the life of the project and operations. Ensure DOE interests are not compromised. The SSO will:

- Draft and coordinate DOE approval for constructing facilities on DOE leasehold.
- Draft and negotiate Memorandum of Agreement of roles, responsibilities, and liabilities regarding the proposed facility.
- Resolve funding requirements for facility operations and maintenance.
- Implement a contract modification incorporating MOA and funding requirements.
- Prepare and coordinate NEPA determination.

- Conduct ES&H oversight during construction and operations.

Objective: SSO-3 ANNUAL PERFORMANCE ASSESSMENT OF SLAC

Performance Objective: 1

Lead DOE Annual Performance Based Management Assessment of SLAC.

Performance Criteria: 1.1

Annual Assessment Report is measured for timeliness and form.

Performance Assumptions:

The Annual Performance Assessment is coordinated between the Oakland Office and the Office of Science (SC). Functional Manager provide review and validation of SLAC's Self Assessment and their Annual Operational Awareness. This effort also includes a summary presentation to the Performance Review Board (PRB). SSO will produce the Assessment Management Plan Report based on Appendix B in the contract.

Performance Measure: 1.1a

Evaluation submission meets due dates.

	<u>Due Date</u>
FY2002 POCM Mod sent to Stanford for execution	09/3/2001
SSO send call for FY2001 S&T Program/Project Annual Assessment Evaluation to DOE-HQ/SC	10/26/2001
Copies of SLAC Self Assessment report to FM's/S&T Summary to HQ/SC HEP & BES	11/2/2001
Printed Final FY2001 Annual Assessment Report	2/28/2001

Objective SSO-4: ES&H LINE MANAGEMENT OVERSIGHT

Performance Objective: 1

Execute SSO ES&H line management responsibilities through evaluation of the effectiveness of Integrated Safety Management Systems (ISMS) implementation, ongoing Operational Awareness of site activities and feedback for continuous improvement.

Performance Criteria 1.1:

Execute SSO ES&H line management oversight responsibilities through implementation of ongoing operational awareness activities.

Performance Measure 1.1a

Validate completion of the following SLAC Site-wide Corrective Actions (dated Nov. 7, 2001) from Building 33 (GLAST Clean Room) Stop Activity, related to:

- 1) effectiveness of site-wide implementation of Stop Activity/Stop Work authority;
- 2) adequacy of overall SLAC subcontractor oversight program; and,
- 3) adequacy of current SLAC contractor pre-qualification requirements and safety documentation, prior to contract award.

SSO staff and OAK Subject matter experts complete and document in operational awareness electronic database observations and findings, from Walkthroughs of at least 50% of the designated low-hazard facilities.

Performance Criteria 1.2:

Continue to assess effectiveness of SLAC's implementation of ISMS in work planning and execution.

Performance Measure 1.2a

Complete four (4) quarterly ISMS reviews of the effectiveness of ISMS implementation (process measure).

Performance Criteria 1.3:

Provide ongoing feedback to SLAC to ensure continuous improvements of Laboratory's safety management system.

Performance Measure 1.3a

Attend at least 80% of monthly and weekly management meetings with SLAC Director and SLAC ES&H Division Associate Director, respectively, and 80% of scheduled walkthroughs with SLAC Associate Directors.

Objective SSO-5: INFRASTRUCTURE**Performance Objective 1: Federal Facilities Management****Performance Criteria 1.1: Performance Measures****Performance Measure 1.1a**

Performance Measures will be formally included in the SLAC contract for Comprehensive Planning, Real Estate Management, Project Management, Maintenance Management, Energy Management and Utilities. These Performance Measures will be reviewed and revised as necessary on an annual basis.

Performance Criteria 1.2: Performance Plans (plans, lists and Milestones)**Performance Measure 1.2**

Performance Plans required by contract Performance Objective Criteria Measure will be jointly developed and agreed upon by the appropriate Federal Facilities Functional Manager and the SLAC Contractor within the 1st month of the appraisal (fiscal) year.

Performance Criteria 1.3: SLAC contractor performance evaluation**Performance Measure 1.3a**

Federal Facilities Functional Managers shall evaluate SLAC Contractor performance and prepare a formal documented assessment annually. The assessment shall be conducted in accordance with DOE Stanford Site Office Assessment Management Plan and the Partnering Agreement between the SLAC Contractor and Federal Facilities Functional Managers.

Objective SSO-6: BUSINESS**Performance Objective 1: Extend/Compete to Stanford Linear Accelerator Center (SLAC) Contract****Performance Criteria: 1.1**

Begin preparation of the extend/compete package through Oakland Operations Office to anticipate for the FY04 when contract expires.

Performance Measure: 1.1a

Coordinate and schedule meetings as necessary through Oakland Operations Office to begin the initial preparation of the extend/compete package.

Performance Objective 2: Transfer Contracting Authority (MOA) dated 4/01.**Performance Criteria 2.1**

The DOE Site Office at the Stanford Linear Accelerator Center (SLAC) report directly to HQ-SC; OE contracting officers will be assigned to the Stanford Site Office (SSO).

Performance Measure 2.1a

Assure continuity of support for the SC mission executed through OAK.

Performance Objective 3: The Oakland Office will provide support to the DOE Site Office from the Office of Science (SC) at the Stanford Site Office (SSO) per MOA dated 4/01.

Performance Criteria: 3.1

The MOA will be executed between SC, OAK, and DP to assure continuity of support for the SC mission executed through Oakland Office.

Performance Measure 3.1a

- Weekly Mgmt. Information Meeting (WMIM) at Oakland & subsequent SC meeting.
- Weekly SC staff televideo meeting.
- Monthly Sr. Summit Mgmt. meeting between DOE & SLAC.
- Quarterly meeting between SSO and BSO to OAK.
- Yearly Manager meetings to conduct the OAK led SLAC Performance Review Board (PRB) under the Performance Based Contract.

Performance Objective 4: Electric Power Supply Management.

Performance Criteria 4.1

- 1) Electric power supply arrangements are centrally managed by OAK to maximize reliability, minimize power curtailments and outages, and achieve a reasonable cost for all four OAK M&O-contractor operated sites (SLAC, LBNL, LLNL and Site 300).
- 2) The interests of the OAK Labs electric power supply have an advocate at DOE HQ and before regulatory authorities.

Performance Assumptions

- 1) Each Lab will provide for secure and reliable internal distribution of electric power.
- 2) Each Lab will take reasonable and prudent steps to conserve electric power, and will support voluntary curtailments during declared electric power emergencies, both to the extent they do not impair or degrade mission accomplishment.
- 3) Each Lab will support and coordinate fully with the centralize OAK management of electric power supply arrangements.

Performance Measures 4.1a

- 1a) OAK will pursue technological and business initiatives to maintain and enhance the reliability of electric power supply for OAK labs.
- 1b) OAK will aggressively protect the labs from being subject to rotating outages.
- 1c) OAK will continuously follow the California electric power marketplace and explore and put into place arrangements to provide for secure, low-cost electric power.
- 1d) OAK will periodically apprise appropriate site office, laboratory and HQ personnel concerning status of and significant developments relating to labs' electric power supply.
- 2a) OAK will continue to advocate at HQ for access to proceeds from the sales of excess purchased power, and for the flexibility to meet variable lab loads in a cost-efficient manner.

- 2b) OAK will follow FERC, State of California and CPUC actions with potential effect on the OAK labs' power supply circumstances, and will aggressively intervene, both formally and informally, to protect those interests.

Performance Objective 5: Office of Public Affairs (OPA) Support to Stanford Linear Accelerator Center

Performance Criteria 5.1

1. Provide guidance and support to the Lab's new Communications Director and new Communications Office.

Performance Measures 5.1a

OAK/OPA will provide guidance and support to the Communications Director in implementation of policies and procedures to improve internal and external communication and outreach, including strategic direction for public information vehicles that serve local, national and international audiences. Provide guidance and support to the Communications Office in developing and implementing performance measures and criteria in the area of stakeholder relations.

SLAC will phase out of a track and trend measurement and move towards a gradient measurement for communications and public affairs. This change is projected to occur after the new Communications Director is on board.

APPENDIX

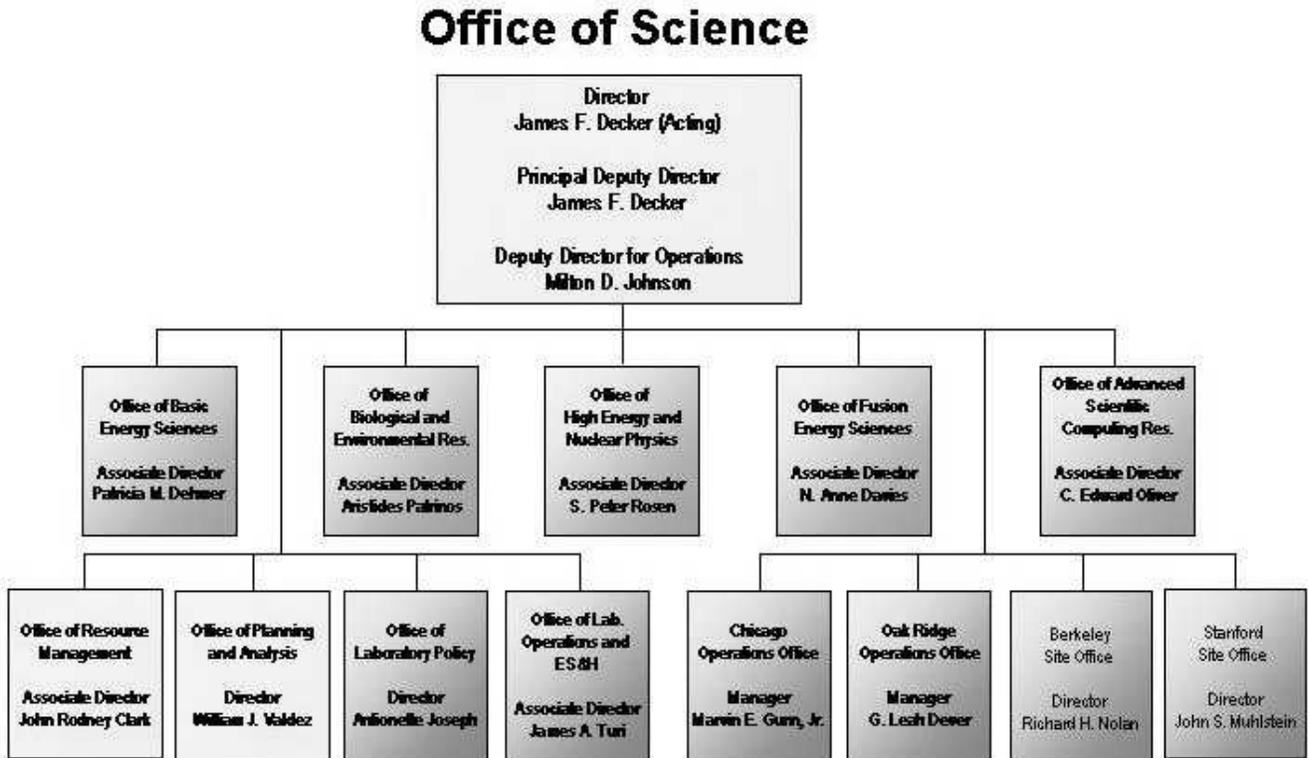
Acronyms:

AIP	Accelerator Improvement Project (DOE-SC-HEP)
ARIM	Accelerator and Reactor Improvements and Modifications (DOE-SC-BES)
BaBar	B-meson Detector for PEP-II Collider at SLAC
BER	Biology and Environmental Research (DOE-HQ-SC)
BERAC	Biological and Environmental Research Advisory Committee (DOE-HQ-SC)
BES	Basic Energy Sciences (DOE-HQ-SC)
BESAC	Basic Energy Sciences Advisory Committee (DOE-HQ-SC)
B-Factory	PEP-II Storage Rings and BaBar Detector at end of SLAC Linac
Bio-X	Bioengineering-biomedicine-biosciences (interdisciplinary initiative, Stanford U.)
BMIS	Business Management Information System
BSO	Berkeley Site Office (DOE)
CAS	Cost Accounting Standards (US)
CD	Critical Decision (DOE-HQ project management)
CDR	Conceptual Design Report
CPUC	California Public Utility Commission (State)
CRADA	Cooperative Research And Development Agreement
DOE	Department Of Energy (US)
DIII-D	Doublet III-D Tokamak (magnetic fusion, General Atomics)
ES&H	Environment, Safety & Health
FEL	Free Electron Laser
FERC	Federal Energy Regulatory Commission (US)
FIN PLAN	Financial Plan (DOE)
FPM	Federal Project Manager (DOE)
FTE	Full-Time Equivalent
FY	Fiscal Year (Oct. 1 - Sept. 30)
GA	General Atomics, San Diego, CA
GLAST	Gamma-ray Large Area Telescope (DOE-NASA gamma-ray satellite project)
GPP	General Plant Project
GSO	Goods and Services on Order
HEPAP	High Energy Physics Advisory Committee (to DOE-HQ-SC)
HQ	Headquarters (DOE at Washington, DC, and Germantown, MD)
IHEM	In-House Energy Management (DOE)
ISMS	Integrated Safety Management System (DOE)
ISSM	Integrated Safeguards and Security Management (DOE)
LAT	Large Area Telescope (GLAST Project, at SLAC)
LBNL	Lawrence Berkeley National Laboratory, Berkeley, CA
LCLS	Linac Coherent Light Source (X-ray Free Electron Laser)
LINAC	LINear ACcelerator; 2-mile long electron-positron accelerator at SLAC
LLNL	Lawrence Livermore National Laboratory, Livermore, CA
M	Million
M&O	Management & Operations (DOE contract with National Laboratory, etc.)
MELFS	Multi-program Energy Laboratory Facility Support
MOA	Memorandum of Agreement
NASA	National Aeronautics and Space Administration (US)
NEPA	National Environmental Policy Act (US)
NIH	National Institutes of Health (US)

NLC	Next Linear Collider
NNSA	National Nuclear Security Administration (semi-autonomous agency in DOE)
OAK	Oakland Operations Office (DOE)
OBER	Office of Biology and Environmental Research (DOE-HQ-SC)
OMB	Office of Management and Budget (US)
OSHA	Occupational Safety and Health Administration (US)
PBM	Performance-Based Management
PEP	Positron-Electron Project (SLAC); Project Execution Plan (DOE)
PEP-II	Upgraded Positron-Electron Project Storage Ring/Collider at end of SLAC Linac
POCM	Performance Objectives, Criteria, and Measurements (DOE)
PRB	Performance Review Board (DOE)
R&D	Research & Development
ROB	Research Office Building (SLAC)
S&S	Safeguards and Security (DOE)
S&T	Science and Technology (DOE)
SC	Office of Science (DOE-HQ)
SESAME	Synchrotron-light for Experimental Science and Applications in the Middle East (UNESCO project to move Germany/BESY-I to Allaan, Jordan, and upgrade)
SLAC	Stanford Linear Accelerator Center, Menlo Park, CA
SPEAR	Stanford Positron Electron Asymmetric Ring (SLAC)
SPEAR2	Stanford Positron-Electron Asymmetric (Storage) Ring and SSRL Beamlines
SPEAR3	Upgraded SPEAR Storage Ring and upgraded SSRL Beamlines
SSO	Stanford Site Office (DOE, at SLAC)
SSRL	Stanford Synchrotron Radiation Laboratory (at SLAC)
TEC	Total Estimated Cost (construction project)
TeV	Tera (1 trillion) electron Volts
VVS	Variable Voltage Substation (SLAC Linac)
WAS	Work Authorization System (DOE)
WFO	Work For Others (DOE)
WMIM	Weekly Management Information Meeting (OAK)
WSS	Work Smart Standards
XLAM	X-ray Laboratory for Advanced Materials (SSRL)

HQ Office of Science (SC) Organization Chart:

Stanford Site Office (Fig. 7, lower right) reports to the HQ-SC Deputy Director for Operations.



NOTE: Director of Science equivalent to Assistant Secretary position and filled by Presidential Appointment (Senate confirmed); Principal Deputy Director equivalent to Principal Deputy Assistant Secretary; Associate Directors equivalent to Deputy Assistant Secretaries.

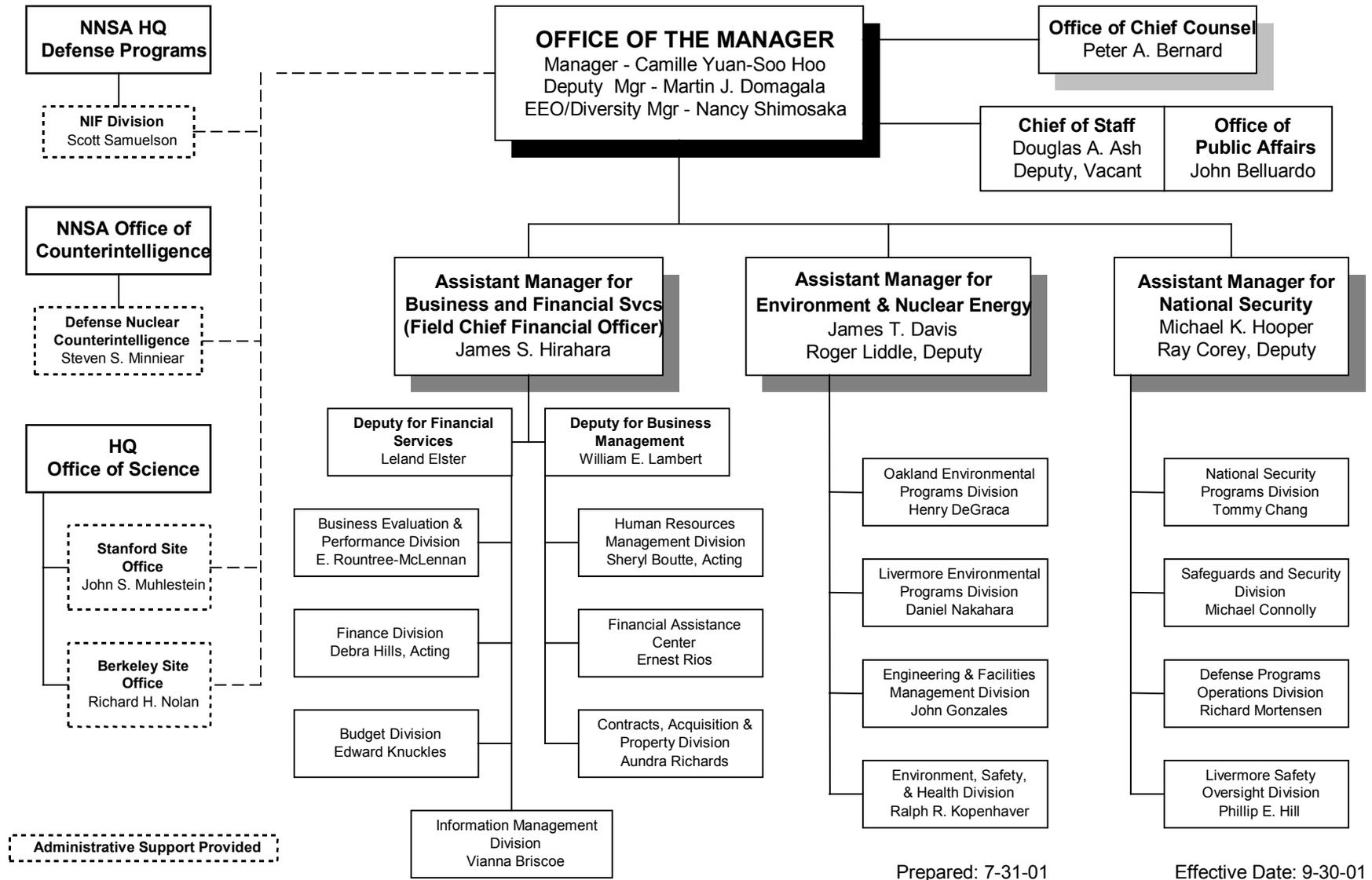


Approved: _____
James F. Decker (Acting)
Director of Science
January 2001

Figure 7. HQ Office of Science Organization Chart.

Organization Chart

National Nuclear Security Administration, Oakland Operations Office



Prepared: 7-31-01

Effective Date: 9-30-01

Figure 8. Oakland Operations Office (OAK) Organization Chart.

<u>OAK-SLAC MATRIX FUNCTIONS</u>	<u>DIV.</u>	<u>MATRIX MEMBERS & SUPPORT EXPERTS</u>
Audit, Business Evaluation & Performance	BEPD	Paul Sibal
Budget Liaison for SLAC M&O Contract	BUD	June Wallach
Budget Analysts for HEP & BES Programs	"	Galvin Brown
CRADAs, Work For Others (WFOs)	"	Alice Flintroy
Comprehensive Site Plan	EFMD	Tony Sy
Contracting Officer: SLAC M&O Contract	CAPD	Stanley Wheeler, CO (OAK)
SLAC Contracting Officer	SSO	Tyndal Lindler, CO (SSO)
CRADAs, Work For Others (WFOs)	"	Katherine Woo, CO
Electric Power Service Mgt.: LBNL, LLNL, SLAC	EFMD	Mark Clark
Emergency Preparedness/Response	LSOD	Alan Remick
Engineering & Construction/Maintenance	EFMD	Shaun Kesterson/Tony Sy
In-House Energy Management	"	Tom Brand
Environment, Safety & Health	ESHD	R. Kopenhaver, S. Lasell
Accident Investigation	"	Diana Ramirez
Air/Water Pollution Permits	"	Gary Lavagnino, REM/Steve Black REM
Environmental Radiation	"	Steve Black, REM
Ergonomics	"	Dean Decker CIH
Fire Protection	"	James Chwang, PE
Low-Level Rad. & Haz. Waste Pkg. & Transp.	SSO	Dave Osugi, CHMM
Industrial Hygiene	ESHD	Dean Decker CIH
NEPA Compliance Officer	"	Janet Neville
Nuclear Material Inventory/Accountability	DPOMD	James Shakiba, Ph.D
Nuclear Material Transportation	LEPD	Ron Claverie
OAK ES&H Tracker Database Mgt. System	ESHD	Diana Ramirez
Occupational Medicine	"	Cherry Keller, R.N., Esq.
Occupational Safety/OSHA Construction	"	Richard Haddock
Radiation Safety (SLAC & SSRL)	"	Edwin Njoku, CHP
Environmental Restoration	OEPD	Jay Tomlin
Equal Employment Opportunity	HRMD	Clemonce Heard
Finance and Accounting	FIN	Dan Dea
General Law; Counsel for SLAC M&O Contract	GLD	Patrick Burke, Esq.
Information Mgt./Computing/CPPM	IMD	Melna Jones
Printing	"	Karen Payne-Jones
Records Management.	"	Sharon Adams
Telecommunications/Networks	IMD	Elena Fung
Intellectual Property Law (CRADAs)	IPLD	Gary Drew, Esq.
Personal Property	CAPD	Rosemary Gourley
Personnel, Labor Relations/Davis-Bacon Act	HRMD	Clemonce Heard
Public Affairs	OPA	Lauren Martinez
Congressional	"	Lauren Martinez
Freedom of Information Act	"	RoseAnn Pelzner-Goodwin
Media	"	John Belluardo, Annette Ross
Real Property	EFM	Ron Howard
Safeguards & Security	SSD	Duane Gordon
Unclassified Cyber Security	"	Nancy Adair
Small Business	CAPD	Aundra Richards, CO
Scientific & Technical Information	BSO	Anne Raible
Training Manager, Tech. Qualifications Program	HRMD	Carol Irvine
Waste Management Program	SSO	Dave Osugi, CHMM

SSO Operational Accountability Report for FY 2001

SCIENCE PROGRAMS (MISSION, SCIENCE & TECHNOLOGY)

SC Expectations:

Implement HQ-SC program policy and direction at SLAC.

Support SC and SLAC in achieving outstanding science and leading-edge technologies critical to SC's and DOE's mission.

- * *Provide Field Management & Implementation of SC programs/projects;*
- * *Provide Institutional Management of SLAC, incl. SSRL;*
- * *Program Support to HQ/SC (HEP/BES/OBER), B-Factor, and SPEAR Operations;*
- * *Participation in SC Annual Program Reviews/Project Reviews;*
- * *Lead DOE Annual Performance Assessment of SLAC;*
- * *Conduct SC On-Site Institutional Planning Review;*
- * *Line Management of ES&H at SLAC.*

SSO FY01 Accomplishments:

- + Participated in HQ-SC Annual Review of SLAC HEP & BES Programs;
- + Participating in HQ-SC (2-year) On-site Institutional Planning Review at SLAC;
- + Participated in Stanford President's biannual Scientific Policy Committee Review of SLAC-HEP, -BES/BER Programs;
- + Executed 6 SLAC CRADAs (incl. SBIRs), 2 WFO's, and 1 NIH Grant Proposal (SSRL/George);
- + Extended UNESCO/SESAME Grant for Mid-East Light Source Sci. & Tech. Workshops; AL paid FY00-01 \$100K;
- + SC-SSO teleconferences (with BSO & OAK): Turi, HEP/Rosen, SC/Decker Staff, ES&H/Schwartz;
- + SSO Weekly Reports to HQ-SC, OAK & SLAC (Accelerator Ops., ES&H, CA power crisis, etc.).

SSO Opportunities for Improvement:

- Performance Based Management;
- Enhanced communications: HEP & BES program/project initiatives with SC program leads: SSO sit in on SC budget validation process.

LEADERSHIP

SC Expectations:

Ensure excellence, relevance and stewardship in the conduct of all aspects of SC's mission.

- * *Effective interactions with Directors/Manager and ADs at SLAC, OAK, HQ-SC (Summit Mtgs., Program & Project Reviews);*
- * *Overall Management of the Performance Based M&O Contract at SLAC;*
- * *Initiation of third-party (Donor, Stanford) buildings, incl. DOE Under Secretary approval (User Lodging, AstroPhysics, Bio-X);*

SSO FY01 Accomplishments:

- + Transitioned SSO reporting relationship from OAK to HQ-SC;
- + Working diligently to support SC Lab by reconciling OAK-NNSA policies/procedures (e.g. foreign travel);

- + Third Party Financing: User Lodging and AstroPhysics Buildings; Approval by Deputy Secretary;
- + Monthly OAK-SLAC Matrix meetings at OAK (functional areas/issues) to inform/coordinate SME's; SLAC tours;
- + SLAC/Dorfan, SSRL/Hodgson, and SSO/Muhlestein presentations to OAK All Hands Meetings to inform/motivate.
- + Weekly Accelerator Operations: Linac, PEP-II/BaBar, Fixed Target Expts., Adv. Accelerator R&D, SPEAR.
- + Execution of Delegated Project Management Policy and Authority (to be discussed)

SSO Opportunities for Improvement:

- Continue to implement opportunities for improved FY01 Operational Accountability;
- Complete SSO Strategic Plan by end of the year (December);
- Clarification of SC-1 Staff Meeting goals and objectives.
- Utilize FY01 Operational Accountabilities review/results for ongoing FY02.

CALIFORNIA ELECTRIC POWER CRISIS

SC Expectations (for SSO):

Continue to monitor the evolving CA power situation, and act on behalf of DOE and its Labs for the best interests of SC programs and projects.

SSO FY01 Accomplishments:

- + Participated in Annual Laboratory Electric Utility Review (OAK/3 Labs/HQ-EE-90/Exeter) with SLAC Power Manager/Greg Loew;
- + Analyzed/tracked/reported CA Power Crisis: prices, outages, PG&E Bankruptcy, WAPA, FERC, CPUC; Governor/Legislature;
- + Submitted SSO FMFIA Vulnerability Report: "Energy Markets (Unexpected Electricity Rate Increases)" impact on SLAC/SSRL.
- + Worked on sensitizing DOE audience, August 2001 briefings to DP, EM & SC with OAK, regarding access to Western suspense account (~ \$30M of which \$12M SLAC's).

SSO Opportunities for Improvement:

- Continue to follow unfolding CA power situation to assess impact on SLAC (LBNL & LLNL);
- Continue to encourage DOE-HQ to reach agreement with OMB for resolution of OAK/WAPA \$30M suspense account (\$12M SLAC).

PROJECT MANAGEMENT EXECUTION

SC Expectations:

Execute Federal Project Management on behalf of the Office of Science to assure that assigned projects are successful.

Assigned projects are managed in accordance with Project Execution Plans, meeting technical, cost and schedule objectives.

SSO FY01 Accomplishments:**Linac Coherent Light Source Project** (TEC \$165M-225M, Start FY03, Complete FY06):

- + Mission Need (CD-0) approved in June 2001;
- + Currently in R&D (Preparing PEP/NEPA documentation);
- + Requested Project Engineering and Design funds in FY03 with Construction Start in FY04.

SPEAR3 Upgrade Project (TEC \$58M, Start FY99, Complete FY04):

- + Project just over 50% complete with 48% of budget spent;
- + Successfully completed Lehman Reviews without issues;
- + Project benefits from B-Factory Project resources and experience.

GLAST/Large Area Telescope (LAT) Project (TEC-DOE \$ 35M/TEC: \$ 158.2M, Start FY00, Complete FY05):

- + Mission Need (CD-0) approved in June 2001;
- + Conducted Joint NASA & DOE Baseline (Lehman) and Quarterly Reviews;
- + Baseline review for CD-1, -2, & -3 recommendation for approval scheduled Jan. 8-11, 2002.

Research Office Building (TEC \$7.2M, Start FY00, Complete FY02):

- + Start of Construction (CD-3) approved in February 2001;
- + Construction contractor working well with SSO and SLAC minimal Change Orders; safety conscious.

SSO Opportunities for Improvement:

- Ensure LCLS Project CD-1 and 2 approval by May 2002, for FY04 construction budget submittal (DOE O 413.3);
- Approve and sign GLAST/LAT MOU and Implementation Arrangement with NASA (scheduled 4/01) (delay of project documentation);
- Implement graded project management approach for all projects < \$5M (AIP, B/Ls), to meet objectives of DOE O 413.3. (Project Management Order);
- SSO participation in SC Program/Project Budget formulation.

ENVIRONMENT, SAFETY & HEALTH LINE MANAGEMENT OVERSIGHT**SC Expectations:**

Execute ES&H line management responsibilities through ongoing evaluation of the effectiveness of Integrated Safety Management (ISM) implementation, Operational Awareness of site activities, and Self-Assessment for continuous improvement.

SSO Implementation of Integrated Safety Management (ISM):**SSO FY01 Accomplishments:**

- + Continued strong relationship with Laboratory senior management (e.g., SLAC Director, ES&H Associate Director and Associate Directors of line organizations) to ensure flow down of expectations on ES&H performance, enhanced communications and to facilitate overall improvements in the Laboratory's ES&H program.

- + Following completion of ISMS Phase II Validation, SSO and SLAC negotiated a process measure and implemented jointly conducted DOE/Laboratory quarterly reviews to evaluate SLAC implementation of ISMS. Implementation of ISMS is going very well.
- + SSO initiated stop activity at Building 33 (GLAST Clean Room) as a follow-up to a routine DOE operational awareness activity.
- + As a result of ISMS Phase I Verification, SLAC Director agreed to evaluate Associate Directors on performance in ES&H.
- + **SSO Director conducts safety walkthroughs with SLAC Associate Directors.**
- + SLAC received “Outstanding” rating in ES&H from DOE the past three years (e.g., Annual Safety and Environmental Stand Down).
- + SLAC reviewed and distributed Lessons Learned from Fermi/NUMI Type A Accident Investigation.
- + SSO continues to support Laboratory implementation of Behavior-Based Safety Program.

SSO Opportunities for Improvement:

- Ensure Laboratory line management flowdown of expectations on ES&H performance.
- Ensure fully integrated self-assessment by Laboratory line management.
- Follow-up on Laboratory’s site-wide implementation of Building 33 (GLAST Clean Room) corrective actions (i.e., implementation of stop activity/work authority, subcontractor oversight, pre-qualification of SLAC contractors).
- Review Lessons Learned from Fermi/NUMI Type A Accident Investigation.

SSO Operational Awareness:

SSO FY01 Accomplishments:

- + Continued SSO oversight of the Laboratory’s site-wide implementation of Building 33 Corrective Actions;
- + Expectations for performance in ES&H are placed on Laboratory at the beginning of the year (Performance-Based Management);
- + Projects and Performance Measures continued to focus on ES&H;
- + Implemented OAK safety and environmental database, that allows SSO Director to track positive and negative trends at the highest risk facilities, operations and activities.

SSO Opportunities for Improvement:

- SSO needs to fill a vacancy for a Facility Operations Engineer to provide SSO with additional support on ES&H oversight functions.

INFRASTRUCTURE MANAGEMENT

SC Expectations:

Maintain SLAC Infrastructure to support operations in a safe, environmentally responsible, and cost-effective manner.

- * *SLAC Infrastructure Plan (5-yr./\$50 M): Routine (GPP & Ops.); Revitalization (VVS, switchgear, etc.); Seismic Upgrades.*
- * *General Plant Projects (GPP): most effective use of limited funds; no overruns.*

SSO FY01 Accomplishments:

- + Coordinated and reviewed the SLAC Strategic Facilities Plan, Oct. 2000.
- + Reviewed SLAC Infrastructure Vulnerability, and status of GPP and seismic retrofit funding;
- + Requested \$7M Multi-program Energy Laboratory Facility Support (MELFS) funding for SLAC Seismic Upgrade (FY02);
- + Raised SLAC Infrastructure needs at prior Institutional On-site Reviews; encouraged Greg and Mimi to present needs/costs.

SSO Opportunities for Improvement:

- SLAC's decaying Infrastructure raises significant risk to Lab mission.

SECURITY*SC Expectations:*

Enhanced Security at SLAC: regulations/badging, CyberSecurity, Integrated S&S Management approach.

FY01 Accomplishments:

- + SLAC implementing DOE common badge, expects full compliance by 12/31/01;
- + Performance Based Management Annual Assessment for security rating increased from excellent to outstanding;
- + NNSA/OAK Safeguards and Security Survey in November 2000, rated: SATISFACTORY (highest rating possible);
- + S&S Survey noted:
 - Outstanding results in improving and expanding CyberSecurity program.
 - Considerable decrease in theft of property and material, from \$71,869 in FY97 to \$3,937 in FY00.

Opportunities for Improvement:

- Implementation of Office of Science Integrated Safeguards and Security Management;
- New Business Manager/Contracting Officer position at SSO will provide security oversight.

BUSINESS OPERATIONS (SSO and OAK Support)*SC Expectations for SSO:*

Implement efficient and effective corporate management systems to guide decision-making, streamline operations, reduce costs, and improve delivery of results.

- * *Lead SSO OAK Matrix (Business functions, ES&H SME's, etc.).*

FY01 Accomplishments for SSO:

- + Continuing quality support from OAK Matrix to SLAC-SSO per MOA (41 experts + supervisors);
- + Updated SLAC FY02 Performance Objectives, Criteria, & Measures (POCMs) with SC, OAK and Lab;
- + Katherine Woo filled SSO Business/Institutional Manager position, with CO Warrant for WFOs (per MOA);

- + Completed DOE FY00 Assessment of SLAC with SC Sci. & Tech. ratings; approved by OAK Performance Review Board;
- + Negotiated FY01 & FY02 POCMs (Sci. & Tech., Business, ES&H) with SLAC;
- + SSO Director actively participates in OAK Management Operating Board to improve communications and resolve problems;
- + Annual SSO Self-Assessment and vulnerability review (FMFIA: Unexpected Electricity Rate Increases);
- + SSO Off-sites for staff planning, improvement, adjust assignments, define/fill positions;
- + Initiated annual SC-SSO Expectations/Accountability Review (replacing OAK Goals/Accomplishments).

Opportunities for Improvement for SSO:

- Fill SSO CO/Business Manager position.

Feedback/Expectations Requested for SSO:

- * Prepare for Extend/Compete for SLAC M&O Contract (2004-2008)

SC Expectations for OAK Support:

OAK's Matrix will perform the Appendix B duties at SLAC in a timely manner producing quality products. Expectations will be developed with the Site Offices, SC, and functional HQ organizations as appropriate. Goals and measures will be developed using established processes with laboratory managers. OAK functional managers will perform oversight using the most efficient and economical means available. Performance assessment results will be provided in a timely manner to the Site Managers.

NOTE: OAK Business Operations Functional Areas with SLAC Performance Metrics and Oversight include: Finance, Budget, Business Evaluation, Information Management, Industrial Relations/Human Resources, Property, Legal, and Public Affairs:

FY01 Accomplishments by OAK Support:

- + Continued support to the SSO and SLAC, as required;
- + Extend/Compete for SLAC M&O Contract (2004-2008);
- + Approval for reducing the requirements for salary review (no longer \$100K);
- + Personal Property Performance Assessment Model "Gauge Model" now online and successful (performance from Excellent to Outstanding);
- + Peer Review of SLAC (Appendix B).

Opportunities for Improvement (for SSO):

- No major areas for improvement; continuous improvement is expected.

Feedback/Expectations Requested for SSO:

- * Will need HEP & BES program support (scope work) for the Extend/Compete;
- * HQ/SC support is requested to obtain an exemption, to eliminate the Lab Director Removal clause from the DOE-Stanford University (SLAC) M&O Contract (Extend Compete).

CUSTOMER SATISFACTION/COMMUNITY RELATIONS**SC Expectations:**

Encourage and support SLAC's efforts to be a good neighbor.

Work with HQ, SLAC, OAK, regulators, and neighbors in an open, frank, and constructive manner.

- * *Effective communication of DOE-SLAC accomplishments to press and community;*
- * *Customer Satisfaction.*

FY01 Accomplishments:

- + SSO support to OAK Office of Public Affairs, and SLAC Community Relations Officer;
- + OAK-OPA/Lauren Martinez support to SLAC-DO/Eleanor Mitchell, until Communications Director/Neil Calder arrives from CERN;
- + Review OAK-OPA/Belluardo press releases: BaBar Collaboration; Chen Astrophysics Building; SC-Rosen outreach;
- + SSO Director talking with HQ, SLAC and Stanford to let Lab know DOE expectations;
- + Congressional visits and VIP (incl. HQ) tours of SLAC/SSRL;
- + Senior Management Summit with Director Dorfan, OAK Manager, and SSO Director;
- + SSO-SLAC/AD meetings: ES&H/Boczek, BSD/Jobe, SSRL/Hodgson;
- + SSO Weekly Reports to SC, OAK, and SLAC;
- + Understanding community concerns re. DOE and SLAC, e.g., Sand Hill Road traffic, Stanford General Use Plan, San Francisco Creek;
- + Significant communication/interaction with customers to understand/respond to their needs and deliver desired results;

Opportunities for Improvement:

- SSO overall community relations, outreach;
- SSO will cooperate with the new SLAC Communications Director for enhanced customer/community relations.