

Fiscal Year 2000

Annual Performance Assessment

Stanford Linear Accelerator Center



Prepared by:

U.S. Department of Energy
Oakland Operations Office
March 2001

CONTRACTING OFFICER'S EVALUATION

The DOE Oakland Operations Office Performance Review Board reviewed and discussed the recommendations of functional managers and staff concerning the appropriate adjectival and numeric ratings with which to rate the Board of Trustees for the Leland Stanford, Jr., University's performance in the management and operation of the Stanford Linear Accelerator Center. Based upon this process and a unanimous vote of the members of this board an adjectival rating of "**outstanding**" is granted, based on a numeric rating of 3606.0 weighted points. This report, the "Fiscal Year 2000 Annual Performance Assessment – Stanford Linear Accelerator Center" provides the basis for this determination and is hereby endorsed and approved.

Recommendation:

Martin J. Domagala
Deputy Manager
Chairperson, Performance Review Board

Date: _____

Approvals:

Camille Yuan-Soo Hoo
Manager
Oakland Operations Office

Date: _____

John S. Muhlestein
Director
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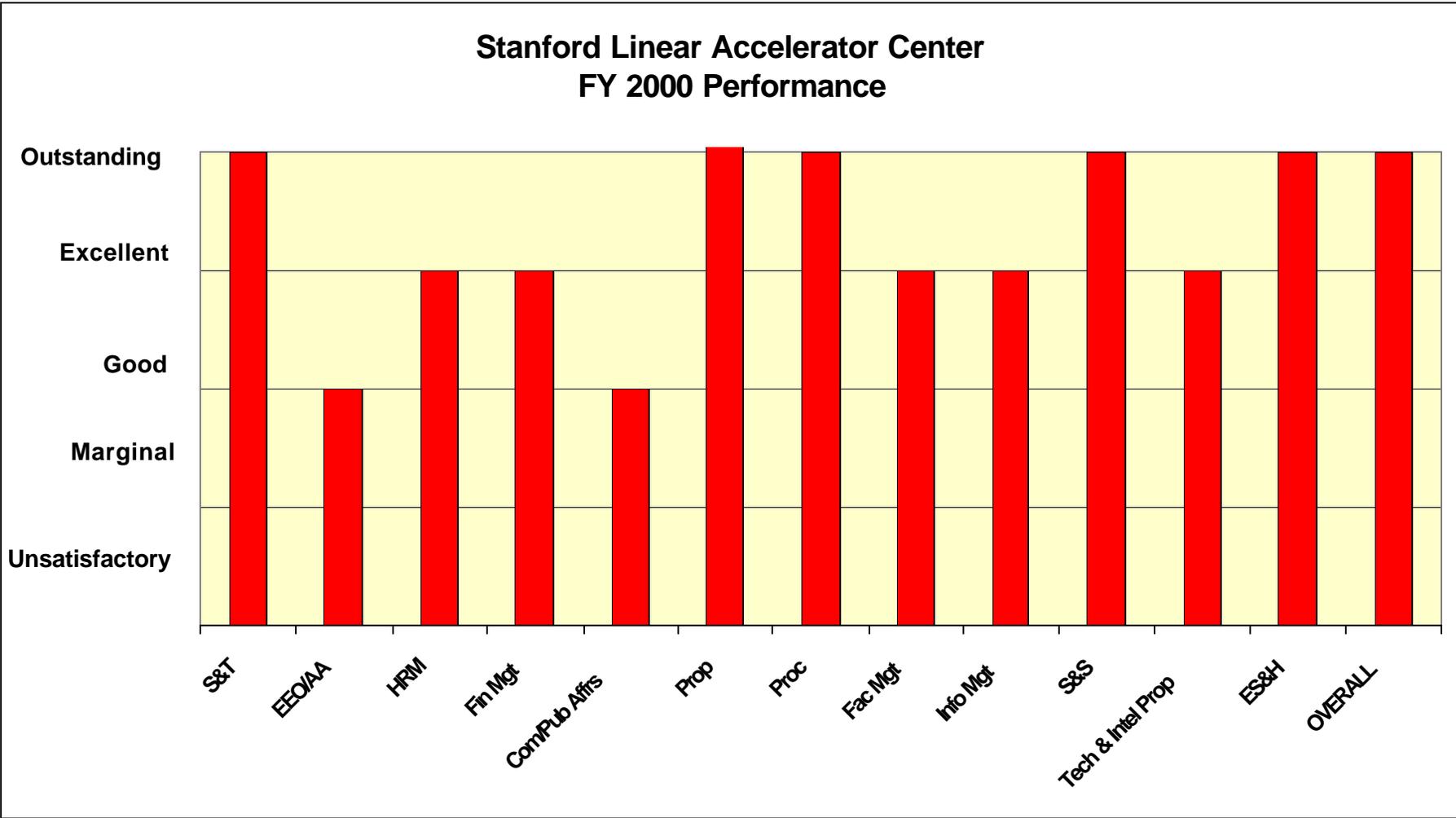
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FY 2000 Annual Performance Assessment for
Stanford Linear Accelerator Center

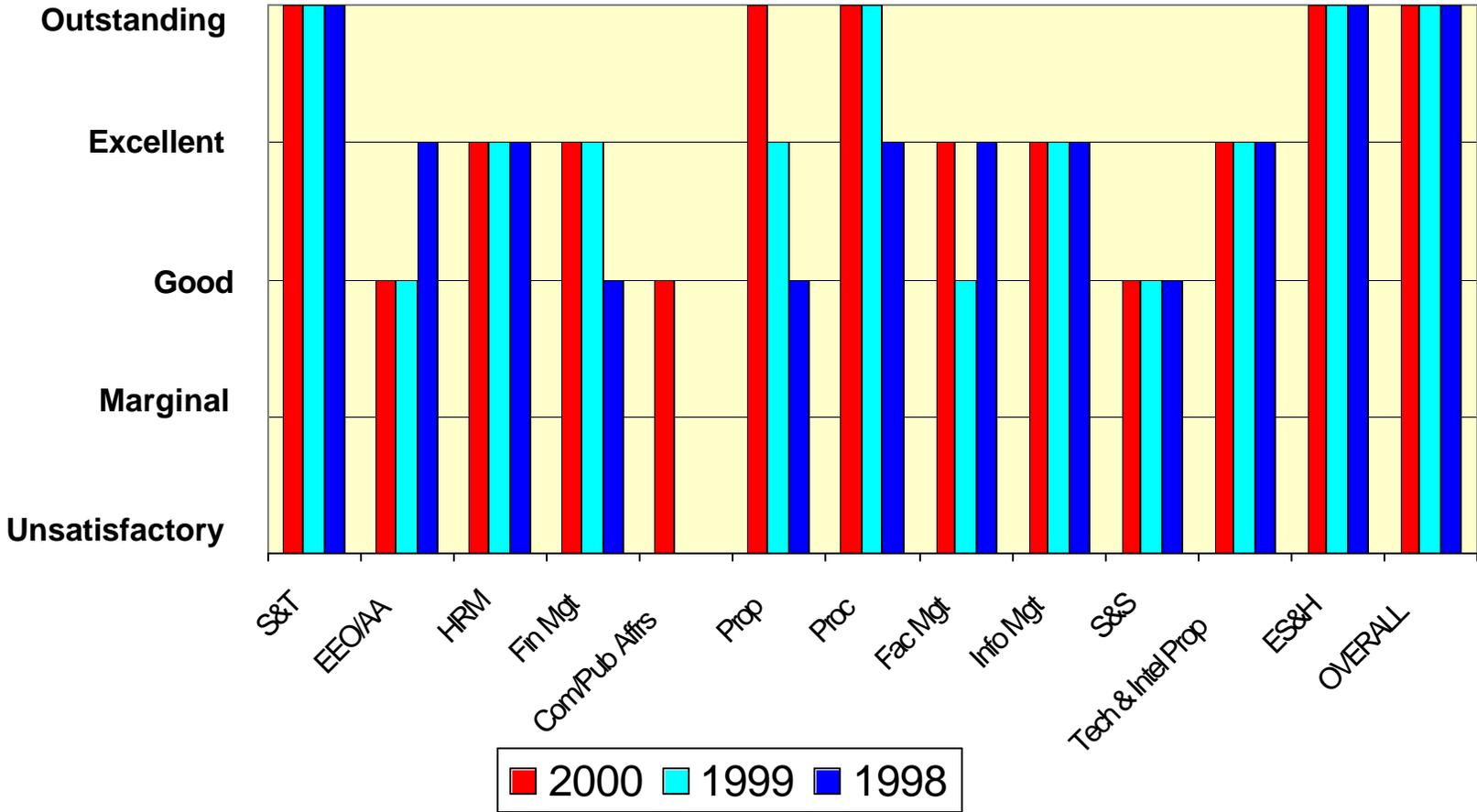
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EXECUTIVE SUMMARY



SLAC Annual Performance FY 1998 to FY 2000



EXECUTIVE SUMMARY

I. PERFORMANCE-BASED ASSESSMENT PROCESS

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

The period of performance for this Fiscal Year 2000 Annual Performance Assessment Report is October 1, 1999 through September 30, 2000. The rating is based upon a system evaluation, which provides previously agreed-to measures with weighted point scores, that are accumulated to determine the overall adjectival rating for SLAC. The previous year rating characterization were four tier (far exceeds expectations, exceeds expectations, meets expectations, and needs improvements) versus the five tier this year, (outstanding, excellent, good, marginal, and unsatisfactory). The Scientific Research Programs and Technology Development section is weighted 60%, while the Business Management section (including ES&H) is weighted 40%. Appendix A of this report provides the methodology for the rating. Appendix B of this report provides detailed scores and ratings for each functional area.

The overall SLAC performance rating for FY2000 is OUTSTANDING. The Science and Technology Program summary rating of Outstanding, is based on input provided by Dr. James F. Decker, Acting Director, Office of Science (SC). The Summary Rating combines performance evaluations from the Offices of: High Energy and Nuclear Physics (HENP), Basic Energy Science (BES), and Biological and Environmental Research (BER). The Business Management summary rating, Excellent, provided by the DOE/SSO, OAK Functional Managers, combines performance evaluations for: Communications & Public Affairs, Environmental Safety & Health, Equal Opportunity & Affirmative Action, Facilities Management, Financial Management, Human Resource Management, Information Management, Personal Property, Procurement, Safeguard & Security, and Technology & Intellectual Property Management. A summary chart of the scoring and rating in each area is provided in Section V of this Executive Summary. A full text of the FY 2000 Performance Assessment is provided under the Detailed Assessment Results.

II. SUMMARY OF SIGNIFICANT ACCOMPLISHMENTS:

Rather than reiterate the scoring or adjectival ratings for each of the functional areas contained in this Performance Assessment Report, this Executive Summary highlights noteworthy FY 2000 performance achievements, or recommended areas for improvement at SLAC.

A. SCIENCE AND TECHNOLOGY

Introduction: Stanford University manages and operates the Stanford Linear Accelerator Center (SLAC) for the U.S. Department of Energy as a National User Facility. SLAC conducts research, design, construction, engineering, testing, training, education, and technology transfer on behalf of the Department of Energy (DOE), in a manner that will maintain a vigorous, forward-looking program. SLAC's mission is the generation and expansion of scientific and technical knowledge in: high energy physics (including theoretical, experimental, and accelerator physics); basic energy sciences (including synchrotron radiation research in biology, chemistry, materials science, medical sciences, physics and other disciplines); biological and environmental sciences; and, all appropriate areas of natural sciences, engineering, and related disciplines. SLAC was established as a National User Facility for the conduct of unclassified research, providing a unique resource for the DOE Office of Science and related User communities.

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

High Energy Physics (HEP) Performance Evaluation: SLAC, together with Fermilab, provides the backbone of the U.S. program in High Energy Particle Physics. A pioneer in using electrons and Positrons for HEP research, SLAC is the primary U.S. laboratory for physics with lepton beams, has successfully constructed and operated a series of electronpositron colliders, and remains the main U.S. expertise repository. Numerous important advances in physics have resulted.

Currently focused on CP violation, the new B-Factory (PEP II electron-positron collider and BaBar detector) is a magnificent success, exceeding its design parameters for peak and integrated luminosity (collision rate). By the end of FY 2000, BaBar recorded 23.6 fb^{-1} vs. a planned level of 15 fb^{-1} . This level of performance, so soon after commencement of operations, is unprecedented. The first physics results were reported at the International Conference at Osaka, Japan in August 2000. With increased integrated luminosity, these measurements will provide precise tests of the Standard Model.

The Laboratory's theoretical physics program is internationally recognized as a leader in a number of sub-fields; SLAC theory leads the international consortium on the physics for the next generation of linear colliders.

The B-Factory project was awarded the first DOE Deputy Secretary's Award for Excellence in

Project Management. This accomplishment is especially noteworthy, because of the need to coordinate the activities of the international collaboration for the BaBar detector, including the international funding agencies.

SLAC continues to lead linear collider technology development with a major R&D effort on a trillion volt (TeV) collider (Next Linear Collider); built and operates a small test accelerator (NLCTA) to support this R&D; pioneered development of state-of-the-art test facilities and simulation codes for colliding beams to the benefit of the entire international program; and, contributes to the development of sophisticated free electron lasers (FEL). These facilities are open to, and used extensively by, the international community in cooperative development of concepts and instruments, that further the goals and objectives of DOE strategic plans. In addition, SLAC initiated a program of particle astrophysics, and is the Host Laboratory for the Gamma Ray Large Area Space Telescope (GLAST) mission (2005 launch). SLAC organized the international collaboration to design and execute the next-generation, space-based observatory of cosmic gamma rays sources.

The BaBar detector is pioneering HEP use of object-oriented programming, C++ computer language, and storing/retrieving/analyzing event data using multi-hundred CPU arrays. SLAC is cooperating with industry (CRADA, SBIR) to develop the object-oriented database management program, upon which future distributed analysis for the Large Hadron Collider and other major experiments depend.

Synchrotron Radiation Performance Evaluation:

Basic Energy Science (BES): The quality of Material Sciences and Engineering research at SSRL is very highly regarded, with first-rate investigators working on important BES research problems: outstanding work of Z-x Shen on the High-Tc Superconductor problem, central to condensed matter physics research; and Martin Greven's first-rate crystal growing effort for x-ray and neutron scattering (DMS&E emphases).

Chemical Sciences, Geosciences and Biosciences data quality from the new Molecular Environmental Sciences Beam Line (B/L-11), indicates the facility will be important in meeting the scientific needs of the heavy element community.

Other activities which are of great importance and being performed at an outstanding level include:

- Collaboration with U. Texas-El Paso for Hispanic students in x-ray scattering;
- Linac Coherent Light Source (FEL) collaboration with other laboratories;
- Microbeam technique development with Batterman.

SSRL has operated in an extremely productive manner. Several Users said it was a "real pleasure to do science at SSRL these days". SSRL operating statistics have been outstanding - this is important to the BES mission supporting User Facilities. The addition of Jo Stohr (Deputy Director) is welcomed, and strengthens SSRL research by adding microstructure of magnetic materials as well as polymeric materials.

Biological and Environmental Research (BER): SSRL structural molecular biology (SMB) research is recognized world-wide as outstanding. This highly regarded research staff is making major contributions to synchrotron science, and publishing leading-edge papers in major

scientific journals. These staffs provide outstanding service to enable SSRL Users to obtain outstanding results, evidenced by many prominent structures published during the past year. Users bring their most difficult structural problems to obtain essential data at SSRL; these facilities are highly relevant to BER program needs in the life sciences, with the redirected focus of the experimental program on study of complex biological systems.

SMB planning is outstanding, with high quality facility improvements taking advantage of new technology, consistently leading nationally with the latest detectors and instrumentation. The program is operated in a highly efficient manner, with limited BER operating funds supporting a large number of Users in crystallography, spectroscopy, and small-angle scattering. Equipment funds are expended in a highly cost-effective manner, e.g., offering Users a superior data management system put together with modest funding.

B. BUSINESS MANAGEMENT

Introduction: Overall Business Management was rated Excellent for FY 2000. Of the eleven functional areas evaluated, seven had no change in ratings from FY 1999 to FY 2000:

- Procurement: Outstanding,
- Environmental Safety & Health: Outstanding,
- Human Resource Management: Excellent,
- Financial Management: Excellent,
- Information Management: Excellent,
- Technology & Intellectual Property Management: Excellent, and
- Equal Opportunity & Affirmative Action: Good.

Three functional areas increased ratings from FY 1999 to FY 2000:

- Personal Property: Excellent to Outstanding;
- Facilities Management: Good to Excellent; and,
- Safeguard and Security: Good to Outstanding.

One functional area was evaluated for the first time in FY 2000 replacing Legal:

- Communications & Public Affairs: Good.

The functional area successes are summarized below. The areas needing improvement are summarized in Section III.

Environmental, Safety & Health

SLAC's overall rating for ES&H is Outstanding for FY 2000. This rating is based upon the combined evaluation of the ES&H outcome measures, and the Integrated Safety Management System (ISMS) process measure. FY 2000 was the second year for evaluation of the ISMS process measure, which includes eight components developed from the results of the Phase I ISMS verification (August 1998) and the Phase II validation (September 1999). SLAC

substantially completed seven of eight components of the FY 2000 ISMS process measure for the rating of Outstanding. Industrial hygiene, industrial safety, waste management and environmental restoration maintained their performance ratings from the previous year. Performance improved from Exceeds Expectations to Outstanding in the areas of waste minimization and environmental releases, while performance decreased from Exceeds Expectation to Good in a fire protection and a radiation protection performance measure. SLAC's ES&H program continued to mature, and maintained an overall Outstanding rating for FY 2000. Assessment of the effectiveness of ISM implementation in work planning and execution activities at SLAC will be major focus in FY 2001. The Stanford Site Office (SSO) and SLAC will conduct Quarterly Reviews of the effectiveness of ISM implementation in planning, performance of work, assessment, and feedback for continuous improvement. These results will provide the basis for evaluating SLAC's FY2001 performance on the ISMS process measure.

Functional Areas Increased Ratings

Personal Property: The overall rating increased from Excellent to Outstanding for FY00. This improvement can be attributed to the following achievements: 1) SLAC's sensitive inventory results during FY 2000 which were significantly improved from 97% to 99.46%; 2) equipment inventory results were outstanding at 99.98%; 3) SLAC's aggressive efforts in the review of storage, with a release of 110 out of 308 of the items previously held in storage; and 4) a 27% reduction in the time and associated costs were achieved for check-in of excess property at the SLAC warehouse.

Facilities Management: The overall rating increased from SLAC performance in Project and Facilities Management is rated from Good to Excellent. This is attributed to SLAC's attention to problem areas and commitment to improvement as evidenced by the following achievements: 1) office space utilization 16% below the General Services Administration standard; 2) improved General Plant project execution; 3) establishment of the Site Engineering and Maintenance organization; 4) completion of 14 of a planned total of 17 energy management tasks; 5) increased electricity reliability with only two unplanned outages for a total duration of three hours; and 6) completion of the SLAC Comprehensive Site Plan and the SLAC University Technical Representative Guide.

Safeguard and Security: The overall rating increased from Excellent to Outstanding for FY2000. This improvement can be attributed to the following achievements: 1) continued decrease in reportable security incidents and 2) reduction in property losses and theft, due to an increased Security Force surveillance presence, an increase in number of installed security cameras, continued reduction in number of long term outside contractors, and ongoing publicity program regarding office and personal security.

III. RECOMMENDED AREAS FOR IMPROVEMENT

A. SCIENCE AND TECHNOLOGY

None

B. BUSINESS MANAGEMENT

Equal Opportunity & Affirmative Action: The overall rating of this area was sustained at the Good level. To achieve the Excellent rating earned in FY1998, SLAC was required in FY00 to continue to demonstrate improvements in representation of minorities and women in "high priority" job groups, specifically in the areas of Mechanical Engineering and Electronics Technicians. SLAC was unable to attain those improvements in FY1999 as well as FY2000. Only two vacancies were filled in the Mechanical Engineering job group. With no minority placements, representation remained at 11.1 percent. Efforts to recruit women for the limited number of vacancies in the Electronics Technician job group continue to be unsuccessful. Out of six new hires and two promotions, there were no women applicants. However, given the laboratory's successful efforts to retain women in this job, the percentage of women rose slightly from 9.0 to 9.5 percent, although total population declined. SLAC is urged to continue to assess progress Laboratory-wide and, more specifically, in reaching full improvements in the representation of minorities and women at the Laboratory.

Communications & Public Affairs:

FY 2000 is the first year that Communications & Public Affairs had a performance measure in place; this year it replaced the "Legal" category. The overall rating in Communications & Public Affairs was Good for FY2000, the highest rating that can be obtained using a track and trend gradient. Track and trend is a term used by DOE which means that SLAC and DOE/OAK will monitor (track) data and look for areas which show consistent activities (trends). The data collected will then form a baseline for determining performance ratings. SLAC and DOE/OAK will discuss to modify the FY 2001 measures to include gradients.

SCIENCE & TECHNOLOGY

Performance Area: SCIENCE AND TECHNOLOGY

Cumulative available points 600

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

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

A. HIGH ENERGY PHYSICIS

Available Points: 500

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

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

Performance Criteria: 1.1

Quality of fundamental and applied science.

Performance Measures: 1.1.a

Available Points: 120

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

Performance Narrative:

The Stanford Linear Accelerator Center (SLAC) has been a pioneer in the use of leptons in high-energy physics (HEP) research, i.e. electrons and positrons as the interacting particles. Numerous important advances in physics have resulted. Currently, the SLAC HEP program is focused mainly on studies of CP violation using the new B-Factory, which is comprised of the PEP II asymmetric electron-positron collider and the BaBar detector. The B-Factory has been a magnificent success, achieving better than design luminosity in an impressively brief time after commissioning. The first physics results, based on 9fb^{-1} of integrated luminosity, were reported at the International conference at Osaka, Japan in August, 2000. With increased integrated luminosity, these measurements will provide precise tests of the Standard Model picture of CP violation.

The SLAC linear accelerator continues to support a program of fixed-target experiments in End Station A. Currently under preparation is an experiment (E-158) to measure polarized Moller scattering. This will provide a measurement of the weak mixing angle at a mass scale far below the Z-boson mass, and is sensitive to new physics.

Physicists at SLAC have been pioneers in developing the linear collider concept. The world's first linear collider was the SLAC Linear Collider, SLC, which ran for physics at the Z-boson resonance for many years (a program concluded in FY 1998). Exploiting the highly polarized SLC beam and small collision volume, the SLD detector (with a very precise vertex detector) made many precision electroweak measurements, that were competitive with and complementary to those made with much higher statistics in the LEP collider at CERN. Final analysis of SLD data is still underway.

SLAC continues as a leader in developing linear collider technology, and has had for many years a major R&D effort focused on a TeV-scale electron-positron linear collider called the Next Linear Collider (NLC). SLAC has built and operated a small test accelerator, the NLCTA, to support this R&D.

In addition to accelerator-based particle physics and accelerator technology development, SLAC has initiated a program of particle astrophysics. SLAC is the Host Laboratory for the Large Area Telescope (LAT) to be flown on the Gamma Ray Large Area Space Telescope (GLAST) mission scheduled for launch in 2005. SLAC took the lead role in organizing the international collaboration for the design and execution of the project. GLAST will be the next-generation space-based gamma-ray telescope designed to provide major advances in observational capability of cosmic sources of gamma rays in the 20 MeV to 1 TeV energy range.

Performance Rating (Adjectival): Outstanding	3.70
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Performance Criteria: 1.2

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a**Available Points: 200**

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

Performance Narrative:

SLAC, together with the Fermi National Accelerator Laboratory, provides the backbone of the U.S. program in High Energy Particle Physics. SLAC is the primary U.S. laboratory for physics with lepton beams. It has successfully constructed and operated a series of electron-positron colliders, and remains the main U.S. repository for expertise in this field. SLAC's pioneering work on development of state-of-the-art test facilities and simulation codes for colliding beams has benefited the entire international program in colliding beams, as well as contributing to the development of sophisticated free electron lasers (FEL). These facilities are open to and used extensively by the international community in cooperative development of concepts and instruments, to further the goals and objectives of DOE Strategic Plans and guidance.

The BaBar detector is pioneering for the high-energy physics community the use of object-oriented programming and use of the C++ computer language, as well as storing, retrieving and analyzing event data from a multi-hundred CPU computing arrays. SLAC is working cooperatively through CRADA and SBIR agreements with industry to develop the object-oriented database management program upon which future distributed analysis for the LHC and other major experiments depend. The U.S. Large Hadron Collider (LHC) detector programs have benefited, and continue to benefit from the work of the BaBar collaboration in this area.

In addition, the Laboratory's theoretical physics program is internationally recognized as a leader in a number of sub-fields. SLAC theory has the lead in the international consortium examining the physics for the next generation of linear colliders.

The SLAC Spires database is a major on-line source for electronic access to high-energy physics publications. In addition, the Beam Line quarterly magazine makes available high-quality articles with a high level of professional quality, yet accessible to an educated general public. These activities constitute important service to the community, especially with the increased need to convey an understanding of the field to the public.

Performance Rating (Adjectival): Outstanding**3.60**

Performance Criteria: 1.3

Effective and efficient research program management.

Performance Measure: 1.3.a

Available points: 100

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

Performance Narrative:

SLAC has consistently provided, and continues to provide, well-developed research plans in the design and utilization of accelerators, in detectors, and in the area of theory. As noted above, the B-Factory, i.e. PEP-II collider and BaBar detector, exceeded its design parameters for peak and integrated luminosity, an unprecedented accomplishment in the first year of operation. The B-factory Project was awarded the first DOE Deputy Secretary's Award for Excellence in Project Management. This record was accomplished by careful management of personnel and resources, and effective management in redirecting personnel and resources to capture the physics made available by the outstanding performance of the facility. This accomplishment is especially noteworthy, because of the need to coordinate the activities of the international collaboration for the BaBar detector, including the international funding agencies.

SLAC has a tradition of strong leadership, a tradition that continues with the new director, who started in August 1999. However, at the present time the deputy directorship remains unfilled, and the associate director for research is filled on an acting basis. It is important for a strong leadership team to be put in place as soon as possible, to assist in the management of this complex laboratory.

Performance Rating (Adjectival): Excellent

3.50

Performance Criteria: 1.4

Success in construction and operation of facilities.

Performance Measure: 1.4.a

Available Points: 80

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

Performance Narrative:

As noted above, the PEP II B-factory construction project was awarded the first DOE Deputy Secretary's Award for Excellence in Project Management.

The B-factory not only achieved its design performance specifications, but exceeded them in an extraordinarily short time. PEP-II has continued its outstanding performance through FY 2000. It has consistently operated above its design daily integrated luminosity level of 135 pb^{-1} with a peak integrated luminosity of 164 pb^{-1} , 121% of design. During FY 2000 it has also exceeded its design peak luminosity of $3 \times 10^{33} \text{ cm}^{-2} \text{ sec}^{-1}$. The BaBar detector has routinely logged greater than 95% of the available luminosity. By the end of FY 2000, BaBar had recorded 23.6 fb^{-1} against a planned level of 15 fb^{-1} . This level of performance is unprecedented so soon after commencement of operations.

Performance Rating (Adjectival): Outstanding

4.00

B. SYNCHROTRON RADIATION:

Available Points: 100

Performance Objective #1: Scientific Research and Technology Development Programs

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

Performance Criteria: 1.1

Quality of fundamental and applied science.

Performance Measure: 1.1.a Available Points: 20

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

Performance Narrative:

The Office of Biological and Environmental Research (BER) notes that Stanford Synchrotron Radiation Laboratory (SSRL) program is structural molecular biology is recognized world-wide as outstanding. The highly-regarded research staff in this area is making major contributions to synchrotron science, and is publishing leading-edge papers in major scientific journals. This staff enables Users of the facility to obtain outstanding results, evidenced by the many prominent structures that have been published during the past year in the leading journals.

The Office of Basis Energy Science’s (BES) Division of Materials Sciences and Engineering (DMS&E) supports research using the SSRL and other synchrotron facilities. The quality of this research at SSRL is very highly regarded, with the first-rate investigators working on important research problems, which are important to the BES Program. In the past few years, DMS&E has supported the outstanding work of Z-X Shen, who has made considerable progress in pursuit of the High Tc Superconductor problem. This area is central to the condensed matter physics research supported by this division. Martin Greven has initiated a first-rate crystal growing effort at SSRL, and is using the crystals in both x-ray and neutron scattering efforts, which are entirely consistent with the DMS&E emphases.

For the BES Division of Chemical Sciences, Geosciences, and Biosciences, the quality of data being generated from the new Molecular Environmental Sciences Beam Line Facility, BL-11, indicates that the beam line will be an important component of meeting the scientific needs of the heavy element community.

Performance Rating (Adjectival): Outstanding	3.85
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Performance Criteria: 1.2

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a

Available Points: 30

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

Performance Narrative:

SSRL experimental facilities provide outstanding service to the external community in structural molecular biology. Users come from all categories of institutions with their most difficult structural problems to obtain essential data a SSRL. The facilities also are highly relevant to BER program needs in the life sciences, particularly with the redirected focus of the experimental structural biology program on study of complex biological systems.

There are a number of other activities supported by BES/DMS&E. These include:

- The collaboration with the University of Texas-El Paso to enhance the participation of Hispanic students in x-ray scattering.
- The Linac Coherent Light Source (LCLS), and the Free-Electron Laser (FEL) collaboration with other laboratories.
- The microbeam technique development with Batterman

All of these are felt to be of great importance to the goals of DMS&E, and are being performed at an outstanding level.

For the BES Division of Chemical Sciences, Geosciences and Biosciences, the addition of Jo Shohr as SSRL Deputy Director is welcomed. He strengthens the research that is being carried out by SSRL scientists by adding new areas, including microstructure of magnetic materials, as well as polymeric materials (Photoelectron Emission Microscope 2 and, potentially, Photoelectron Emission Microscope3).

Performance Rating (Adjectival): Outstanding

3.75

Performance Criteria: 1.3

Effective and efficient research program management.

Performance Measure: 1.3.a

Available Points: 20

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

Performance Narrative:

Planning for the structural molecular biology program at SSRL is outstanding. Plans for improving the facility to take advantage of new technology is of high quality. The facility has consistently taken the lead nationally in implementing the latest detectors and other instrumentation. The program is operated in a highly efficient manner. The limited operating funds provided by BER support a large number of users in crystallography, spectroscopy, and small-angle scattering. Equipment funds are expended in a highly cost-effective manner, for example offering users a superior data management system put together with a modest amount of funding.

The outstanding and relevant science performed at the SSRL equates to outstanding program management. For example, the project management (Tom Elioff) for the SPEAR3 Upgrade Project has been exemplary.

Performance Rating (Adjectival): Outstanding

3.95

Performance Criteria: 1.4

Success in construction and operation of facilities.

Performance Measure: 1.4.a**Available Points: 30**

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

The following review procedures constitute the peer review process for determining the research quality and productivity of the scientific endeavors at DOE facilities:

1. The Director of Office of Science has the primary responsibility for evaluating laboratory scientific research performance. In carrying out this responsibility, the Director is likely to request assistance from the Program Managers under whose jurisdiction the scientific program falls.

2. In performing this evaluation, the Director will utilize a variety of different reviews, which could include:

Advisory Committees reporting to the Director that are appointed formally through the Federal Advisory Committee Act.

Program Manager's review of projects at the laboratory using independent technical experts.

Reviews of relevant laboratory activities conducted, as requested for the Secretary of Energy, or for other Secretarial Officers.

Reviews performed by the contractor, which may or may not involve active participation of Department personnel, or prior review by the Department of contractor peer review procedures.

3. All reviews address the criteria and measures described above, in High Energy Physics and Synchrotron Radiation.

4. Results of the review are documented and, as appropriate, include ratings for each criterion and measure.

5. The documented ratings of the reviews are available for use by other DOE groups reviewing the same projects, perhaps at a higher organizational level. Contractor reviews, when transmitted to the Department, are available in the same way

6. Summaries of recent documented reviews and ratings of the laboratory are provided to Assistant Secretaries and the Director of Office of Science for their use in evaluating overall laboratory performance.

7. The Assistant Secretaries and the Director of Office of Science provide their evaluations to the Department's cognizant Contracting Officer, who has responsibility for evaluating the performance of the laboratory contractor.

Performance Narrative:

SSRL has been operating in an extremely productive manner over the past year. BES has received several Users' comments that it was a "real pleasure to do science at SSRL these days." The SSRL operating statistics have been outstanding- - this is important to the BES mission in support of User facilities.

Performance Rating (Adjectival): Outstanding	4.00
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BUSINESS MANAGEMENT

Performance Area: EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION

Cumulative Available Points 15

Performance Objective: # 1 Equal Opportunity and Affirmative Action

Maintain effective internal program controls to ensure SLAC's Equal Opportunity Programs is in accordance with all Federal Civil Rights Statutes and the Affirmative Action Program is in accordance with the Code of Federal Regulations 41-CFR 60-2.

Performance Criteria: 1.1

Program Development and Maintenance: Develop and maintain an Equal Employment and Affirmative Action Program at SLAC that meets the Department of Labor's compliance criteria and the Department of Energy's EEO Contractual requirements.

Performance Measure: 1.1.a

Available Points: 15

Compliance Standing and Operational Awareness

Development, maintenance, and existence of control systems that would enable the standing of the EEO/AA program to be assessed quickly and efficiently. Assess and evaluate the strategic plan contained in the Annual Affirmative Action Plan.

Performance Assumptions:

Program and Plan:

The maintenance of a current EEO/AA program through the development of an annual affirmative action plan to identify areas of under utilization and to assess progress in reaching full utilization of minorities and women in accordance with regulatory guidelines. Contained within this annual plan, with the concurrence of DOE/OAK, will be the identification of high priority occupation areas along with a strategic plan.

Performance Gradient:

Outstanding:

In the aggregate, improve utilization of high priority underutilized job groups and achieve full utilization in any of the high priority job groups while showing no reduction in utilization in all other job groups.

Excellent:

In the aggregate, improve utilization of high priority underutilized job groups while showing no reduction in utilization in all other job groups.

Good:

Within the annual affirmative action plan, the laboratory will develop a strategic plan in concurrence with DOE/OAK. The laboratory will provide evidence of its commitment by providing a report on the results of an annual strategic plan including topics such as recruitment, selection, and retention efforts involving minorities and women. The report shall include workforce data a year apart depicting job group tables which list employment by ethnicity and gender and which will identify the level of utilization for minorities and women.

Marginal:

Fails to develop an acceptable Plan.

Performance Narrative:

Since FY 1997, SLAC has focused attention on the Mechanical Engineering and Electronics Technicians job groups to bring about improvement in representation of minorities and women respectively. Placement opportunities to improve representation of minorities and women in these two "high priority" groups have been quite limited during this four year period, through FY 2000. There have been only 8 total hires in the Mechanical Engineering job group and only 19 in the Electronic Technician group over this four year period.

Mechanical Engineers

For FY 2000, only two vacancies were filled in the Mechanical Engineering job group, with no minority placements. The total population in the Mechanical Engineering job group has remained at 36 since FY 1998 and minority representation has remained at 4 or 11.1 percent.

Available opportunities at SLAC for recently graduated mechanical engineers will continue to be limited. The Laboratory continues to utilize the National Consortium for Graduate Degrees for minorities in Engineering, Inc., as a primary source or pipeline for minorities. One minority, a Hispanic male, currently in the program, is expected to finish his graduate studies in FY 2001. He will become a candidate for employment at SLAC at that time. Due to SLAC's budgetary concerns, the current trend to fill technical positions with highly experienced applicants is not expected to subside soon. Thus, employment opportunities at SLAC for recently graduated individuals with technical skills, will probably remain unpredictable until the budget situation improves.

Electronic Technicians

SLAC's efforts to recruit women for the limited number of vacancies in the Electronics Technicians job group continue to be unsuccessful. Of the six new hires and two promotions into this job group, there were no women. The Laboratory attributes this lack of recruitment success to the "fierce" competition in the Silicon Valley. Compensation packages offered individuals with highly sought technical skills are far more attractive than offers made by SLAC. The Laboratory's need to fill vacancies with senior and principal technicians and the continuing decline in the number of women pursuing careers in the Electronics Technicians field are also hurdles to successful recruitment.

Total population in the Electronics Technicians job group declined from 67 in FY 1999 to 63 in FY 2000. The total number of women remained at 6 during this twelve months period. Given the Laboratory's successful effort to retain women in this job group as total employment for the group declined, the percentage of women rose slightly from 9.0 to 9.5 percent.

Summary

SLAC's FY 2000 performance merits a Good rating. Efforts were implemented in good faith to recruit minorities for Mechanical Engineering and women for Electronic Technician vacancies. Opportunities to recruit have been limited due to continued consideration of those individuals in layoff status. Overall, minority representation increased slightly to 29.2%, reflecting a 0.6% increase. The increase for women was 1.0%, resulting in overall utilization of 23.2% for this group. There were no minorities and no women placed in high priority job groups during FY 2000. Minority representation in the Mechanical Engineering job group remained at 11.1% and due to SLAC's efforts to retain women in the Electronics Technicians job group, utilization increased slightly although total population declined.

Performance Rating (Adjectival): Good	2.80
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Performance Area: HUMAN RESOURCE MANAGEMENT

Cumulative Available Points 35

Performance Objective: #1 Attraction/ Retention of Qualified People

SLAC will attract and retain highly qualified people by having a cost effective total compensation program which is competitive with the relevant job market.

Performance Criteria: 1.1 Direct Compensation Program

Direct compensation (salary) programs will reflect the University's mid-market compensation philosophy.

Performance Measure: 1.1.a Average Salary Available Points: 10.0

Average salary for benchmark positions, excluding bargaining unit positions, as measured by recognized salary surveys conducted annually will be within $\pm 5\%$ of the aggregate average for jobs at the time of program implementation. No more than 20% of benchmark positions should exceed $\pm 10\%$ of their individual survey comparators.

Performance Assumption:

Rating category will be subjectively determined by DOE in agreement with SLAC.

Performance Gradient:

Track and trend

Performance Narrative:

The comparison of Laboratory benchmarked positions to recognized survey comparators indicates that, in the aggregate, such positions are 3.22% below market. This is within the $\pm 5\%$ expectations for this measure. The laboratory has moved closer to the market this year when compared to the 4.75% lag in FY1999.

Of the 72-benchmark positions, 48 are within $\pm 10\%$ of the survey comparators. This is 67% of the total and does not meet the 80% requirement of this measure. Twenty-four benchmark positions were

outside of the +/-10% expectation. Of these 17 were more than 10% below market and 7 were more than 10% above market. The positions are tabulated on a simple average method. Therefore, those with small populations have equal weight to those with large populations.

Stanford University determines merit budgets for SLAC. The laboratory receives the same merit budget as the other University departments. Merit budgets, including special adjustments, have totaled 3.0%, 3.5% and 3.0% for the last three years respectively. These amounts are below average merit budgets for other employers during the same period of time.

The salary comparisons to surveys by Stanford are normally finalized each spring for the salary cycle beginning September 1st. The merit budget for the salary cycle beginning September 2000 was 6.0% including a ½% adjustment for exempt employees. However, this was subsequent to the survey comparisons addressed in this performance measure. The implementation of this budget should assist SLAC in bringing its overall position closer to market and decrease the number of individual benchmark positions that are +/-10% of their survey comparators.

A rating of “Good” is appropriate. The laboratory reduced its overall lag to market from 4.7% to 3.22% this year. The percentage of individual benchmark positions that exceeded +/-10% of market remained constant from last year, with the number of positions more than 10% below market reduced, from 20 to 17. The increase in those more than 10% above market were the result of market adjustments necessary to maintain competitiveness. These results indicate that SLAC is closely monitoring the market and maintaining the overall competitiveness despite the challenges its geographic location and funding limitations provide.

Performance Rating (Adjectival): Good	2.60
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Performance Criteria: 1.2 Indirect Compensation

Indirect compensation (benefit) programs will be consistent with local market practices and provide for the well-being of SLAC employees.

Performance Measure: 1.2.a Benefit Program Available Points: 5.0

The benefit program (to include programs such as: retirement, medical and dental, vacation, sick and other paid leave, life insurance, accidental death and dismemberment, worker's compensation, social security, unemployment, short and long term disability, holidays, and tuition grant) as measured by agreed to survey will be within $\pm 7.5\%$ of the local average when the above benefits are expressed as percent of salary.

Performance Assumptions:

Rating category will be subjectively determined by DOE in agreement with SLAC.

Performance Gradient:

Track and trend

Performance Narrative:

The laboratory compares benefit costs to those contained in the Chamber of Commerce survey. This does not include such items as profit sharing and stock options. The benefit programs compared to the Chamber of Commerce survey include retirement, medical and dental insurance, vacation, sick and other paid leave, life insurance, accidental death and dismemberment, worker's compensation, social security, unemployment, short and long term disability and holidays. These are common to many employers. In addition, benefit costs for SLAC include the Tuition Grant for children of staff. This is a cost specifically born by the laboratory, yet is included in the average cost comparison to the Chamber of Commerce Survey. The Tuition Grant increases the overall SLAC benefit costs by 0.9%.

The average benefit cost of all companies in the survey is 38.2% of payroll. The SLAC cost is 43.4%. SLAC is 5.2% above as a percentage of payroll. This is within the 7.5% range of market average called for in the performance criteria.

The method of determining the total SLAC benefit costs was revised this year. The benefit pool paid to Stanford remained as before, but the various categories of paid leave were accumulated by the accounting department and reported this year. This, as well as SLAC's comparison of its 1999 costs

to the survey's 1998 data, accounts for the increase in benefit costs from 35.3% last year to 43.4% this year.

Performance Rating (Adjectival): Excellent	3.20
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Performance Objective: # 2 Customer Needs

The Human Resource Management will monitor employee customer feedback in order to ensure high quality service to its employees.

Performance Criteria: 2.1

Requirements, expectations and preferences of customers are collected and addressed.

Performance Measure: 2.1.a

Available Points: 5.0

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

Performance Assumptions:

Rating category will be subjectively determined by DOE in agreement with SLAC.

Performance Gradient:

Subjectively determine among: Outstanding, Excellent, Good, Marginal and Unsatisfactory.

Performance Narrative:

For several years SLAC Human Resources Management (HRM) has conducted a customer satisfaction survey to determine how well it has met the needs of its customers and to identify areas of improvement. This was conducted in FY-2000 in compliance with this performance measure.

The customer survey covers all functional areas of human resources management at SLAC. The return rate for this year was only 20%, which is small. Last year a telephone survey was conducted. It covered the same subjects as the current survey.

The survey has five levels of satisfaction identified, each with a numerical score.

- Beyond expectations 1
- Meets expectations 2
- Usually meets expectations 3
- Sometimes meets expectations 4
- Rarely meets expectations 5

There are twenty-four individual items in the survey. Each item has four factors to be evaluated, Effectiveness, Responsiveness, Timeliness and Clarity. The average score for each item is accumulated to give an overall score. The aggregate score this year was 2.5. However, anecdotal and observational information suggests the level of customer satisfaction is higher.

Following the 1998 self-assessment customer feedback, the human resources department established six action items to address concerns. Results of these action items include: reduced number of signatures required on job requisitions; introduction of a new hire orientation program; reduced processing time for reclassification requests and improved informal resolution of employee issues. The customer satisfaction action plans developed this year include improvement in communication regarding the student work programs; continue to reduce the response time on requests to hire; reduce reclassification time with a target of 50 days and develop a different methodology for assessing customer satisfaction.

SLAC has in the past, and continues at this time, to assess and respond to customer satisfaction concerns. It followed through on the action plans established for FY-2000 and has identified those to be implemented during FY-2001.

A rating of Exceeds Expectations is appropriate for this performance measure.

Performance Rating (Adjectival): Excellent	3.20
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Performance Objective: # 3 Personnel Policy Compliance

SLAC will comply with Stanford University Personnel Policies as stated in the most current Administrative Guide.

Performance Criteria: 3.1 Personnel Policy Compliance

Periodic self-assessment of SLAC Human Resource Department practices in Employment, Benefits, Compensation, Employee Relations, Training and Development, and Performance Evaluation will indicate complete compliance with University Personnel policies.

Performance Measure: 3.1.a Available Points: 15.0

SLAC Human Resource Department staff will assess two of the six areas every year such that each area is reviewed every three years and will find complete compliance with Stanford University policy requirements. The self-assessment will be submitted to DOE for review and validation. (During FY 2000, Training and Employee Relations will be reviewed.)

Performance Assumptions:

Rating category will be subjectively determined by DOE in consultation with SLAC.

Performance Gradient:

Subjectively determine among: Far Exceeds Expectations; Exceeds Expectations; Meets Expectations; and Needs Improvement.

Performance Narrative:

Employee/Labor Relations

SLAC is contractually required to follow Stanford University Employee/Labor Relations policies and practices, including the provisions of the collective bargaining agreement applicable to represented employees. These include Guide Memos 22.8 Separation From Employment, 22.10 Staff Dispute Resolution and 22.15 Corrective action.

Involuntary terminations are actions that require care in their execution by an employer. SLAC evaluated the six involuntary terminations that occurred during this evaluation period. Three were within the bargaining unit and three were outside of it.

SLAC evaluated all of the involuntary terminations to determine if they were performed in accordance with the appropriate administrative guides and the collective bargaining agreement. In each instance, all applicable procedures and requirements were followed.

Except for employees terminated during their initial trial period, all have recourse to formal grievance and arbitration procedures if they believe the termination was incorrect. None of the employees terminated during the evaluation period filed a grievance concerning their terminations.

The collective bargaining agreement contains three “side letters” to provide accommodation to employees working unusual shifts. Twenty-eight employees are covered by these side letters in three departments. A sample of six employees covering all departments and work schedules were reviewed to assure the laboratory was complying with these agreements. In all instances, it was in compliance.

A fourth “side letter” to the labor agreement limits the performance of bargaining agreement work by temporary agency employees. The employment of temporary agency employees is highly visible to SLAC collective bargaining unit employees as it affects their job security. Nine temporary agency employees were working where this side letter would restrict them. None were allowed to exceed the conditions contained in it.

The Employee/Labor Relations staff meets with workers and their union representatives to resolve issues prior to the grievance process. The goal is to resolve disputes and complaints informally. This is evident as during this reporting period only one grievance was filed by a collective bargaining unit employee. At the same time, there were no grievances filed by non-bargaining unit employees to resolve disputes.

Training and Development

SLAC/HRM is responsible for the administration of staff development program training requests in accordance with Guide Memo 22.11. This includes the requirement for supervisory approval, eligibility, applicability, allowable expenses and evidence of completion findings.

During Fiscal Year 2000 there were 816 instances where employees participated in training administered through the Human Resources Training Office. A random sample of 60 requests, 5 per month, were selected for review. This represents 7.3% of the total.

All of these actions were completely in compliance with guide memo 22.11 requirements concerning supervisory approval, eligibility and applicability. Fifty-nine of the sixty were in compliance with the allowable expense requirements. One was processed in error after available funds had been exhausted. Five actions had evidence of completion. These were the only ones in which this was required to provide reimbursement to employees. SLAC is in compliance with the Stanford policies and practices concerning the administration of training development.

To assist employees in understanding the various SLAC training reimbursement programs, human resources took steps to communicate this information. This included the topics of eligibility, applicability and appropriate expenses. This was done through articles in the SLAC newsletter “Interaction Point”, answers to questions on the home page and specific items available on the SLAC

web page. In addition, the reimbursement form was redesigned to assist in minimizing questionable claims.

Summary:

In the functional areas of Employee/Labor Relations and Training and Development, SLAC is in compliance with the Stanford policies and procedures. It is evident by the minimal number of grievances filed, that the laboratory is maintaining good working relationships with its employees. It has also taken positive action to ensure that employees understand the training reimbursement program to assist them in utilizing it to their and the laboratory's advantage. Therefore, a rating of **Outstanding** is appropriate.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Area: FINANCIAL MANAGEMENT

Cumulative Available Points 55

Performance Objective: #1 Financial Stewardship

Effective and Efficient Cash Management

Performance Criterion: 1.1

Accounts payable are managed in a timely and efficient manner.

Performance Measure: 1.1.a

Available Points: 3.5

Cost effective discounts are taken according to DOE guidelines.

Performance Assumption:

Measure the number and dollar value of cost effective discounts available vs. discounts taken on a quarterly basis. Year-end results will be converted into an index to be rated as indicated below. Identify whether or not there is a budget effect from any lost discounts, that is, the failure to take advantage of a discount forces a budgetary or operational change. Narrative explanation of special circumstances relating to cost effective discounts may be considered for adjustment to the rating.

Performance Gradient:

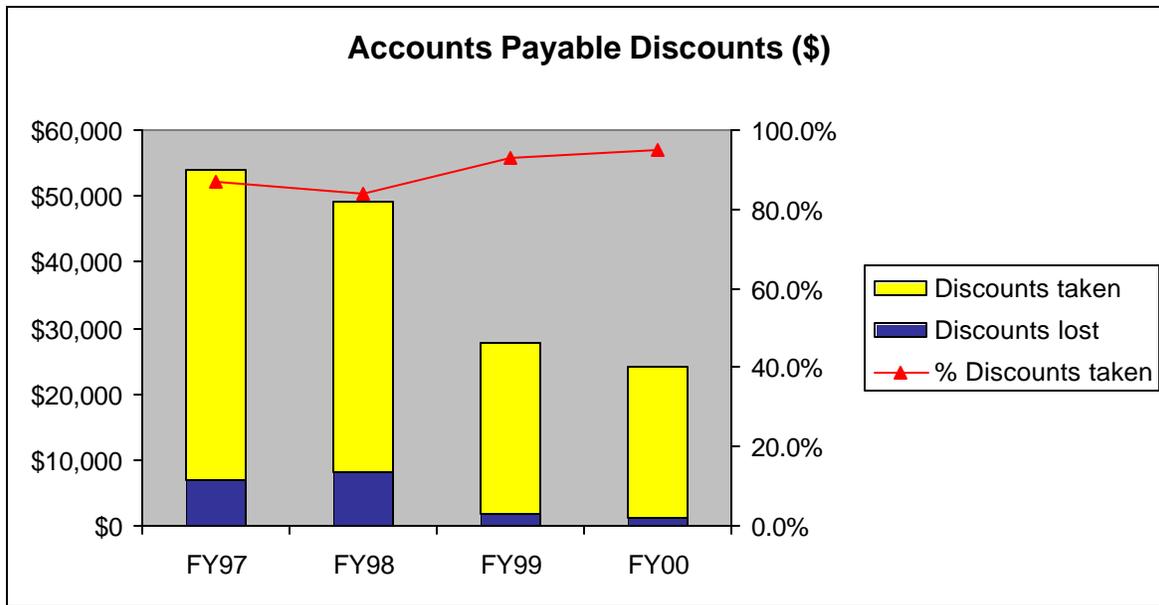
Outstanding:	99-100% of cost effective discounts taken with no budget effect
Excellent:	95-98% of cost effective discounts taken with no budget effect
Good:	90-94% of cost effective discounts taken with no budget effect
Marginal:	86- 89% of cost effective discounts taken with no budget effect
Unsatisfactory:	Less than 85% of cost effective discounts taken with or without budget effect

Cost Effective Discounts Index

	<u>Weight</u>
% cost effective discounts taken (number)	40%
% cost effective discounts taken (dollar value)	60%
	100%
<p>Example,</p> <p>51 out of 60 discounts taken = .85 @ 40% = .34</p> <p>\$14,500 out of \$15,000 in discounts taken = .967 @ 60% = .60</p> <p>.34 + .60 = .94 = 94% = Good</p>	

Performance Narrative:

During FY 2000, the accounts payable features of SLAC’s PeopleSoft accounting system continued to assure that timely payments were made and available discounts taken. The following graph reflects the amount of available discounts, the amount of discounts lost and the percentage of discounts taken over the past four fiscal years.



The amount of discounts available continues to decrease due to the efforts of SLAC buyers to obtain the lowest possible contract prices. The amount of discounts lost also continues to decrease due to the automated payment request features of the PeopleSoft system.

For FY2000, the cost effective discounts index is calculated as follows:

<u>Cost Effective Discounts Index</u>	
	<u>Weight</u>
% cost effective discounts taken (number)	40%
% cost effective discounts taken (dollar value)	60%
	<hr/> 100%
FY 2000 Calculation:	
922 out of 967 discounts taken = .954 @ 40% = .381	
\$22,877 out of \$24,160 in discounts taken = .947 @ 60% = .568	
.381 + .568 = .949 = 95% = Excellent	

SLAC's achievement in taking 95.0 percent of available cost effective discounts and the quality of SLAC's purchase/accounts payable process earns an **Excellent** rating.

Performance Rating (Adjectival): Excellent	3.00
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Performance Criterion: 1.2

Accounts receivable delinquencies are minimized.

Performance Measure: 1.2.a**Available Points: 4.5**

Reduce the amount of delinquent accounts receivable 90, 91 –180 days old.

Performance Assumptions:

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

Performance Gradient:**Outstanding:**

No receivables are delinquent more than 180 days, the value of receivables more than 90 days old is less than 1% of the value of total receivables, and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines by 20% from the previous year's number.

Excellent:

The value of receivables delinquent more than 90 days is less than 2% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines by 10% from the previous year's number and strategies are implemented to promote prompt collection of monies owed by BaBAR international and domestic collaborators.

Good:

The value of receivables delinquent more than 90 days is less than 3% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury. Alternatively, the number of receivables delinquent more than 90 days declines% from the previous year's number and strategies are developed to promote prompt collection of monies owed by BaBAR international and domestic collaborators.

Marginal:

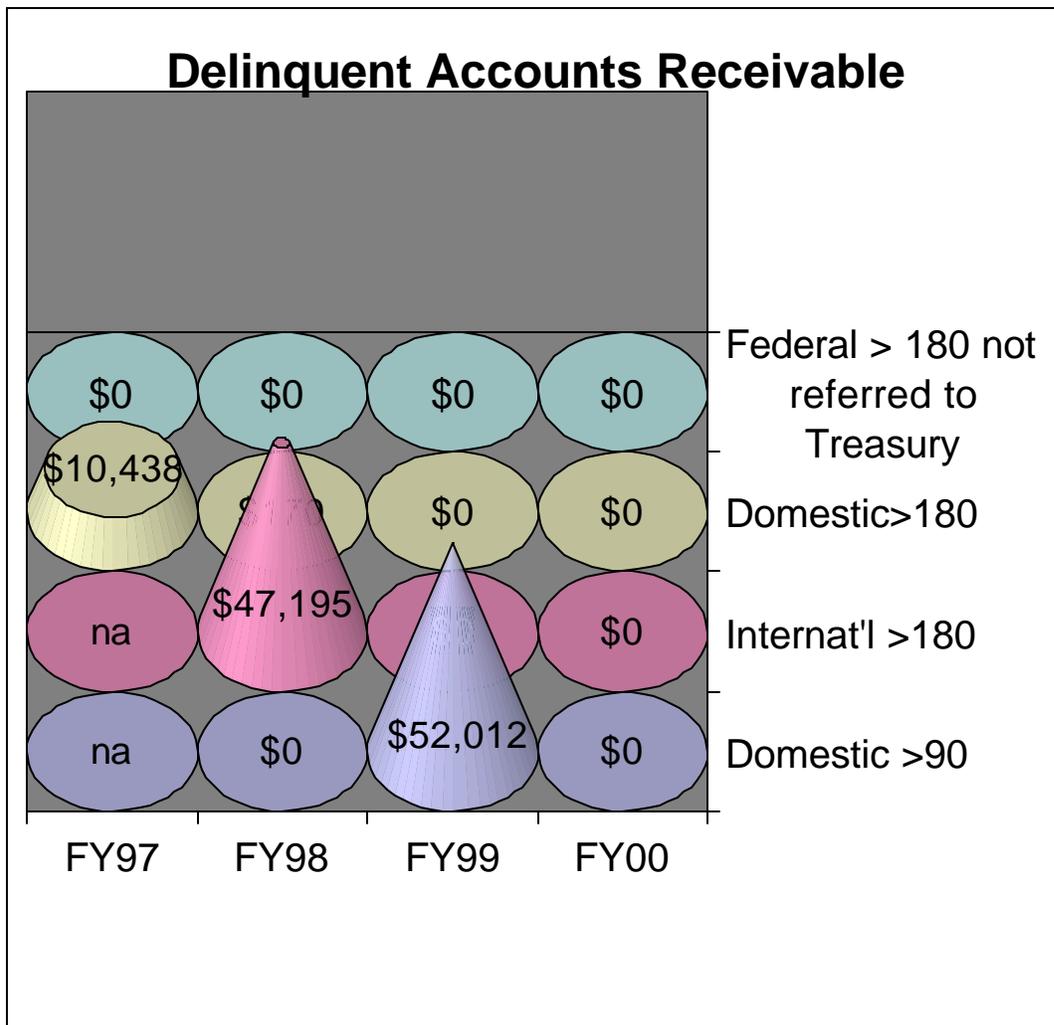
The value of receivables delinquent more than 90 days is less than 4% of the value of total receivables or the number of receivables delinquent more than 90 days declines by 3% from the previous year's number.

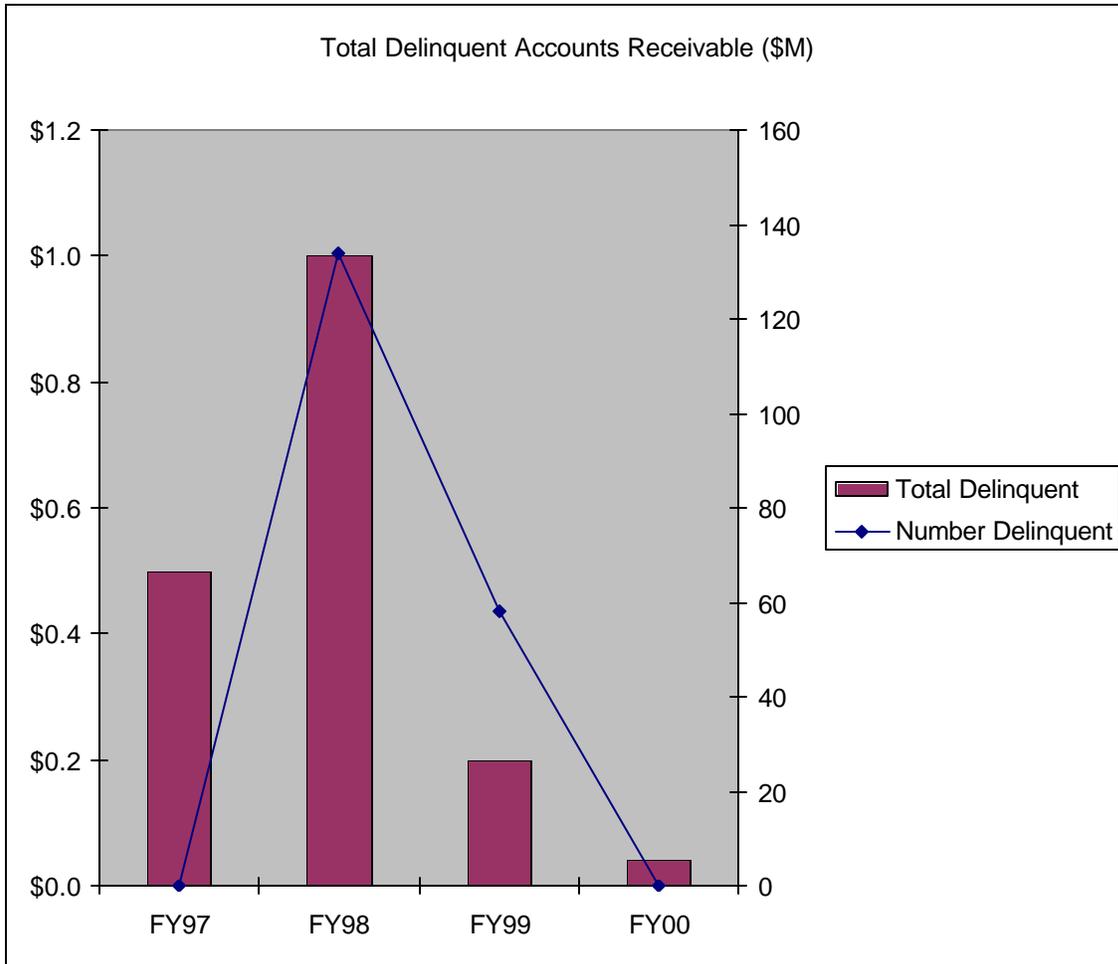
Unsatisfactory:

The value of receivables delinquent more than 90 days is greater than or equal to 4% of the value of total receivables or the number of non-Federal receivables more than 180 days old is greater than or equal to 3% of the number of total receivables.

Performance Narrative:

During FY 2000, SLAC has continued its improved process for collecting receivables due from international customers. SLAC has also maintained low amounts of delinquent receivables overall, zero domestic receivables over 90 days delinquent, and 0 foreign receivables over 180 days delinquent. SLAC's performance trend in this regard is reflected in the following charts.





The gradient for this performance measure also calls for an analysis of the decline in the number of delinquent receivables over 90 days old in FY 2000 vs. FY 1999. The results of that analysis follow:

	FY 1999	FY 2000	% Change
Number of Delinquent Receivables	58	0	(100.0%)

This decline in receivables delinquent more than 90 days is a noteworthy achievement and a testament to SLAC’s improved accounts receivable process. This achievement, coupled with the results reflected in the charts above, meets the **Outstanding** performance gradient for this performance measure.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Criterion: 1.3

Cash management practices are monitored and improved (Travel department card management, Sanwa/Mellon banking services).

Performance Measure: 1.3.a

Available Points: 4.0

Cash management includes, at a minimum, monitoring Travel department card management and Sanwa/Mellon banking services.

Performance Gradient:

Banking Agreement:: Develop baseline data for accuracy of service charges and maintenance of balances at or as close to zero as possible. *Banking Services from Sanwa/Mellon* are monitored to assure minimum balances are maintained, service charges are corrected, and issues are promptly resolved.

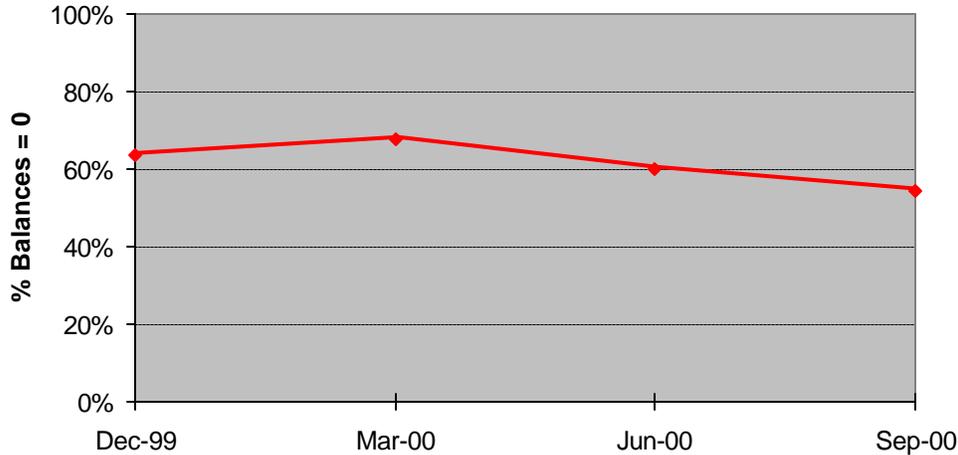
Travel department cards: Develop baseline data for uses and balances. *Travel department cards* are monitored to assure appropriate use and prudent management.

Performance Narrative:

Banking Agreement

During FY 2000, SLAC's Payments Cleared Financing Agreement account with Sanwa Bank experienced only 4 instances of excessive balances, continuing a positive trend in the decline of such balances. This rate of excessive balances represents a 43 percent decrease over FY 1999, when there were 7 instances of excessive balances. In addition, the annualized percentage of days with zero balances, based on the quarterly results reflected below, continues to be 60 percent.

SLAC DAILY BALANCES



SLAC reviews the Schedule of Bank Services and Charges from Sanwa Bank on a monthly basis to assure that charges are consistent with the Payments Cleared Financing Agreement. One erroneous charge was quickly resolved by the bank. SLAC accounting personnel work closely with Sanwa Bank representatives in monitoring the account and meet periodically to discuss and resolve issues.

Travel Department Cards

Travel department cards are American Express credit cards that provide a mechanism for charging airfare and other travel costs and receiving cash advances rather than issuing checks from SLAC. These cards are for use only by students and others who do not have a credit card. Balances are paid by SLAC. These cards are different from personal Stanford American Express cards that are used by employees and are their responsibility to pay. Only 30 Travel Department Cards have been issued and the average monthly use is 5 cards. The average monthly balance is less than \$10,000.

There were no delinquent card balances during FY 2000.

The rating for this performance measure is based upon tracking and trending data. SLAC's performance under this measure is therefore rated **Good**, which is the highest rating that may be received for a track and trend measure.

Performance Rating (Adjectival): Good	2.90
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Performance Criterion: 1.4

Revenues are properly recorded.

Performance Measure: 1.4.a

Available Points: 4.0

Revenues/collections are promptly collected, recorded and properly classified (i.e., sent to Treasury or deposited into the Payments Cleared Financing Arrangement Account)

Performance Assumptions:

Contractor will track all revenues/collections received as required by DOE guidelines to ensure collections are promptly collected, recorded and classified (i.e. sent to treasury or deposited into the bank account)

Performance Gradient:

- Outstanding: 100% of revenues/collections are properly recorded and classified.
- Excellent: 98% -99% of revenues/collections are properly recorded and classified.
- Good: 95% -97% of revenues/collections are properly recorded and classified.
- Marginal: 90% -95% of revenues/collections are properly recorded and classified.
- Unsatisfactory: Less than 90% of revenues/collections are properly recorded and classified.

Performance Narrative:

SLAC receives between one hundred and two hundred small dollar value checks per month. Checks are logged individually by date and deposits posted to a spreadsheet. The spreadsheet and the accounts receivable log are matched to assure that amounts collected are deposited. Another crosscheck is made between the deposits shown on the spreadsheet and the accounts receivable data in the PeopleSoft system.

Deposits are generally made once per week unless a large check (>\$10K) is received, in which case it is deposited with the next armored transport. Foreign wires are deposited on the date of receipt, since they go directly to the bank.

During FY 2000, all collections were properly recorded and classified, which satisfies the gradient for a rating of **Outstanding**.

Performance Rating (Adjectival): Outstanding

4.00

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Performance Objective # 2. Financial Stewardship

Quality Budget Formulation & Effective Budget Execution.

Performance Criterion: 2.1

Budgets are timely submitted and adhere to DOE programmatic guidance.

Performance Measures: 2.1.a

Available Points: 3.5

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

Performance Assumption:

The annual process will be measured for timeliness and form. A narrative will describe the internal process to prepare the budget including a discussion of the balance between the programmatic and indirect (overhead) budget requirements, documented validation of the estimates and any improvements in the process.

Performance Gradient:

Outstanding:

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

Excellent:

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

Good:

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

Marginal:

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

Unsatisfactory:

This rating is assigned if a budget is not submitted.

Performance Narrative:

SLAC is rated as **excellent** for submitting a timely validated budget. SLAC met the three target dates required by DOE HQ for Primary Budget Justifications, Project Data Sheets, and Crosscuts; Supplementary budget materials data; and Planned Acquisition of Capital Assets. SLAC and DOE OAK jointly participated in validating the Basic Energy Science (BES) and Biological and Environmental Research (BER) FY 2002 submission. In the last two years, 49.4% of SLAC’s budget was validated: 30.4% last year and 19% this year. Therefore, SLAC meets the 20% budget validation criteria. The SLAC Budget Office works closely with upper Laboratory management as well as the Directorates to establish a reasonable budget submission that consider uncosted balances. SLAC received little or no written guidance from HQ; therefore, the Laboratory Director provided the Directorates guidance for preparing the budget submission.

FIVE YEAR VALIDATION PLAN VS ACTUALS (\$ in M)

	PLAN	% of Total	ACTUAL % of Plan	
FY01	\$47.0	19.9%	\$72.0	30.4%
FY02	\$45.8	19.4%	\$44.9	19.0%
FY03	\$64.0	27.0%		
FY04	\$40.4	17.1%		
FY05	\$39.4	16.7%		
TOTALS	\$236.6	100.0%	\$116.9	49.4%

Five Year plan is based on FY 2001 request
 From FY 01 to FY 05 OAK plans to validate 100% of the Total FY 01 request
 Total validations completed through FY 02 equals 49.4% of FY 01 request

Performance Rating (Adjectival): Excellent	3.50
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Performance Criteria: 2.2

Manage uncosted balances.

Performance Measure: 2.2.a

Available Points: 4.0

Reduce or maintain uncosted balances within the criteria established by the DOE.

Performance Assumptions:

SLAC will provide a narrative including charts where appropriate.

Performance Gradient:

Outstanding:

This rating is achieved by meeting the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Excellent:

This rating is achieved by having less than 15% of the total uncosted balances exceeding the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Good:

This rating is assigned by having less than 20% of the total uncosted balances exceed the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Marginal:

This rating is assigned if more than 21% of the total uncosted balances exceeds the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Unsatisfactory:

This rating is assigned if more than 30% of the total uncosted balances exceeds the DOE established dollar threshold for operating and plant excluding line item construction reimbursables.

Performance Narrative:

SLAC is rated as **good** in managing uncosted balances. SLAC has two major programs: High Energy Physics (HEP) and Basic Energy Science (BES). SLAC stayed within the Controller's Office guidance for operating and capital equipment for the HEP program that represents approximately 85% of their budget. However, SLAC has some difficulty in maintaining the Controller's Office guidance

for the BES program. This is the second year that the BES program has had to justify balances in the uncosted balance review. BES had total operating costs of \$20.8M and had to justify \$4.8M or 24%. HEP had total operating cost of \$120.1K and the remaining balance was within the Controller's Office guidance. The balancing of these two major program areas is what rates SLAC at the good. SLAC does need to improve monitoring of the BES program and keep their uncosted within the Controller's guidance.

Performance Rating (Adjectival): Good	2.50
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Performance Criterion: 2.3

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

Performance Measure: 2.3.a**Available Points: 4.5**

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

Performance Assumptions:

SLAC will describe the system used to control costs and commitments, identify the number of DOE authorized funding levels measured, the number of times the DOE authorized funding levels were exceeded, the number of times there were costs in excess of the estimated cost and obligation report (ECOR).

Definitions:

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

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

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

Performance Gradient:

Outstanding:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for each accounting period, demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels, training and development on laboratory financial processes and assuring that funding changes are handled within normal funding cycles.

Excellent:

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

Good:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for 10 of the 12 accounting periods, a demonstrated internal process that ensures controlling costs and commitments at the ECOR, and that funding changes are handled within normal funding cycles 80% of the time.

Marginal:

This rating is assigned by staying within appropriate DOE-authorized ECOR levels each accounting period, controlling costs and commitments, and assuring that funding changes are handled 80% of the time within normal funding cycles.

Unsatisfactory:

This rating is assigned by exceeding an ECOR in any accounting period.

Performance Narrative:

SLAC is rated as **excellent** in controlling costs within the funding levels identified in the contract modification for each accounting period. Although SLAC continues to put in numerous requests for changing funding levels, they are now making the request within the normal funding cycles thus eliminating the need for additional contract modifications. This is the second year for the new financial system at SLAC and they have improved the types of reports available to their internal customers, which improves cost monitoring. SLAC commitments were within DOE authorized funding levels.

Performance Rating (Adjectival): Excellent	3.40
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Performance Objective # 3. Financial Stewardship

Effective Internal Controls and Audit Findings Follow-up.

Performance Criterion: 3.1

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

Performance Measure: 3.1.a

Available Points: 3.0

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

Performance Assumptions:

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

Performance Gradient:

- Outstanding: 96-100% of all events are resolved on schedule.
- Excellent: 86-95% of all events are resolved on schedule.
- Good: 75%-85% of all events are resolved on schedule.
- Marginal: 50%-74% of all events are resolved on schedule.
- Unsatisfactory: Less than 50% of all events are resolved on schedule.

NOTE:

Factors that will be considered for a higher rating include:

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

Performance Narrative:

During FY 2000, there were 5 audit reports issued by Stanford Internal Audit on SLAC. Three of the audits contained recommendations. The audit reports are as follow:

1. SLAC Business Services Division Windows NT Server Controls - The audit had several recommendations and SLAC has instituted most of them.
2. Allowable Cost for FY 99 - SLAC had performed corrective actions on the recommendations by the time the audit report was issued.
3. Agreed Upon Procedures Performed at SLAC for FY 1999 in Accordance with OMB Circular A-133 – There were no findings in this report.
4. Proper Authorization of Purchase Requisitions and Associated Documentation at SLAC – There were no findings in this report.
5. Review of Personal and Sensitive Property – SLAC had initiated corrective actions by the time the audit report was issued.

SLAC has become more proactive in addressing and correcting review findings. As a consequence, corrective actions are being implemented on time. This is very good business practice.

SLAC deserves an EXCELLENT rating for this measure.

Performance Rating (Adjectival): Excellent	3.30
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Performance Measure: 3.1.b	Available Points: <u>2.0</u>
Adequate internal controls are in place to ensure that travel costs reported are accurate, complete, and have supporting documentation.	

Performance Assumptions:

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

Performance Gradient:

Outstanding:

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

Excellent:

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

Good:

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

Marginal:

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

Unsatisfactory:

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

NOTE:

Factors that will be considered for a higher rating include:

- OAK validations that have positive findings
- proactive interaction with OAK in addressing and correcting travel costs issues
- timeliness of submission of travel costs

Performance Narrative:

SLAC reported to DOE travel cost of \$1.5M during FY 2000. As required by DOE, this cost excluded travel performed under work-for others, travel of subcontractors, travel of users to participate in experiments at DOE user facilities, relocation costs or costs of travel management centers. SLAC did not exceed the ceiling imposed by DOE which was \$1.7M.

SLAC previously had 4 general ledger accounts that pertain to travel. It has created 2 more accounts to capture travel costs of other DOE contractor employees that provide services to SLAC when requested.

SLAC's performance for FY 2000 is EXCELLENT.

Performance Rating (Adjectival): Excellent	3.50
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Performance Objective: #4

Ensure accounting data is recorded accurately and timely in accordance with prescribed standards.

Performance Criterion: 4.1

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

Performance Measures: 4.1.a

Available Points: 5.5

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

Performance Assumption:

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

Performance Gradient:

Outstanding:

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

Excellent:

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

Good:

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

Marginal:

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

Unsatisfactory:

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

DESCRIPTION	DUE DATE
MARS	4 th Workday, 10:00 a.m.
Reimbursable Work Overrun Reports	Monthly – 10 th day
Report on International Transactions	Quarterly
Schedule 220.9 – Receivables Due from the Public – Accounts and Loans	Quarterly
Summary of Individual Contractor Personal Property Sales	Quarterly
Financial Statement Analysis	Annual
Managerial Cost Allocations	Annual
Management Representation Letter	Annual
Current Status of Accounts Receivable from Foreign Obligors	Annual
Annual Disclosure Under FASB 106 – Post Retirement Benefits	Annual
DOE 3230.2 – Report of Contractor Expenditures for Employees’ Supplementary Compensation	Annual
Annual Disclosure Under FASB 87 – Pensions	Annual
Statement of Costs Incurred and Claimed	Annual (November 15)
Estimated Quantity and Usage – Stores	Annual

Performance Narrative:

During FY 2000, SLAC was consistently responsive to DOE reporting requirements. As the table below indicates, submittals either met the due date or were provided early. SLAC’s submittals contained no significant errors.

Report Description	Date Due	Date Submitted
MARS	4th workday, 10:00 a.m.	All timely, some early
Reimbursable Work Overrun Reports	monthly, 10th day	none to be reported
Schedule 220.9 – Receivables Due from Public	10/20, 1/15, 4/15, 7/15	All timely
Financial Statement Analysis	11/3	Timely
Managerial Cost Allocations	10/24	Timely
Managerial Representation Letter	11/27	Timely
Report on International Transactions	10/20	none to be reported
Annual Disclosure Under FASB 106 - Post Retirement Benefits	10/10	Timely
Annual Disclosure Under FASB 87 - Pensions	10/10	Timely
Statement of Costs Incurred and Claimed	11/15	Timely
Estimated Quantity and Usage - Stores	10/13	Timely

SLAC submitted these reports timely despite the adverse impacts of staffing turnover, which required workload to be added to already busy schedules of retained personnel.

SLAC’s performance against the gradients for this measure merits a rating of **Excellent**.

Performance Rating (Adjectival): Excellent	3.50
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Performance Criterion: 4.2

FY 1999 Financial Statements hold up under audit by DOE/OIG or Stanford internal Audit.

Performance Measures: 4.2.a

Available Points: 5.5

FY 1999 audited financial statements are prepared in accordance with DOE requirements.

Performance Assumption:

A narrative will be provided to describe activities and processes in support of the measure. In FY 2000, the extent of improvement over FY 1999 will be measured.

Performance Gradient:

Outstanding:

In addition to meeting the Excellent gradient, SLAC compares its financial statement analysis against other integrated contractors' processes and results as a step toward benchmarking.

Excellent:

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

Good:

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

Marginal:

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

Unsatisfactory:

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

Performance Narrative:

In FY 2000, SLAC continued its practice of reviewing financial statements based upon July and August data in preparation for year-end closing. SLAC compares prior year balances by Fund Type by Balance Sheet Code in the analysis categories prescribed by DOE, but at an even greater degree of granularity, so that SLAC accounting personnel understand the bases for the changes and can verify their validity. As a result, SLAC can more readily assure that the year-end financial statements and

related Statements of Costs Incurred and Claimed are accurate and conform to generally accepted accounting principles and DOE accounting policies and respond to the analyses requested by DOE.

Every year for the past three years, the DOE Office of the Inspector General has reviewed SLAC's financial statements for the previous fiscal year and had no significant findings. This superior record demonstrates the soundness of SLAC's financial statements analysis process and the correctness of the manner in which the PeopleSoft accounting system assigns costs.

During FY 2000, the Office of the Inspector General also assessed SLAC's internal control structure for FY 1999 and approved the Statements of Costs Incurred and Claimed for FY 1999 based upon a finding of no material deficiencies.

SLAC's performance against the gradients for this measure merits a rating of **Excellent**.

Performance Rating (Adjectival): Excellent	3.50
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Performance Objective: #5

Construction projects are closed and capitalized.

Performance Criterion: 5.1

Construction projects are closed and capitalized

Performance Measures: 5.1.a

Available Points: 3.5

Projects are closed upon beneficial occupancy and capitalized in accordance with DOE requirements

Performance Assumption:

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

Performance Gradient:

Outstanding:

In addition to meeting the requirements for the Good rating, SLAC implements improvements to the closing process and streamlines it and/or shortens the schedule.

Excellent:

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

Good:

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

Marginal:

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

Unsatisfactory:

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

Performance Narrative:

For FY 2000, SLAC developed a plan for the orderly closing and capitalizing of beneficially-occupied construction projects, which was executed accordingly. Activities included capitalizing the PEP-II and BaBar Projects, which will be closed once final issues with LBNL have been resolved for these tri-lab projects and DOE has authorized close-out.

During FY 2000, improvements were made to SLAC's construction project closing/capitalizing process. These improvements included streamlining the process, making the paperwork flow more efficiently and posting project financial data on the Web for easier access.

SLAC's performance against the gradients for this measure merits a rating of **Outstanding**.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Objective: #6.0

Effective and efficient indirect cost management

Performance Criterion: 6.1

SLAC manages its indirect rates

Performance Measure: 6.1.a

Available Points: 2.0

Using 1996 as a baseline, track and trend FY 1997 through FY 2000 indirect costs. Demonstrate that the costs are efficiently managed.

Performance Assumption:

SLAC will provide reports to DOE indicating the trend of indirect costs and an analysis of trend results.

Performance Gradient:

Track and Trend

Performance Narrative:

The table below shows the data for indirect and direct costs for SLAC for Fiscal Years 1996, 1997, 1998, 1999 and 2000. The amounts are in millions of dollars.

	<u>1996</u>	<u>1997</u>	<u>1998</u>	<u>1999</u>	<u>2000</u>
(a) Indirect	31.2	31.4	31.1	34.2	34.2
(b) Direct	88.4	91.0	100.6	110.5	115.2
% of a/b	35.3%	34.5%	30.9%	31.0%	29.7%

Based on the trend of the ratio of the indirect costs to direct costs from FY 1996 to FY 2000, it seems that SLAC has been able to keep its indirects at a manageable level. The indirect costs have not increased at the same rate as the direct costs.

The trend shows a general downward trend of the indirect costs to direct costs ratio. However, a more detailed validation is necessary. As part of this process, we are currently in negotiation with SLAC on how to disclose its cost accounting practices, including its cost pools and base for allocating indirect costs. SLAC has submitted a draft of its cost accounting disclosure statement and has actively requested OAK for assistance. We will be performing a complete review once SLAC submits a final disclosure statement.

Performance Rating (Adjectival): Good	2.50
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Performance Measure: 6.1.b**Available Points: 3.0**

SLAC will adequately complete and provide to DOE the Cost Accounting Standards (CAS) Disclosure Statement as determined by the Contracting Officer.

Performance Assumption:

SLAC will provide a narrative description of its CAS financial management practices. SLAC will partner with OAK in preparing the CAS Disclosure Statement. The timeliness and quality of the CAS Disclosure Statement will be measured based upon on-time performance.

Performance Gradient:**Outstanding:**

The CAS Disclosure Statement is submitted on time and fully meets requirements because SLAC demonstrates an excellent, reliable, and systematic method of analyzing and assimilating financial data into the CAS Disclosure Statement.

Excellent:

The CAS Disclosure Statement is submitted on time and SLAC demonstrates the initiative to improve its CAS financial management practices in order to submit a well-prepared CAS Disclosure Statement.

Good:

The CAS Disclosure Statement is submitted on time with some necessary or minor corrections.

Marginal:

The CAS Disclosure Statement is not submitted on time or is submitted on time but needs major revisions.

Unsatisfactory:

SLAC fails to provide the CAS Disclosure Statement

Performance Narrative:

SLAC has submitted a draft disclosure statement and has actively requested assistance from OAK. OAK has reviewed the draft statement. As of this writing, OAK has provided its comments to SLAC. Further discussion is planned between OAK and SLAC before the submission of the final copy of the disclosure statement.

Based on the draft that SLAC submitted, we feel that, overall, the disclosure statement clearly describes the accounting practice with some exceptions. These exceptions have been discussed with SLAC and will be addressed again by both OAK and SLAC before SLAC finalizes its disclosure statement.

SLAC's rating for this measure is GOOD.

Performance Rating (Adjectival): Good	2.90
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Performance Measure: 6.1.c	Available Points: <u>2.5</u>
SLAC prepares and submits the Functional Support Cost Report (FCS) in accordance with DOE requirements.	

Performance Assumption:

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

Performance Gradient:

Outstanding:

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

Excellent:

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

Good:

The FSC is submitted on time with some necessary or minor corrections.

Marginal:

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

Unsatisfactory:

SLAC does not submit the FSC.

Performance Narrative:

SLAC submitted its functional support cost report on time. OAK reviewed the report and made some recommendations. This is the first time that the costs were reported either as direct and indirect for both support and mission direct costs. SLAC had to make necessary corrections in order to meet OAK guidelines. There were discussions on the classification of utilities, payroll burden, and other support costs.

SLAC's rating for this measure is GOOD.

Performance Rating (Adjectival): Good	2.90
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Performance Area: COMMUNICATION AND PUBLIC AFFAIRS

Cumulative Available Points 10

Performance Objective: # 1

In keeping with the expectations of the Office of Science initiatives to improve the management of its laboratories and programs, SLAC will maintain the Lab's position as being open to the community and as being constructive participants with stakeholders and neighbors in the community.

Performance Criteria: 1.1

SLAC Communications and Public Affairs provide access to the lab through information sharing; publicizing lab activities; hosting public events and leading tours; and participating in public and community activities as appropriate. Activities are conducted with minimum impact on lab operations.

Performance Measure: 1.1.a

Available Points: 10

Various customer feedback methods.

Performance Assumptions:

Ongoing customer, stakeholder, and community participation and feedback indicate satisfaction or demonstrated effort to continuously improve communication, and overall availability and dissemination of information.

SLAC Communications and Public Affairs will measure the access of the public to the lab quantitatively by the number of people who participate in tours and attend public functions each fiscal year, and by the number of hits on SLAC's Virtual Visitor center web pages; and qualitatively by the feedback given on SLAC's tours, Virtual Visitor Center web pages and/or on other public functions SLAC Community and Public Affairs coordinates throughout the year.

Performance Gradient:

Track and Trend:

Track and trend is a term used by DOE which means that we (SLAC and DOE/OAK) will monitor (track) data and look for areas which show consistent activities(trends). Tracking will take place

during FY 2000 and FY 2001. The data collected will then form a baseline for determining performance ratings.

The rating category will be subjectively determined by DOE/OAK in agreement with SLAC.

Performance Narrative:

In FY 2000, SLAC's Communications and Public Affairs groups continued to implement their primary goal to be open to the community by actively working with the media, local community and the general public through a wide range of activities. Staff members kept OAK Office of Public Affairs, DOE/SLAC Site Office and DOE/Headquarters informed of relevant activities throughout the year. One suggestion OAK would like to offer would be to establish a science lecture series similar to the lecture series LLNL started in FY 2000. These lectures should be open to the general public and would contribute to the public's understanding and importance of the scientific research at SLAC. Below are highlights of the group's FY 2000 activities:

Tour Program

Tours of the Stanford Linear Accelerator Center (SLAC) are conducted several times a week. In FY 2000 the SLAC Tour program accommodated 10,000 visitors. There were 280 formal lab tours given, including 30 educational groups. A sampling of feedback given throughout the year by tour participants indicates appreciation for the excellent tour guides and that technical information is explained in layman terms. Participants also state that they leave with a heightened awareness of SLAC and its mission. There is an increased demand for laboratory tours (both internal and external) which are currently given by graduate students. The Public Affairs Office staff members are working on increasing the pool of graduate students that serve as tour guides as well as upgrading materials which will be integrated with tour guide training materials.

Community Relations

On May 11, Stanford Linear Accelerator Center received the Golden Acorn award for community service for the year 2000, from the Menlo Park Chamber of Commerce. SLAC was recognized for its longstanding commitment to the Chamber, having been members for 30 years, and for services to the community in education, charity, and the environment.

SLAC donated surplus equipment to 8 public schools and non-profit groups for reuse and recycling, which reached over 1,200 students. Scientists, engineers and others routinely donated time to schools as guest speakers.

In her capacity as Vice President of the Menlo Park Chamber of Commerce, the Public Information Officer was active in many community events including meeting with the city council, liaison with Women and Business, and discussions with the Mayor.

SLAC continues to offer its facilities at no charge to the community. Eighteen community groups used SLAC facilities for their meetings bringing over 650 people to the Lab.

World Wide Web

The Virtual Visitor Center web site is a user friendly web site intended for the general public, particularly students and teachers. The web site invites the user to explore the science that is studied at SLAC and also links to information on SLAC's real visitor center at the site. Over 300,000 viewed the web site in FY 2000, which demonstrates success in this outreach tool.

Media Activity

SLAC received many press inquiries throughout FY 2000. SLAC was featured prominently in the New York Times and the Washington Post for B Factory scientific results and in the New York Times for the announcement of the NASA award to Stanford University for the Gamma-Ray Large Area Space Telescope (GLAST). SLAC also received inquiries from the San Francisco Chronicle, San Jose Mercury News, Contra Costa Times, and the Wall Street Journal. Other inquiries came from film companies and radio stations and highly scientific press including Nature magazine, Science Magazine and computer publications including Wired and Click Weekly.

Lab Communications

In March 2000, the Director requested a six-month long survey of work force interactions and communication channels. To accomplish this, a Communication Task Force was established to look at three communication areas at the Lab: job-related communications; lab-wide scientific and general communication; and external communications. Employees were given the opportunity to make suggestions by e-mail to the Task Force and by placing suggestions in suggestion boxes placed throughout the Lab. Members of the Public Affairs Office and the Public Information Officer (PIO) were involved in Task Force discussions to help identify and analyze current communication practices and develop recommendations. In line with the Communication Task Force recommendations, the Director will realign the communications areas at the laboratory in FY 2001. Policies and procedures will be implemented to improve internal and external communications and outreach. The PIO and Public Affairs Manager will actively support this transition.

Performance Rating (Adjectival): Good	2.90
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Performance Area: PERSONAL PROPERTY

Cumulative Available Points 30

Performance Objective: #1 Accountability of Personal Property

SLAC will achieve cost effective accountability for government personal property.

Performance Criteria: 1.1

Equipment Inventory. The Laboratory shall conduct successful equipment inventories as established in its inventory plan. Property accountability records shall be reconciled within 90 days after conclusion of the inventory.

Performance Measure: 1.1.a

Available Points: 6.0

Equipment Inventory Results. Percentage of equipment accounted for, by acquisition value, in the most recent equipment inventory conducted will be measured.

Performance Gradients:

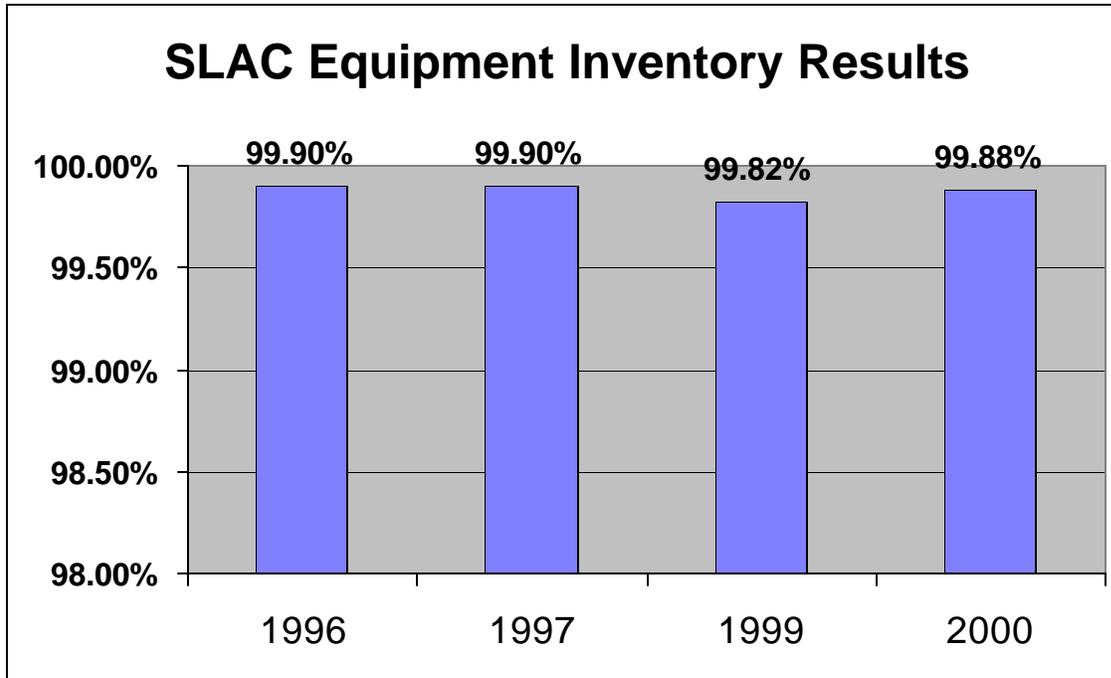
Percentage of property, by acquisition value, accounted for:

Outstanding:	99.5% & Up
Excellent:	99.2% to 99.4%
Good:	98.7% to 99.1%
Marginal:	98.0% to 98.6%
Unsatisfactory:	<98.9%

Performance Narrative:

A wall-to-wall inventory methodology was utilized for FY 2000. The results of the FY 2000 equipment inventory reflect a 99.88 percent find rate by acquisition value, an improvement from FY 1999's 99.82 percent find rate. This equates to a rating of **Outstanding**.

The above results were validated by DOE OAK's Organizational Property Management Officer (OPMO) with the Laboratory's assistance.



Note: The established minimally acceptable inventory find rate is 98.7 percent (both the 1996 and 1997 inventories were wall-to-wall. The 1999 inventory was a statistical sample.)
Additional note: an equipment inventory was not required in 1998.

Performance Rating (Adjectival): Outstanding	3.70
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Performance Criteria: 1.2

Sensitive Property Inventory. The Laboratory shall conduct successful sensitive property inventories as established in its inventory plan. Property accountability records shall be reconciled within 90 days after conclusion of the inventory.

Performance Measure 1.2a

Available Points: 6.0

Sensitive Inventory Results. Percentage of sensitive property accounted for, by acquisition value, in the most recent sensitive property inventory conducted will be measured.

Performance Gradients:

Percentage of property, by acquisition value, accounted for:

Outstanding:	99.5% and Up
Excellent:	99.2% to 99.4%
Good:	98.7% to 99.1%
Marginal:	98.0% to 98.6%
Unsatisfactory	<98.0%

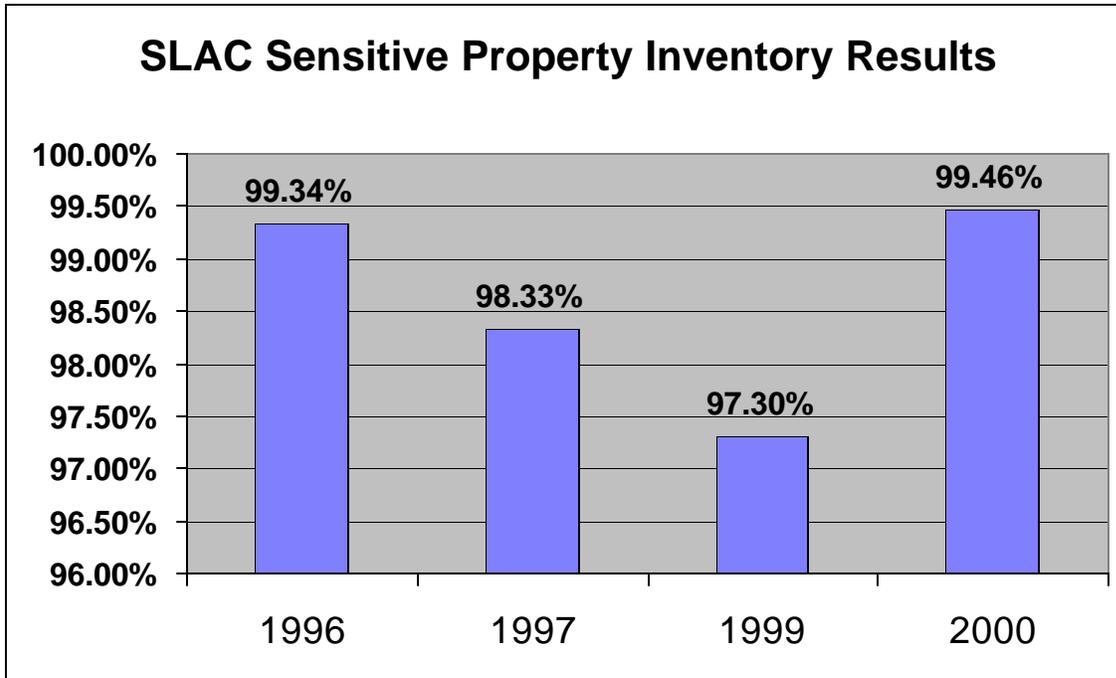
Performance Narrative:

In FY 2000, the Laboratory utilized an approved wall-to-wall personal property inventory methodology. The sensitive property inventory was completed in a nine-month period and reconciled in three months resulting in a 99.46 percent find rate. This equates to an **Excellent** performance rating.

A Stanford University internal auditor conducted a successful validation of Stanford Linear Accelerator Center's (SLAC) Sensitive Property inventory items in July 2000.

In FY 1999, DOE-OAK recommended that the Laboratory eliminate sensitive property controls for computer monitors based on consideration of costs to control versus value. Acting upon this recommendation, SLAC conducted a review of their Sensitive Item category and reclassified all computer monitors to non-sensitive equipment and reduced the Lab's inventory database by 673 items.

The reduction of items controlled as sensitive combined with other measures taken to promote individual accountability, resulted in the significant improvement from FY 1999's find rate of 97.30.



Note: the minimally acceptable inventory threshold is 98.7 percent. Additionally, please note that due to changes in inventory methodology, no results are reported in above chart for FY 1998.

Performance Rating (Adjectival): Excellent	3.50
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Performance Objective: #2 Organizational Stewardship and Individual Custodian

SLAC will ensure that both stewardship and custodianship for personal property is maintained.

Performance Criteria 2.1

Organizational Stewardship and Individual Custodianship. The Laboratory will ensure organizational and individual accountability (stewardship and custodianship, respectively) for property.

Performance Measure 2.1.a Available Points: 3.0

Timeliness of Assignment. The accountable individual is identified for equipment and sensitive property, and the timeliness of such identification is measured.

Performance Assumptions:

- -% of accurate custodian assignments for sensitive property (Weight = 33 and 1/3%)
- -% of accurate custodian assignments for equipment (Weight = 33 and 1/3%)
- -% of initial custodians assigned within 60 days (Weight = 33 and 1/3%)

Performance Gradients:

Outstanding:	98.0% & Up
Excellent:	95.5% to 97.9%
Good:	90.0 to 95.4%
Marginal:	85.0% to 89.9%
Unsatisfactory	<85.0%

Performance Narrative:

An internal audit was conducted by Stanford University to measure the accuracy of custodial assignment of sensitive property. From a sample size of 40 items, two items were no longer assigned to the recorded user and two additional items were not located resulting in a 90 percent accuracy rate of custodial assignments. This rating equates to an adjectival rating of **good** (2.9 scoring factor).

In conjunction with DOE-OAK, the Laboratory conducted a random sample of 60 equipment items to measure the accuracy of custodial assignment. Three items were not found with the recorded user and two additional items were retired in the property database and recorded as not found during the inventory. For purposes of rating this element, one of the items not found with the recorded user will not count against SLAC since it was determined that the item was being prepared for salvage and in the hands of the group computer administrator. In addition, the two items not found during the inventory will not be counted, as these items were sent to the Cost Accounting Department for retirement, but had not been retired as of the date the sample was pulled. Therefore, this element resulted in a 96.66 percent accuracy rate for custodial assignment of equipment items. This rating equates to an adjectival rating of **excellent** (3.5 scoring factor).

The Laboratory conducted a review of custodial assignments made within 60 days. Out of 1,463 sensitive and equipment items received during FY 2000, only 3 items were not assigned within 60 days. This equates to 99.8 percent of items being assigned within 60 days which earns a rating of **outstanding** (3.9 scoring factor).

Performance Rating (Adjectival): Excellent	3.40
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Performance Objective #3 Utilization of Property
 SLAC will ensure proper utilization of government property.

Performance Criteria 3.1
 Vehicle Utilization Program. The Laboratory will ensure proper utilization of government motor vehicles.

Performance Measure 3.1a Available Points: 4.0
 Measure Vehicle Utilization. Percentage of total eligible motor vehicles meeting local utilization criteria will be measured using the average utilization percentage for each class of vehicles. Reviews will be completed for each class of motor vehicles with established utilization criteria.

Performance Assumptions:

The average utilization percentage will be calculated for each class of vehicles by dividing the overall utilization measured into the overall utilization standard. As an example, 10 vehicles with a utilization standard of 1,000 miles per year would equate to an overall utilization standard of 10,000 miles per year. If the overall utilization measured 9,500 miles, then the average utilization percentage would be 9,500/10,000 or 95%.

Performance Gradients:

The average utilization percentage for motor vehicles will be measured:

- Outstanding: 98% & Up
- Excellent: 95% to 97.9%
- Good: 90% to 94.9%
- Marginal: 85% to 89.9%
- Unsatisfactory: <85%

Performance Narrative:

SLAC’s motor vehicle fleet achieved 100 percent utilization for all vehicle classes during FY 2000. SLAC’s Transportation Department reviews and evaluates the quarterly utilization data for the SLAC vehicle fleet and any new vehicle requests for DOE approval. There was no reduction or addition of vehicles in FY 2000.

It is also important to note that the Laboratory has met with GSA regarding the conversion of DOE-owned vehicles to GSA Interagency Fleet Management System vehicles (IFMS). This is seen as a positive initiative in that leasing vehicles through the GSA IFMS is recognized as the most cost-effective means of vehicle support.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Objective #4 Customer Satisfaction

SLAC will strive to improve customer satisfaction.

Performance Criteria 4.1

The Laboratory listens and responds to its internal and external customers and stakeholders in a fair and open process that encourages dialogue and participation.

Performance Measure 4.1a Available Points: 2.0

The Laboratory shall select areas in which to determine the needs of its customers relative to its property management systems and methods. Measurement of improved customer satisfaction will be from an established baseline. The Laboratory will submit its selection by December 1, 1999 and its plan of action by April 1, 2000.

Performance Gradients:

Outstanding:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and milestones exceeded. Documentation of results versus the baseline demonstrates significant improvements in customer satisfaction relative to product improvement (ease of use and timeliness).

Excellent:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and milestones met. Documentation of results versus the baseline demonstrates improvements in customer satisfaction relative to product improvement (ease of use and timeliness).

Good:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and plan is initiated.

Marginal:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented but not initiated.

Unsatisfactory:

An implementation plan is not submitted and/or milestones are not met.

Performance Narrative:

To determine the needs of SLAC’s customers relative to its property management systems and methods, a survey was conducted and two focus groups were formed to solicit ideas. All identified milestones were completed prior to the scheduled dates.

The Laboratory conducted a survey similar to those utilized in FY 1998 and 1999 to measure the access and quality of the property database, the use of the property pass system, the inventory/marketing service, the salvage operations service and the warehouse storage service . The administrative associates were targeted for this year’s customer base. The survey reflected an above average level of customer satisfaction.

Two focus groups were formed to solicit ideas regarding the benefits of property control and issues and ideas for improvement. Recommendations were submitted as a result of these meetings. One noteworthy suggestion was to provide custodians with a listing of their property holdings for verification. This practice has enabled Property Management to correct several inaccuracies in the property database.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Objective	#5	Information to Improve/Maintain Process
SLAC ensures that Property Management programs are consistent with policies and procedures approved by DOE.		

Performance Criteria	5.1
Self-Assessment of Policies and Procedures. The Laboratory shall plan, conduct, document and report annually, the results of a successful property management system evaluation.	

Performance Measure	5.1.a	Available Points: <u>5.0</u>
Assessing Support Processes. The property process shall be measured against identified system evaluation criteria established in the plan.		

Performance Gradients:

Basis for Rating:

SLAC’s self-assessment worksheets provide the activities to be measured, point value for each activity and performance gradients.

Performance Narrative:

During FY 2000, the SLAC Property Management Group conducted an assessment of support processes in the areas of disposition of excess property, warehouse storage, annual review of equipment held for future projects, the loan process and offsite equipment use forms. In each of the five areas, the Laboratory achieved a 100 percent rating which equates to the total 50 points allotted for the entire assessment.

Of particular importance was the release of 110 items from the total 308 items in storage.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Objective #6 Cost Efficiency
 SLAC ensures that property is managed appropriately to balance performance and cost.

Performance Criteria 6.1
 Performance/Cost Efficiency. The Laboratory shall ensure that property processes/products are provided in the most cost efficient manner while maintaining desired levels of performance.

Performance Measure 6.1.a Available Points: 2.0
 Measuring Cost Efficiency/Effectiveness. The Laboratory shall measure its ability to effectively balance property management costs and performance.

Performance Gradients:

	Performance Level			
Cost vs. Baseline Plan Developed Each Year	Higher Gradient or Outstanding	Same Gradient	Lower Performance and Not Less Than Good	Lower Performance and/or Less Than Good
Less Cost	Outstanding	Excellent	Good	Marginal
Same Cost	Excellent	Good	Marginal	Unsatisfactory
More Cost	Good	Marginal	Unsatisfactory	Unsatisfactory
More Cost More Requirements	Renegotiate Performance Gradients for Critical Activities			

Performance Assumptions:

The Laboratory will select an area for measuring cost efficiency/effectiveness. Where properly justified and approved by DOE, the Laboratory may elect to extend the performance period for this measure over two evaluation periods. The first year the Laboratory will submit a plan reflecting the area to be addressed, outlining the approach to be employed in establishing an appropriate baseline and developing the gradients for the following evaluation period. Calculations for cost savings may be based on reduced manhours. Approach and implementation of the plan will be evaluated the first

year. The final milestone of the plan will be to develop gradients for results desired by the end of the second year. These gradients will be the basis for evaluation in the second evaluation period.

Performance Narrative:

SLAC chose to address the “check-in” process of excess equipment at the warehouse/salvage operation for increased cost efficiency. The methodologies used to establish gradients and baselines were agreed to by the DOE-OAK Property Administrator.

By assessing the steps taken from the time an item is determined to be excess through identification of the disposal method, the Laboratory was able to reduce the time associated with determining the condition of the equipment. The new process requires completion of a condition code label which is affixed to the excess item before delivery to the warehouse.

Also, it was determined that the recording procedure used by the warehouse when an item is delivered to the salvage operation was being duplicated upon receipt of an item by logging it in when received, recording it on a worksheet and then again rewriting it for the clerical support. A new worksheet has been established for completion before delivery eliminating the login process and the rewrite for clerical support.

For the “check-in” function, SLAC was able to reduce the time spent per item from 91 ½ hours to 25 ¾ hours which included the down time. This was accomplished by streamlining the login procedure and identifying the condition of an item before delivery to the warehouse. Although specific dollar values were not provided, corresponding this level of effort reduction equates to a significant cost savings.

Based on the overall cost savings, as well as the outstanding level of performance for this function, this measure is given a rating of **outstanding**.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Objective #7 Learning and Growth
 SLAC shall ensure that there is a program for achieving and maintaining learning and growth in the property management organization.

Performance Criteria 7.1
 Evaluation of Learning and Growth and Employee Alignment. The Laboratory will foster learning and growth and employee alignment in its property management organization.

Performance Measure 7.1.a Available Points: 2.0
 Measuring Learning and Growth and Employee Alignment. The Laboratory will have a process in place to measure learning and growth as well as to understand and address workforce expectation

Basis for Rating:

An employee learning and growth plan shall be developed in partnership with DOE by November 30, 1999, providing the expected activities to be measured and milestones for completion of activities.

Performance Assumptions:

Learning and growth is the alignment of organizational performance goals and workforce skills (both current and future). Elements to be evaluated and rated will be submitted to and approved by DOE.

Performance Gradients:

Outstanding:	97% & Up of plan milestones met
Excellent:	95% to 96% of plan milestones met
Good:	80% to 94% of plan milestones met
Marginal:	75% to 79% of plan milestones met
Unsatisfactory:	<75%

Performance Narrative:

An employee learning and growth plan was developed and submitted to DOE/OAK as scheduled.

All established milestones were met. In addition, all property staff members attended a workshop on customer service including a follow-up workshop attended only by the SLAC Property Manager. The workshop was held at the Laboratory, but instructed by an outside source. This enabled all staff members to attend.

The National Property Management Association's annual conference was sponsored by Stanford University in February 2000. No SLAC property staff members belong to the association; however, they were invited and two employees were able to attend the conference.

The SLAC Property Manager conducted training sessions for the new software used for the property database and all property staff members received training.

Two external training elements identified in the plan were not available this fiscal year.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Area: PROCUREMENT

Cumulative Available Points 25

Performance Objective #1

Procurement functions are carried out so as to meet socio-economic goals, to timely provide the necessary supplies and services, while minimizing administrative costs.

Performance Criteria: 1.1

Accomplishment of Socio-economic procurement goals as incorporated in the annual subcontracting plan.

Performance Measure: 1.1.a

Available Points: 7.0

The percentage of annual goals attained.

Performance Gradient:

Outstanding: >105% of goals
 Excellent: 101-105% of goals
 Good: 92-100% of goals
 Marginal: 88-91% of goals
 Unsatisfactory: <88% of goals

Performance Narrative:

The following are the established small business goals and results as of September 30, 2000.

Category	Goals	Results	Dollars
Small Business	\$36M – 60.0%	58.0%	\$28,009,306
Small Disadvantaged Business	\$4.8M – 8.0%	9.5%	\$ 4,585,606
Women-Owned Small Business	\$4.8M – 8.0%	7.0%	\$ 3,372,748

8(a) Pilot	\$1.0M – 1.7%	3.7%	\$ 1,765,319
TOTAL Procurement \$	\$60M		\$48,255,677

During Fiscal Year 2000, the SLAC Purchasing Department’s performance against its socio-economic goals fell short in awards to Small Business and Small Women Owned Business. However, awards to Small Disadvantaged Business and 8(a) Pilot Program awards exceeded the FY 2000 goals. Overall with the current methodology SLAC exceed their goals by 130%. The DOE Headquarters Integrated Contractor Purchasing Team (ICPT) Initiative and the SLAC Purchase Card Program, contributed to the decrease in available dollars for the socio-economic goals which eliminated \$3.9M from the reportable base. SLAC does not have a mid-year adjustment to the goals.

SLAC participated in the High Tech 2000 Small Business Procurement Fair and Conference and in the DOE Small Business Conference and Procurement Fair. Although a sufficient amount of procurement dollars were removed from the base available for award to the socio-economic goals, SLAC continues to provide a very progressive program to Small, Small Disadvantaged, and Small Woman-Owned Businesses.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Criteria: 1.2
Suppliers deliver goods and services in a timely manner.

Performance Measure: 1.2.a	Available Points: <u>5.0</u>
Percentage of orders delivered as scheduled.	

Performance Assumptions:

SLAC has been attempting to design a Peoplesoft query to capture vendor performance. Due to the complexity of the system, only a subset of the Peoplesoft Purchase Orders can be reported upon accurately.

Performance Gradient:

Outstanding:	≥75% on time
Excellent:	70% - 74.9%
Good:	65% - 69.9%
Marginal:	60-64.9%
Unsatisfactory:	<60%

Performance Narrative:

SLAC has completed the designed of PeopleSoft query to capture vendor performance by line item. Other DOE Office of Science Procurement Managers have determined that on time delivery are those items delivered up to 3 days after the Purchase Order due date; to accommodate internal processing of the delivered items. SLAC has still elected to use a definition of on time delivery of up to 2 days after the Purchase Order due date.

Of the 12,887 Purchase Order line items measured during FY 2000, 70.2% were delivered on time. This is a 2% improvement over the FY 1999.

Performance Rating (Adjectival): Excellent	3.50
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Performance Criteria: 1.3

Average procurement cycle times for Procurements of <\$100K, \$100K-\$500K, and >\$500K.

Performance Measure: 1.3.a

Available Points: 6.0

Average number of calendar days from receipt in Purchasing of a properly documented and authorized purchase requisition to award.

Performance Assumptions:

Data can only be captured from the time a properly authorized, documented, and funded requisition is assigned to a Buyer in the system to award date. Efforts normally defined as “pre-procurement planning” and assistance, which occur prior to receipt of the requisitions, are not represented in the information system calculations.

Performance Gradient:

DOE National Target – 20 Days for all procurement actions

- Outstanding: <5 days
- Excellent: 5 days to 8 days
- Good: 9 days to 12 days
- Marginal: 13 to 19 days
- Unsatisfactory: >20 days

Performance Narrative:

SLAC continues to excel in average cycle time in the acquisition process. A comparison of Fiscal Year 1999, and Fiscal year 2000 data follows:

Transaction \$	FY 99 Data	FY 00 Data	# of Transactions FY00
Under \$100K	1.9 Days	1.3	7169
Over 100K	9.7 days	9.5	77
All Actions	1.9 Days	1.4	7246

The data reflected in the table was collected and tracked on SLAC automated system and accounts for approximately 84% of the procurement dollars in FY 2000. SLAC's purchasing staff customer service process of initiating the request for proposal/bid package prior to receipt of approved purchase requisition has allow for the acquisition to be more of a team effort and has proven very successful.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Criteria: 1.4
Cost to Purchase \$1 of goods and services.

Performance Measure: 1.4.a	Available Points: <u>7.0</u>
Purchasing administration cost per procurement dollar committed.	

Performance Assumptions:

Metrics are to be indexed using average annual salary increases for Purchasing Department and changes to the fringe benefit rate, both of which are beyond the control of the Purchasing Department. Metrics may have been adjusted for staffing impacts related to implementation of the SLAC Business Information System.

Performance Gradient:

Outstanding:	<\$.030
Excellent:	\$.035 to \$.0310
Good:	\$.039 to \$.0351
Marginal:	\$.040 to \$.044
Unsatisfactory:	>\$.044

Performance Narrative:

SLAC's total salaries and fringe benefits for FY 2000 was \$1,560,600 and the total procurement dollars for FY00, \$61,750,618. SLAC's cumulative cost spend ratio is 2.53% which exceeds the CAPS DOE Contractor benchmark of 2.9 percent.

Purchasing administration includes salaries and fringe benefits and related M&S costs for those Purchasing personnel outside of the Purchasing Department.

Performance Rating (Adjectival): Outstanding	3.6
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Performance Area: FACILITIES MANAGEMENT

Cumulative Available Points 60

Performance Objective: # 1 Real Property Management

The Laboratory will effectively manage Real Property.

Performance Criteria: 1.1 Office Space Utilization

The Laboratory will optimize its total primary office space utilization excluding trailer space.

Performance Measure: 1.1.a GSA Standard Available Points: 5.0

Calculate net square feet per person for permanent and leased office space.

Performance Assumptions:

The intent is to efficiently utilize office space. GSA Standard is recognized as an average utilization of 125 square feet per person for primary office space, excluding 22% supplemental space as defined by GSA. The office space inventory and space utilization determination shall be made a matter of record the first month of the fiscal year.

Performance Gradient:

- Outstanding: 10% under GSA standard or 10% or more reduction from previous year.
- Excellent: 5% to 9.9% under GSA standard or 5% to 9.9% reduction from previous year.
- Good: at GSA standard (plus or minus 4.9%) or closer to standard than previous year.
- Marginal: 5% to 9.9% over GSA standard and no closer to standard from previous year.
- Unsatisfactory: 10% or more above GSA standard and no closer to standard from previous year.

Performance Narrative:

SLAC's management of office space utilization rates "**Outstanding**" for FY 2000. The average office area excluding supplemental space was 106 square feet per person. This is 16% under the General Services Administration standard of 125 square feet.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Objective: #2 Project Management

Performance Criteria: 2.1 General Plant Projects (GPP)
 Complete GPP greater than or equal to \$500,000 within budget, schedule, and technical baseline.

Performance Measure: 2.1.a Available Points: 9.0
 Number of milestones completed on schedule and within budget.

Performance Assumptions:

The intent is to measure actual progress against that planned for the fiscal year and for the Laboratory to execute GP projects within budget in a timely manner. A milestone list for all GP projects above the \$500K threshold will be negotiated with DOE at the time that each project is submitted to DOE. Only significant milestones will be listed, but each active project will have at least one milestone. Project completion is based upon beneficial occupancy or beneficial use. By mutual agreement between the Laboratory and DOE, milestones and project final cost may be weighted for significance, for late/early completion, and/or for increased/diminished scope. OAK/SSO may approve changes to project milestones due to changes in Laboratory funding priorities, programmatic schedules, or delays due to uncontrollable forces, as it relates to this performance measure.

Performance Gradient:

- Outstanding: All milestones completed on schedule
- Excellent: *One milestone not completed on schedule
- Good: *Two to Three milestones not completed on schedule
- Marginal: *Four milestones not completed on schedule
- Unsatisfactory: *Five or more milestones not completed on schedule

*If there are less than five milestones identified for the rating period, the final performance grade will be based on SLAC and OAK/SSO’s evaluation of the process and specific reasons contributing to the failure to meet milestones or budgets and the resulting impact to the program mission.

Performance Narrative:

There were four projects that had milestones in FY00 that contributed to the overall evaluation of this performance measure. Three of the four projects accomplished their milestones. The Light Assembly Building Clean Room awarded the subcontract for the clean room; the Campus Cooling Tower Utilities Upgrade achieved beneficial use in June 2000; and the East Linac Cooling Tower Replacement project awarded the subcontract for the purchase and installation of the cooling tower. The Storm Drain Upgrade near Master Substation project has delayed project completion by four months from September 2000 to January 2001. The manufacturing and delivery of large non-standard man-hole covers caused this delay. All projects are expected to be completed within approved Total Estimated Cost. The SLAC self-assessment identified five projects that were evaluated under this performance measure but the PEP II Fire Alarm System Upgrade project was completed in FY99 and therefore was not included in the evaluation of this measure.

Performance Rating (Adjectival): Excellent	3.40
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Performance Objective: #3 Maintenance Management
Real property, excluding experimental equipment, shall be maintained to ensure safe, reliable operations in a cost effective manner.

Performance Criteria: 3.1 Non-programmatic Maintenance
Management of facilities starts with inspection. The deficiencies found during inspection will comprise the SLAC Maintenance Backlog. Non-programmatic Maintenance Backlog will be Comprehensive. The existing Maintenance Backlog will be enhanced in FY 2000 by continuation of the inspection of assets at SLAC started in FY 1996. A comprehensive SLAC Maintenance Backlog will be calculated by extrapolation of the results for the percentage of SLAC assets inspected.

Performance Measure: 3.1.a	Available Points: <u>5.0</u>
Inspect a portion of the square footage of real property assets in accordance with the SLAC facility inspection program.	

Performance Assumptions:

The SLAC inspection program, initiated in FY 1996, identifies and records deficiencies with estimated costs on a computer database that will be incorporated in the Maintenance Backlog. The Maintenance Backlog includes all repair work not accomplished, including scheduled capital repair projects. The SLAC inspection program has a three-year cycle and includes inspection in six categories. The exterior, interior, mechanical, electrical and roofing inspections occur on a three-year cycle, and the structural inspections occur on a six-year cycle. Each type of inspection is equally weighted. For the purposes of this metric, the percentage of structural inspection that occurs in a given year will be multiplied by two and included with the other inspections in order to obtain a quasi-three year measure.

Performance Gradient:

Outstanding:	0.330 or greater
Excellent:	0.310 to 0.329
Good:	0.290 to 0.309
Marginal:	0.270 to 0.289
Unsatisfactory:	less than 0.270

Performance Narrative:

Condition of the structures was not inspected per the CAS System for this period. Site Engineering and Maintenance (SE&M) organization was formed in FY 2000 that combined responsibilities of the Facilities Office and Plant Engineering Department. SE&M, tasked to manage both institutional and programmatic maintenance, formed a new group to create a customer service desk and information management system. Subsequently, the need for an accurate baseline of buildings and structures was identified. In order to baseline site data for buildings and structures, 43% of the total site structures were inspected and measured for total and internal square footages. All baselining efforts are to be completed in FY 2001. SE&M also performed studies of service requests based on the newly available tracking data related to asset condition. As a result, roofs were identified as a major problem and a program for multiple roof repairs was developed. The suspension of CAS System inspections was not negotiated with DOE OAK but consideration of SE&M progress in development of a site-wide maintenance program warrants a rating of **“Good”** on this performance measure for FY 2000.

Performance Rating (Adjectival): Good	2.90
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Performance Criteria: 3.2 Programmatic Maintenance

Maintenance to support critical programmatic equipment will be fully accomplished.

Performance Measure: 3.2.a

Available Points: 5.0

All programmatic maintenance activities completed within one full operating cycle/all programmatic maintenance activities scheduled to be completed within that full operating cycle.

Performance Assumptions:

Programmatic maintenance is that which, if not accomplished, will eventually require emergency repairs resulting in the unscheduled interruption of the program. A full operating cycle is that time spanning a programmatic run, followed by a scheduled downtime, and ending at the start of another programmatic run.

Performance Gradient:

Outstanding:	0.990 or greater
Excellent:	0.950 to 0.989
Good:	0.900 to 0.949
Marginal:	0.850 to 0.899
Unsatisfactory:	less than 0.850

Performance Narrative:

In FY 2000, 2945 programmatic maintenance activities were scheduled and tracked by SLAC's PC based (MAXIMO) preventive maintenance program. 2316 planned maintenance actions were completed during the reporting period. The remaining 629 actions remain open and are scheduled for completion during November/December downtime. 98.8% of all scheduled maintenance items were performed within required frequency period. This converts to a performance gradient of .988 which equates to a rating of "**Excellent**" for this performance measure.

Performance Rating (Adjectival): Excellent	3.50
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Performance Criteria: 3.3 Minimize Occurrence Reports

The number of occurrences reports resulting from failures of real property, installed equipment and programmatic utilities will be minimized.

Performance Measure: 3.3.a

Available Points: 3.0

The number of final occurrence reports resulting from failures of real property, installed equipment and programmatic utilities that can be attributed to maintenance program deficiencies or performance of maintenance work will be counted.

Performance Assumptions:

Non-performance of scheduled maintenance is considered a maintenance program deficiency.

Performance Gradient:

Outstanding:	Zero (0) occurrence reports
Excellent:	*One (1) or more occurrence reports
Good:	*One (1) or more occurrence reports
Marginal:	*One (1) or more occurrence reports
Unsatisfactory:	*One (1) or more occurrence reports

* Final performance grade based on OAK/EFM’s evaluation of specific maintenance activities contributing to the occurrence(s) and the resulting impact(s) to safety and/or program mission.

Performance Narrative:

Of a total six finalized occurrence reports in FY 2000, none were attributed to maintenance program deficiencies or performance of maintenance work. This equates to a performance rating of “**Outstanding**” for this performance measure.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Criteria: 3.4 Preventive Maintenance

Planned non-programmatic periodic preventive maintenance activities are performed as scheduled.

Performance Measure: 3.4.a

Available Points: 5.0

The number of planned preventive maintenance activities overdue by three months or more/the total number of planned preventative maintenance activities.

Performance Gradient:

Outstanding:	0.020 or less
Excellent:	0.050 to 0.021
Good:	0.080 to 0.051
Marginal:	0.110 to 0.081
Unsatisfactory:	greater than 0.110

Performance Narrative:

SLAC scheduled, tracked, and recorded HVAC preventive maintenance activities on Benchmate, a computerized PM system. Of a total 2585 maintenance actions on HVAC equipment, 29 were overdue by three months or more. This equates to a score of .011 for a performance rating of “**Outstanding**” for this performance measure.

Performance Rating (Adjectival): Outstanding

3.80

Performance Objective: #4 Energy Management

Energy will be used in an efficient manner.

Performance Criteria: 4.1 Use Energy Efficiently

Performance Measure: 4.1.a Available Points: 7.0

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

Performance Assumptions:

The Laboratory will maintain a multi-year energy management plan, consistent with the thirteen statutory and Executive Order requirements in DOE 430.2. The plan will be negotiated and will be made a matter of record not later than the first month of the fiscal year. Annual goals will include an update of the energy management plan, quarterly reporting of energy use, DOE directed initiatives, and an annual report on in-house energy management. Goals may be revised during the year by mutual agreement between the Laboratory and OAK.

Performance Gradient:

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

Performance Narrative:

SLAC completed fourteen of a planned total of seventeen energy management tasks. These included: completion Sitewide DCC Expansion-Phase 3 in the IR-2 Hall and Building 280; energy efficiency design review of the proposed Research Office Building; procurement of energy efficient computer

equipment; maintenance for energy efficiency; and, employee energy awareness. Tasks not completed were: reconciling the square footage data in the EMS-3 and FIMS data bases and population of the four FIMS energy fields; performing a feasibility study of using tunnel containment water for cooling; and completing an energy efficiency study and conceptual design for replacing the central chilled water plant.

Performance Rating (Adjectival): Good	2.90
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Performance Criteria: 4.2 Reliable Electrical Service

Performance Measure 4.2a Available Points 11.0

Program customer hour outages. Sum of planned operating hours for all programs minus operating hours lost for any program due to unplanned electrical outages, the quantity divided by the sum of planned operating hours for all customers. The reporting format shall be a matter of record the first month of the fiscal year.

Performance Assumptions:

SLAC will measure the reliability of its electrical service using a 12-month running average. Only those outages, which are a result of, or cause an outage of the medium voltage distribution transformer(s) will be counted. Unplanned outages that are caused by occurrences outside the boundary of SLAC’s utility system will be excluded. Results will be reported quarterly.

Performance Gradient:

Outstanding:	99.9950% or greater
Excellent:	99.9900% to 99.9949%
Good:	99.9820% to 99.9899%
Marginal:	99.9750% to 99.9819%
Unsatisfactory:	less than 99.9750%

Performance Narrative:

SLAC had two unplanned outages for a duration of 3 hours which were attributed to the on-site electrical distribution system. This corresponds to an electrical reliability score (Average Service Availability Index) of 99.9986% which equates to a rating of “**Outstanding**” for this performance measure.

Performance Rating (Adjectival): Outstanding 3.80

Performance Objective	#5	Physical Assets Planning
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Performance Criterion	5.1	Comprehensive Integrated Planning Process
<p>The Laboratory develops, documents and maintains a comprehensive, integrated planning process that is aligned with SLAC mission needs.</p>		

Performance Measure	5.1.a	Planning Process	Available Points: <u>10.0</u>
<p>Assess how the planning process is implemented to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs.</p>			

Performance Assumptions:

The planning process is executed to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs. SLAC will make a matter of record its major planning activities, with associated milestones, extracted from its Comprehensive Planning Process, within the first month of the fiscal year.

Performance Gradient:

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

Performance Narrative:

SLAC’s Physical Assets Planning continues to show improvement from previous years and has been rated by DOE OAK as “**Excellent**” for FY2000. This Adjectival Rating was determined by a combination of criteria: a) successful development of a work plan; b) the successful execution of the work plan; c) impact of process improvements; d) other planning and land use activities throughout the year; and, e) SLAC’s self-assessment. The combination of these criteria allows for a more subjective

evaluation, however, objective criterion such as the execution of the work plan, is also recognized. The highlights for this year were the approval of the SLAC Comprehensive Site Plan (CSP) and the SLAC University Technical Representative (UTR) Guide. All scheduled milestones were completed on time. This past year was also a transition year for SLAC’s planning process in that its function was reassigned to Site Engineering and Maintenance (SE&M) from Business Services.

The approval of the SLAC CSP occurred in April 2000 after being developed over the past several years. Although DOE OAK reviewed and commented on the draft CSP, the final product was signed and will be “owned” by SLAC. The significance of a CSP is the documentation of a planning process that can be an effective management tool. It will serve as a “living document” which SLAC can base future physical assets planning and land use processes and activities. The SLAC UTR Guide was also developed in FY2000 to define roles and responsibilities of UTR’s and to provide detailed steps involved in planning and executing a construction project. These two documents are expected to significantly improve the planning process at SLAC.

The physical assets planning work plan for FY2000, which contained fifteen milestones, was submitted to DOE on time. All milestones were completed on schedule. Completion was validated during quarterly meetings with SLAC SE&M, discussions with Business Services personnel, SLACs Self-Assessment report, and, indirectly, through the established monthly SLAC Matrix Meeting (lead by the DOE Stanford Site Office).

Other activities conducted by SLAC which involves Physical Assets Planning include the development of the Strategic Facilities Plan, continued discussions on the proposed User Lodging Facility, and the hiring of a space “czar.” The Strategic Facilities Plan was a request made by DOE Headquarters, Office of Science, in an attempt to plan the modernization of their facilities by 2012. The Strategic Facilities Plan should compliment the CSP in that the former document plans twelve years into the future while the CSP plans ahead to about five to seven years. DOE OAK remains involved in the planning of the proposed User Lodging Facility. This is significant considering that Stanford University will finance the facility. After physical assets planning was reassigned to SE&M, a space “czar” was hired. A first hire of its kind, this too could significantly impact current and future physical assets planning at SLAC. DOE OAK will continue to work with SLAC to identify process improvements and incorporate them in the appropriate Performance Objectives, Criteria and Measures (POCM) and annual work plans.

Performance Rating (Adjectival): Excellent	3.50
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Performance Area: INFORMATION MANAGEMENT PROGRAM

Cumulative available points: 30

Performance Assumptions for Information Management:

For purposes of this performance objective, the "information management" elements include Computing (Software and Hardware Management), Records Management, Telecommunications (Voice, Data, Video, Networking, Radio Frequency Management), Printing and Reproduction.

Under each Measure, SLAC and OAK Information Management Division will jointly develop quantifiable metrics annually. The metrics will include performance gradients (i.e. meets, exceeds, far exceeds). The score for each Performance Measure will be a composite of the metrics for the various Information Management functional areas.

Performance Objective: #1 Information Management Program

The Laboratory manages information as a corporate resource to improve the quality of its products, to add value to scientific programs and customer services, and as a tool to improve its work processes. Information will be made available rapidly and cost effectively and will be distributed to the public, industrial partners and stakeholders, as appropriate.

Performance Criteria: 1.1

IM Systems and Programs Operations

Information's Management systems and programs provide cost-effective quality products and service that meet customer requirements.

Performance Measure: 1.1.a Available Points: 15.0

The Operational Effectiveness of Information Management Systems and Programs, including measurable productivity improvements.

Performance Gradient:

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

Outstanding:	Average of 90 or better
Excellent:	Average of 80 to 89
Good:	Average of 70 to 79
Marginal:	Results fall short of the expectation for the good gradient, however some effort has been made to establish effective processes.
Unsatisfactory:	No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure.

Performance Narrative:

SLAC did an **excellent** job in providing cost-effective Information Management (IM) products and services to its customers. Its Web site is a state-of-the-art system, which provides access to the research community throughout the world. The SLAC Web has grown in sophistication and functionality through the use of virtual Web technology. SLAC also has made satisfactory progress in working with departments to identify approximately 75% of SLAC and SSRL “drawings” databases to eliminate unnecessary duplication in multiple media formats and clearly identify “record” copies. The Emergency Communications Systems are tested regularly and found to be working, particularly the wireless systems. SLAC’s Duplicating facility did 53.6 percent of its duplicating using double-sided copying, and it appears that the Reproduction Facility is printing the maximum percentage of dual sided copying that is feasible. For the duplicating facility its cost per copy increased over the figure for FY99 but was still in an acceptable cost range. Finally, SLAC did an outstanding job in addressing its Y2K requirements, experiencing no Y2K failures during or after the transition to 2000.

World Wide Web Usage

SLAC has done an outstanding job in developing its Web site in both growth and in bringing state-of-the-art techniques on its web site. The SLAC Web has grown in sophistication and functionality through the use of virtual Web technology. New Web analysis tools have been purchased and deployed during FY00. SLAC Web traffic patterns show the major presence of educational institutions using the SLAC Web site. There is also evidence of usage by SLAC’s international collaborators, with approximately half the traffic from non-U.S. Domains.

Records Management-SLAC and SSRL “drawings” databases

In the area of Records Management, SLAC has made satisfactory progress in working with departments to identify approximately 75% of SLAC and SSRL “drawings” databases to eliminate unnecessary duplication in multiple media formats and clearly identify “record” copies. Interviews have been held with custodians of drawing databases and information gathered. Additional interviews are scheduled with the Site Engineering and Maintenance to examine further the process of entering drawings into the databases and identify the record copies. As a result of gathering information on the drawing databases, nineteen boxes of microfilm duplicards were transferred to the Federal Records Center (FRC).

Emergency Communications

SLAC did an outstanding job in managing its emergency communications. During the past year, tests of the emergency communications systems were conducted ten times. SLAC’s Emergency Coordinator indicated that his primary concern in regards to the emergency communications tests is to

test the wireless systems on a regular basis. The responsibility for running these tests has been taken over by SLAC's wireless communications analyst. Following each test, users verbally communicate the quality of the test results to the wireless analyst. If there were any portable/base station/mobile unit problems, the wireless analyst would have completed the necessary repairs. No problems with emergency wireless equipment were reported. In addition, preventive maintenance was done twice on all emergency wireless equipment. The wireless analyst conducted tests to ensure each emergency wireless portable/base station/mobile transmit frequency, output power level, and receiver sensitivity was within specification. During preventive maintenance, the wireless analyst found that one base station transmit output power level did not meet specifications. This was repaired. The Emergency Coordinator indicated the current emergency communications system continues to meet the user's needs. There is also support for continuing the wireless tests and preventative maintenance.

Double-sided copying

SLAC did a satisfactory job in meeting the requirements for double-sided copying. The percentage of double-sided copying in the Reproduction Facility was 53.6 percent. The Reproduction Facility is printing the maximum percentage of dual sided copying that is feasible.

Cost per Copy-Duplicating

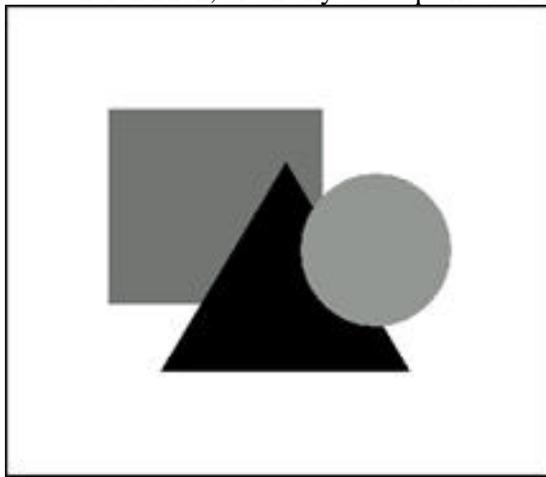
SLAC did a satisfactory job in managing its cost per copy for its duplicating facility. Cost per copy has increased over the figure for FY99 and was \$0.0608 per copy. The reason for the increased cost per copy rate is a lower volume of work with essentially fixed operating costs. Since most of the costs are fixed, cost-per-copy depends almost entirely on required volume. Technical Publications now makes SLAC publications available almost exclusively via the Web. This is an efficient distribution system for both Laboratory staff and the entire High Energy Physics community, and especially for SLAC collaborators at other institutions. It also reduces the requirement for duplicating at SLAC since the burden for printing is transferred to the user requesting the documents. SLAC will have to assess whether this is a trend or not. A continually lowered volume would require an assessment for the need for the volume duplication facility.

Y2K

SLAC did an outstanding job in addressing its Y2K requirements. As a result, SLAC experienced no Y2K failures during or after the transition to 2000. Intense effort was put forward in preparing for the



transition and during the transition. No problems occurred during the actual transition, or on any subsequent “sensitive” dates such as February 29, 2000



or March 1, 2000. SLAC successfully completed all reporting requirements related to the Year 2000 (Y2K) rollover activities from December 28, 1999 to January 7, 2000. SLAC’s emergency operations coordinators and representatives of the SSO reported at least daily on the status of mission-critical and non-mission critical systems, operational safety systems, site infrastructure systems and communications to the OAK Information Management Division. SLAC did not report any Y2K-related events during the reporting period

Performance Rating (Adjectival): Excellent	3.10
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Performance Measure: 1.1.b

Available Points: 15.0

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

Performance Gradient:

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

Outstanding:	Average of 90 or better
Excellent:	Average of 80 to 89
Good:	Average of 70 to 79
Marginal:	Results fall short of the expectation for the good gradient, however some effort has been made to establish effective processes.
Unsatisfactory:	No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure

Performance Narrative:

SLAC IM Organizations are doing an **excellent** job in meeting customer requirements. The computing capacity has been increased by over 400 percent, including a tripling of the number of computers, from 300 to 900, and an increase in processing speed. The cost per Terabyte of storage space has dropped by 30% while the volume of storage in use has increased by 50%. Satisfactory progress has been made toward revitalizing the Record Liaison program by conducting customer focus seminars for current and new Records Liaisons (RLs). Telephone repair time continues to improve with forty-six percent of repairs completed in one day or less, and over eighty per cent were completed within three days. For Telephone Software orders, 85 percent of the orders were completed in 6.28 days, and 86 percent was completed within one week. Finally, the Reproduction facility indicated very high satisfaction in their satisfaction survey, with 99 percent reporting excellent service.

Batch Computing Capacity

We did not rate this measure. Due to the rapid pace of change, SLAC was unable to track this measure. However, from the point of view of satisfying the needs of the scientific community, excellent progress has been made to supply an immense and flexible computing resource. Over this fiscal year, SLAC increased its computing capacity by over 400 percent. This included a tripling of the number of computers, from 300 to 900, and an increase in processing speed.

Mass Storage Costs

SLAC has done an outstanding job in continuing the trend of reducing cost per Terabyte for the STK Silos. The Silos continue to be an extremely cost-effective mechanism for providing mass storage for the Laboratory, even after more than a decade of evolution. During the past year the cost per Terabyte of storage space has dropped by 30% while the volume of storage in use has increased by 50%. A further sign of system flexibility is the ease with which this mass storage media has been integrated in the managed storage system HPSS, giving the Laboratory a seamless repository for all its data

Records Liaison Program

SLAC has made satisfactory progress toward revitalizing the Record Liaison program by conducting customer focus seminars for current and new Records Liaisons (RLs). Particular attention has been placed on the application of the Research and Development Records Schedule and the issues surrounding electronic records. The Archives, History and Records Management Program have developed a web page to communicate with all customers in the dissemination of information. A quick reference brochure on the SLAC records program is being prepared and will also be available on the web.

Telephone Repairs Meet Customer Needs

SLAC did an excellent job in its telephone repairs. In measuring the telephone repair this year, SLAC used only the data from its Web-based form in the SLAC Phone Request System (SPRS). Based on previous experience, repairs reported through the SPRS tend to be more complex and take slightly longer to complete than those reported through the telephone repair line. The results were that over forty-six percent of repairs were completed in one day or less, and over 80 percent were completed within three days. In addition, customer satisfaction has improved over the last two years. Customers gave a ninety-two percent rating on performance as acceptable or better, compared to eighty-two percent in the 1999 survey, and sixty-eight percent in the 1998 survey.

Telephone Orders Meet Customer Needs

Telephone Services has done an outstanding job in meeting customers needs in the area of telephone orders. For Software orders, 85 percent of the orders were completed in 6.28 days, and 86 percent was completed within one week. SLAC's goal was to complete most software orders in one week or less. Customers gave a 100 percent approval for the timeliness of Software orders, up from 94 percent last year. In the area of hardware orders, 80 percent of the orders were completed within 45 days. SLAC's goal was to complete most hardware orders within one month. Some orders stayed in the system for much longer for reasons that were largely beyond the control of the Telephone Services. Examples include waiting for access to tunnels and waiting for users to complete construction or install conduit. In addition, only one technician was available to handle both hardware orders and repairs. Because repairs generally receive higher priority than new orders, work on hardware orders could be delayed for several days while other problems were resolved. For these reasons, it is realistic to expect hardware orders to take somewhat longer than other types. Seventy-eight percent of customers rated performance for hardware orders as acceptable or better, up from seventy-six percent in 1999, and sixty percent in 1998. Several actions to reduce the time required completing hardware orders. Improvements have been made to the reports used to track performance on orders. Added were automated reminders to alert the person an order is assigned to, if they have not updated the order within the past seven days. Also, weekly order analysis and prioritization for hardware orders is performed for orders open in excess of fourteen days.

Customer Satisfaction-Duplicating

Customer satisfaction remains outstanding as indicated in SLAC's on-going customer satisfaction survey. In the area of convenience copying, customer satisfaction appears to be satisfactory. No complaints have been reported by Purchasing; new copiers seem to be performing adequately. Customers of the SLAC Reproduction facility indicated very high satisfaction in their satisfaction survey, with 99 percent reporting excellent service. The Technical Publications department has received many complements regarding their progress in Web availability of SLAC publications.

Performance Rating (Adjectival): Excellent	3.30
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Performance Area: SAFEGUARDS & SECURITY

Cumulative Available Points 20

Performance Objective: # 1

Reduce security incidents, primarily losses and theft, to ensure the protection of the government and personal property and the safety of SLAC personnel and the general public.

Performance Criteria: 1.1

Through the cost-effective utilization of tools and procedures, SLAC will establish a safeguards and security program that minimizes incidents and loss amounts.

Performance Measure: 1.1.a

Available Points: 7.0

Number of security incidents, loss amounts reported, and documented steps taken to reverse negative trends.

Performance Assumptions:

1. A site security plan, acceptable to OAK has been developed and is updated annually.
2. An event is a trackable and trendable item as defined in the SLAC Site Security Plan.
3. SLAC will identify adverse trends or potentially adverse trends and will redistribute/reallocate safeguards and security resources to reverse negative trends.

Performance Gradient:

Track and trend.

Performance Narrative:

The Stanford Linear Accelerator Center (SLAC) performed at an outstanding level in FY 2000. For the third year in a row, reportable security incidents and losses due to theft or unrecovered property decreased. During this performance period there were only 10 security incidents and losses due to theft or unrecovered property were only \$3,937. This is down from FY 1999 when there were 16 security incidents and \$7,744 in reported theft or unrecovered missing property.

SLAC's ability to identify incident and losses, and its ability to consistently reduce them, indicates a robust and mature safeguards and security program. The progress made in continually reducing incidents and losses from a high in FY 1997 (65 incidents and \$71,869 in losses) shows outstanding implementation of the safeguards and security plan, excellent management support, and outstanding safeguards and security performance. The DOE Oakland Operations Office assesses an outstanding rating at the 3.8 level for safeguards and security.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Objective # 2

To promote continuous improvement, SLAC will conduct safeguards and security program self-assessments and implement corrective actions for self-assessment findings, with the goal of timely correction.

Performance Criteria: 2.1

Through a documented deficiency management program, SLAC will ensure corrective actions for discovered deficiencies are developed and completed in a timely fashion.

Performance Measure: 2.1.a

Available Points: 6.0

Percent of on-schedule corrective actions resulting from SLAC self-assessment findings/issues.

Performance Assumptions:

1. A site security plan, acceptable to OAK, has been developed and is updated annually.
2. The safeguards and security self-assessment program, as mutually agreed upon between SLAC and DOE, SSD, will address applicable topical and sub-topical areas as required by applicable DOE policies and directives.
3. A corrective action will be considered completed at the time that the action is documented and completed.
4. Findings that have corrective action plans with milestones that are not due within the assessment period will be assumed to be on schedule and full credit will be awarded for work in progress.

Performance Gradient:

Outstanding:	90% -100% timely completion of corrective actions
Excellent:	80% -89% timely completion of corrective actions
Good:	70% -79% timely completion of corrective actions
Marginal:	60% -69% timely completion of corrective actions
Unsatisfactory:	<60% timely completion of corrective actions

Performance Narrative:

SLAC had no DOE identified deficiencies which required corrective action plans in FY 2000. The Oakland Operations Office evaluates this as indicative of a proactive approach to safeguards and security. The Oakland Operations Office assesses this performance as Outstanding at the 3.8 percent level.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Objective # 3

Information resources are provided protection commensurate with the risk and magnitude of harm that could result from the loss, misuse, or unauthorized access to or modification of such information resources.

Performance Criteria: 3.1

Through a documented unclassified computer security program, SLAC will ensure its information systems and applications operate effectively and provide appropriate confidentiality, integrity, and availability protection.

Performance Measure: 3.1.a

Available Points: 7.0

The extent to which vulnerabilities are reduced.

Performance Assumptions:

1. A site Cyber Security Program Plan (CSPP) will be developed and approved by OAK.
2. Assessments and reviews of the SLAC CSPP will be completed as appropriate.

Performance Gradient:

Outstanding:	Narrative and numerical data show outstanding performance.
Excellent:	Narrative and numerical data show superior performance.
Good:	Narrative and numerical data show satisfactory performance.
Marginal:	Narrative and numerical data fall short of the expectations for the good gradient, however some effort has been identified.
Unsatisfactory:	Narrative and numerical data show no results and no effort has been expended towards achievement of the performance measure.

Performance Narrative:

SLAC FY00 Rating for Unclassified Computer Security

Performance Objective 4

Information resources are provided protection commensurate with the risk and magnitude of harm that could result from the loss, misuse, or unauthorized access to or modification of such information resources.

Performance Criteria 4.1

Through a documented unclassified computer security program, SLAC will ensure its information systems and applications operate effectively and provide appropriate confidentiality, integrity, and availability protection.

Performance Measure 4.1a

The extent to which vulnerabilities are reduced.

SLAC has achieved outstanding results in improving and expanding its cyber security program over that last few years. Continued attention and upgrades to its anti-virus and anti-spam methodology has proven extremely effective. SLAC has been able to achieve potentially significant cost savings by reducing the number of successful virus infections and the amount of time and resources needed to deal with junk email. For example, this year most Internet-connected organizations were severely impacted by several well-publicized new viruses (such as “I Love You” and “Melissa”), requiring them to shut down their email systems in order to contain and remove the viruses. However, as a result of effective implementation of its anti-virus product, and the proactive efforts of its cyber security staff, SLAC did not experience any such disruptions. In addition, SLAC made significant progress in their efforts to eliminate clear-text passwords throughout the Laboratory. This effort played a major role in reducing vulnerabilities to SLAC systems, since CIAC (DOE’s Computer Incident Advisory Capability) data shows the use of clear-text, reusable passwords as the primary cause of most unauthorized access to DOE systems. Also of significance is SLAC’s successful implementation of several new DOE cyber security-related policies that were issued during this rating period. Of major importance was completion of SLAC’s Cyber Security Program Plan (CSPP). And the continued upgrades to the Secure BSD Network appear well planned and prioritized.

Performance Rating (Adjectival): Outstanding 90%

Performance Rating (Adjectival): Outstanding	3.80
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Performance Area: TECHNOLOGY AND INTELLECTUAL PROPERTY

Cumulative Available Points 10

Performance Objective #1

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

Performance Criteria: 1.1

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

Performance Measure: 1.1.a

Available Points: 5.0

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

Performance Assumptions:

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

Performance Gradient:

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

Performance Narrative:

Intellectual Property

SLAC’s Office of Technology Transfer (OTT) uses the model Work-For-Other Agreements (WFOA) in Order DOE O 481.1. Because OTT does not issue many WFOA, IPLD has reviewed very few (one or two) WFOA in the past year. Therefore, Intellectual Property Legal Division (IPLD) has a favorable rating regarding OTT in this technology transfer activity.

For CRADAs, OTT has failed to create a laboratory CRADA model, even after repeated requests by DOE. This has led to a detailed review for each CRADA for repetitive changes, that should be addressed at a SLAC/DOE negotiation to create a SLAC CRADA model. In reviewing FY2000 CRADAs, IPLD’s objections were not extensive, but there were numerous minor changes to Articles of the standard CRADA that IPLD had to consider. Some changes were grammatical interpretations, that may infer a different legal meaning. It is believed that some of these changes were driven by SLAC OTT and not the CRADA Participants. Therefore, a laboratory model would have eliminated needless repetitive review of each minor change. During FY2000, OTT had several opportunities to comment on recent proposed revisions to the DOE Modular CRADA, which is a complex-wide revision by DOE Headquarters. However, OTT failed to respond to the latest RevCom changes, even though there were several issues that OTT wanted addressed by HQ, and has attempted to implement in the latest CRADAs that IPLD has received. DOE-OAK hopes that OTT proposes a SLAC model CRADA for negotiation in the near future. Hopefully, this will reduce IPLD’s time-consuming review of each SLAC CRADA, which has increased over the last few months.

There is no reporting requirement for licensing of technology at science laboratories such as SLAC. Therefore, IPLD can not access SLAC’s success or failure in relation to licensing of the technology. However, Stanford University has the responsibility of satisfying DOE’s requirements of disclosing, electing and filing patent applications on SLAC inventions. IPLD is satisfied with Stanford University’s process, and believes the percentage of inventions elected by SLAC and filed by the University is appropriate.

Performance Rating (Adjectival): Excellent	3.00
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Performance Criteria 1.2

Collaborative R&D Projects

Performance Measure: 1.2.a

Available Points 5.0

Collaborative R&D projects provide benefit to DOE, SLAC, the scientific community, and the private sector.

Performance Assumptions:

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

Performance Gradient:

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

Performance Narrative:

SLAC Technology Transfer Program

FY2000 was a very good year for Technology Transfer by SLAC. The OTT operated well, with competent staff targeting medical therapy, simulation, semiconductor manufacturing, and RF power sectors. SSO records show OAK approval of 7 CRADAs and 8 Work For Others (WFOs) covering a spectrum of hardware and software projects. Forty percent (6) are with companies which received Small Business and Innovative Research (SBIR) Grants awarded by Headquarters Office of Science (SC) for critical technology R&D on advanced accelerators, detectors, etc. Collaborators and sponsors range from governmental agencies, through major corporations and universities, to small businesses.

In FY2000, 7 of 8 WFOs were hardware projects, and 5 of 7 CRADAs were software projects. Hardware ranged from cutting-edge R&D technology to the replacement of a burned out SLAC klystron, which powers Beijing's 10+ year-old duplicate of SLAC's SPEAR Storage Ring at the Institute of High Energy Physics. R&D hardware projects include: a carbon composite tray for SLAC's Gamma-ray Telescope Experiment on the GLAST satellite

(with Hytech); synchrotron research on advanced insulating materials for next-generation integrated circuits (with Motorola); development of modular W-band klystrons (with United States Air Force); testing gyroklystrons with upgraded W-band equipment in SLAC's Test Laboratory (with Calabazas Creek); building a new protein crystallography beamline at SSRL-SPEAR (with Nat. Institutes of Health); and, upgrading SSRL-SPEAR synchrotron research capabilities to measure manganese in the environment (with Scripps Institute of Oceanography).

Software projects represent two broad areas of spin-offs: SLAC accelerator expertise; and, B-Factory (PEP-II/BaBar) technology. Accelerator spin-offs include: numerical simulation of RF components, e.g. cavity design (with General Atomics); automation of accelerator controls, incl. automatic, precision, beam-based alignment (with Sandia View), pulse-to-pulse emittance measurement (with Fartech), and optimized design automation system (with Simulation Technology and Applied Research). B-Factory spin-offs reflect SLAC's break-through accomplishments in handling tremendous amounts of data from the BaBar Detector, and rapidly distributing processed data to hundreds of collaborators through world-wide networks, e.g., analysis, prediction, and optimization of computer networks (with Netpredict).

Overall, SLAC's FY2000 Technology Transfer Program represents a major and sustained advance over pre-CRADA years, when WFOs usually represented duplicates of SLAC klystrons and PEP-II RF feedback systems. In addition, SLAC reported 3 invention disclosures, with one patent filing and two provisional applications in FY2000. Two licenses were granted: for a SLAC radiation code (ESG4) to be used in a commercial radiotherapy product, and for a SLAC database authentication program (GSP). SLAC also assisted a licensee in becoming a vendor (to SLAC) for compact, high-power, X-band RF loads. As usual, a primary method of transferring SLAC technology to industry, government, and academia is the publication of research results in scientific and technical journals. More than 300 papers were published in FY2000; all were reviewed by SLAC's Office of Technology Transfer for potential commercial technology. Ultimately, educating students is the most effective way to transfer results of fundamental research at a university to society at large. When former students become professionals in their field, they use technical knowledge in many practical ways, which contribute to commercial products and processes in the United States economy.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Area: ENVIRONMENT, SAFETY AND HEALTH

Cumulative Available Points: 110

Performance Objective: # 1.

SLAC will perform its work so that personnel hazards are anticipated, identified, evaluated and controlled.

Performance Criteria: 1.1

Exposures of personnel to chemical, physical and biological hazards will be adequately controlled.

Performance Measure: 1.1.a

Available Points: 10

An Industrial Hygiene exposure prevention program is in place such that:
 potential exposures greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH “heavy continuous work” TLV) are anticipated and monitored yearly.
 OSHA required substance-specific sampling is planned and conducted yearly as required.
 Vulnerable systems are evaluated yearly.

Performance Assumptions:

1. For FY00 the performance period is October 1, 1999 through September 30, 2000.
2. To receive a performance rating at any given level, the requirements of the lower levels of performance must also be met. [This applies only within the Good/Excellent/Outstanding group.]
3. Exposure measurements and evaluations will be written on survey forms and include an assessment of hazard potential and recommendations for controls.
4. Immediate control measures (engineering controls, administrative controls or personal protective equipment) will be implemented when exposure monitoring or evaluations identify the potential for exposures to exceed the Action Level.

5. All exposure evaluation and control measurements will use NIOSH or OSHA methods and appropriately calibrated (per manufacturer recommendations, national consensus standards, or accepted practice) instruments.
6. An exposure measurement is defined as "one or more samples associated with an operation that gives a value which can be compared with an Occupational Exposure Limit."
7. An operation is defined as an activity comprised of one or more tasks performed at a single location that generates a hazard(s). "Hazard" includes all stressors associated with an operation; i.e., noise, lead, etc. (Note: Any significant process changes constitute a new operation.)
8. When an exposure measurement is not possible, a qualitative evaluation which determines the probable exposure (comparison to Occupational Exposure Limit) and level of risk (high, medium, or low) shall be documented.
9. Exposure measurements that result in an "exceedance", along with the corrective action taken, will be discussed in the ES&H Quarterly Report.
10. Corrective action taken to reduce personal exposures which are found to be greater than the Action Level will consider the accepted Industrial Hygiene control hierarchy of engineering controls first, then administrative controls, then personal protective equipment.
11. An exceedance is defined as one or more high results (measurements above the Action Level) associated with an operation. When no standard has been developed for an agent, another published occupational health standard will be agreed upon and utilized.
12. Action Level is defined as one-half of the 8-hour TWA, STEL, and CEILING limits for OSHA PELs and ACGIH TLVs, unless a different action level is specified by OSHA. For heat stress, the Action Level is defined as the ACGIH "heavy continuous work" TLV.
13. Types of measurements to be considered are: chemicals, gases, particulates, fibers; biological agents; physical agents such as noise, magnetic fields, non-ionizing radiation, and thermal stress. Note: bulk samples, swipe samples, drinking water samples, and indoor air quality measurements are not to be included.
14. Per OSHA definition, the Laboratory Standard (29 CFR 1910.1450) supercedes substance-specific sampling standards for laboratory operations. Therefore, only non-lab activities, such as shops and crafts, are subject to the substance-specific standards referenced in 29 CFR 1910.1001-1052.
15. A vulnerable system is defined as an exposure control that was in place and operating when exposures were evaluated, but is subject to failure if not maintained, or relies on training. Without it exposures would be higher and possibly exceed the Action Level. Such controls include but are not limited to mechanical ventilation, personal protective equipment and work procedures.
16. The term "all" or "100%" means those operations that actually occur during the performance period. Evaluations that were attempted but were not done because the operation did not occur

will not be counted if supervision was notified of the need to evaluate them and monitoring attempts were documented.

Performance Gradient

Outstanding:

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

Excellent:

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

Good:

- A list of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH “heavy continuous work” TLV) is prepared by October 31, 1999.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 1999.
- A list of Vulnerable Systems is prepared by October 31, 1999.
- IH exposure measurements (and corrective action) are completed during the contract period for 90% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH “heavy continuous work” TLV).
- All "substance-specific" exposure measurements are completed as required by 29 CFR 1910 during the contract period.
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 90% of the vulnerable systems.

Marginal:

- The lists required to be developed under “Good” are not developed by the due date.

- IH exposure measurements and Vulnerable System evaluations required under “Good” are completed at a rate below 90%.

Unsatisfactory:

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

Performance Narrative:

The required lists (sampling plans) were developed and utilized. Exposure measurements and evaluations were completed at the 100% level, based on an audit of 21% of the records. All exposure records are documented in retrievable files. There were seven chemicals requiring exposure evaluations under OSHA “substance-specific” regulations; six were fully evaluated during the contract period, however one was only partially evaluated. Overall, the Industrial Hygiene effort was at the Outstanding level, however one commitment (OSHA substance-specific sampling) required under the “Good” level was not completed. A performance rating of Excellent is appropriate.

Performance Rating (Adjectival): Excellent	3.50
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Performance Criteria: 1.2

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

Performance Measure: 1.2.a**Available Points: 10**

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

Performance Assumptions:

1. For FY 2000 the performance period is July 1, 1999 through June 30, 2000.
2. Each frequency and severity rate in the Research/Services and Construction category will be given a weighted factor in calculating the final evaluation gradient. The weighted factor is based on the amount of person-hours accumulated within each function divided by the total person-hours during the rating period.
3. It is recognized that an initial increase or minimal decrease in rates may be experienced whenever a new prevention program is introduced and that some variability is expected which may not be indicative of a trend.
4. Workers' Compensation costs will be considered during the self-assessment.
5. For FY 2000 and future years, the accident/injury types and baseline years will be updated by mutual agreement of the DOE site office and the Laboratory.
6. Subcontractor operations/personnel are included in the Construction function. Subcontractor statistics will be maintained separately only for those subcontractors reporting hours worked to the Laboratory. Subcontractors are excluded if they are "servicing" the Laboratory (e.g., copy machine vendors or other transient workers).

Performance Gradient:

Outstanding:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 20% below the baseline five year SLAC average.

Excellent:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 10% below the baseline five year SLAC average.

Good:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are 0% to 9% below the baseline five year SLAC average.

Marginal:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are 1% to 10% above the baseline five year SLAC average.

Unsatisfactory:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 10% above the baseline five year SLAC average.

Performance Narrative:

The performance measure is based on four DOE accident reporting system rates that are compiled quarterly. Three of the rates were 20% or more below the baseline 5-year average for the rate and the fourth rate was 6.1% below. All four showed a downward trend from the first quarter through the fourth quarter of the Performance Measure period. The combined percentage of difference from the baseline is more than 20% and meets the criteria for the performance gradient of Outstanding.

The first quarter Lost Workday Rate for the Services group was 1900, a 5-year high, for the first quarter of the PM period. This rate was lowered to zero. By the end of the Performance Measure period, the Lost Work Day was lowered to zero, a significant downward trend for this statistic.

Performance Assumption 4, “Workers Compensation costs will be considered during the self-assessment”, was not provided in the self assessment report, resulting in a 0.1 point deduction.

Performance Rating (Adjectival): Outstanding	3.90
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Performance Criteria: 1.3

Exposures of personnel to ionizing radiation will be adequately controlled.

Performance Measure: 1.3.a

Available Points: 5.0

Unplanned radiation exposures (both internal and external), and ORPS reportable occurrences of skin or personal clothing contamination are managed and minimized.

Performance Assumptions:

1. For FY 2000, the performance period is January 1, 1999 to December 30, 1999; i.e. calendar year 1999 (CY 1999).
2. Radiation doses to non-radiological workers in excess of 100 mrem/yr are considered as unplanned exposures.
3. The number of occurrences is considered to be the number of individuals who experience ORPS-reportable radiation doses or contamination, plus unplanned doses as defined in the above performance assumption.
4. The current projection of the number of radiation doses to non-radiological workers in excess of 100 mrem in CY1999, based on best available information, is four (4).
5. In any event, the most recent three-(3)-calendar-year running average will be calculated for application to the latest Performance Gradients at such time that appropriate information is available.

Performance Gradient:

Outstanding:

There are no occurrences

Excellent:

The number of occurrences is equal to or less than 50% of the most recent three-(3)-calendar-year running average of four (4).

Good:

The number of occurrences is equal to the most recent three-(3)-calendar-year running average of four (4).

Marginal:

The number of occurrences is no greater than 150% of the most recent three-(3)-calendar-year running average of four (4).

Unsatisfactory:

The number of occurrences is greater than 150% of the most recent three-(3)-calendar-year running average of four (4).

Performance Narrative:

Information provided by SLAC indicates that no GERT trained employee received a dose in excess of 100 mrem during CY 1999.

In CY99, approximately 1,888 GERT employees were monitored and only 36 individuals received positive doses. In CY98, 1718 individuals were monitored and 51 received reportable doses.

Performance Rating: Based on the maximum GERT individual dose, the rating is outstanding.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Measure:	1.3.b	Available Points: <u>5.0</u>
Occupational radiation doses to individuals (excluding accidental exposures) from DOE activities will be managed to assure that applicable 10 CFR 835 limits are not exceeded.		

Performance Assumptions:

1. For FY 2000, the performance period is January 1, 1999 to December 31, 1999; i.e., calendar year 1999 (CY 1999).
2. Any actual or anticipated significant changes in workloads; i.e. collective dose, will be brought to the attention of SLAC management and DOE so that appropriate adjustments will be made. Significant change in collective radiation dose is defined to be an increase or decrease of 20% or more.

Performance Gradient:

Outstanding:

- No radiological worker at SLAC receives a dose in excess of 500 mrem and no general employee dose exceeds 50 mrem.
- The total collective dose is less than 70% of the previous three-(3)-calendar-year running average.

Excellent:

- No radiological worker at SLAC receives a dose in excess of 1 rem.
- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, do not exceed the laboratory's previous three (3) year running average in two of these dose categories.
- The total collective dose is less than 90% of the previous three-(3)-calendar-year running average.

Good:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in no more than two of these dose categories.
- The total collective dose does not exceed the laboratory's previous three-(3)-calendar-year running average.

Marginal:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in no more than two of these dose categories.
- The total collective dose exceeds the laboratory's previous three-(3)-calendar-year running average.

Unsatisfactory:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in more than two of these dose categories.
- The total collective dose exceeds the laboratory's previous three-(3)-calendar-year running average.

Performance Narrative:

Data provided by SLAC indicates that a total of 701 workers were monitored pursuant to the requirements of 10 CFR 835.402 (monitoring of radiological workers) during CY99. According to SLAC, the highest individual cumulative dose was 605 mrem.

The collective for CY99 was given as 10.8 rem; this value is significantly lower than the previous three year running average and deserves a high commendation.

Performance Rating (Adjectival): Excellent	3.50
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Performance Measure: 1.3.c	Available Points: <u>2.0</u>
Lost or unreturned dosimeter investigations and dose assignments are carried out in a timely manner (within 90 days of the monitoring period).	

Performance Gradient:

Outstanding:

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

Excellent:

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

Good:

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

Marginal:

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

Unsatisfactory:

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

Performance Narrative:

By the end of the CY99, there were no lost/unreturned dosimeter investigations and dose assignments that were open beyond 90 days following the end of a specific monitoring period.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Criteria: 1.4

Radioactive material will be adequately controlled.

Performance Measure: 1.4.a

Available Points: 3.0

Radioactive materials, including contaminated and/or activated materials, are controlled at all times so that the number reportable occurrences as defined in SLAC Workbook for Occurrence Reporting does not exceed the previous three (3) year running average (which is zero occurrences for this period at SLAC) by more than three (3).

Performance Assumptions:

1. For FY 1999, the performance period is October 1, 1999 through September 30, 2000.
2. Each unusual occurrence as defined in SLAC Workbook for Reportable Occurrences will have a weighting factor of 1.5.

Performance Gradient:

Outstanding:	The weighted number of occurrences is equal to zero.
Excellent:	The weighted number of occurrences is greater than zero and less than or equal to 1.5.
Good:	The weighted number of occurrences is greater than 1.5 and less than or equal to 3.
Marginal:	The weighted number of occurrences is greater than 3.0 and less than or equal to 4.5.
Unsatisfactory:	The weighted number of occurrences is greater than 4.5.

Performance Narrative:

There were two ORPS reportable events involving the losses of some nine sealed sources. This was a repeat incident, and probably might not have occurred if the sealed source implementing procedure had been followed.

Performance Rating (Adjectival): Good	2.50
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Performance Criteria: 1.5

Fire Department response time and the rate of completion of required fire protection will be adequately controlled and accomplished.

Performance Measure: 1.5.a

Available Points: 2.0

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

Performance Assumptions:

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

Performance Gradient:

- Outstanding: Meets > 95% anticipated response time indicated in the pre-fire plan.
- Excellent: Meets 90-95% anticipated response time indicated in the pre-fire plan.
- Good: Meets 80-89% anticipated response time indicated in the pre-fire plan.
- Marginal: Meets 70-79% anticipated response time indicated in the pre-fire plan.
- Unsatisfactory: Meets <70% anticipated response time indicated in the pre-fire plan.

Performance Narrative:

The Palo Alto Fire Department emergency response team arrived within the pre-fire plan response time to on site emergencies at a rate of 85%. Varies conditions exist which may cause a delay in response time, such as weather conditions, travel distance, training exercise.

Performance Rating (Adjectival): Good

2.50

Performance Measure: 1.5.b	Available Points: <u>4.0</u>
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SLAC conducts fire protection survey per the SLAC Fire Protection Program list to ensure their facilities meet DOE fire protection goal and requirements.

Performance Gradient:

- Outstanding: > 95% completion rate
- Excellent: 90-95% completion rate
- Good: 80-89% completion rate
- Marginal: 70-79% completion rate
- Unsatisfactory: <70% completion rate

Performance Narrative:

Palo Alto Fire Department conducted 344 inspections from a July to June fiscal year. They completed 98% of building inspections.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Measure: 1.5.c	Available Points: <u>4.0</u>
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A documented design review program shall be in place to ensure all designs for new construction and modification projects are reviewed and approved by SLAC’s Fire Protection Engineer in a timely manner with adequate records and documentation.

Performance Gradient:

- Outstanding: > 95% of designs reviewed.
- Excellent: 90-95% of designs reviewed.
- Good: 80-89% of designs reviewed.
- Marginal: 70-79% of designs reviewed.
- Unsatisfactory: <70% of designs reviewed.

Performance Narrative:

SLAC fire marshall completed 100% of required plan review and consultations.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Objective: # 2

SLAC will perform its work in a manner that does not present a threat of harm to the public or the environment and will identify, control, and respond to environmental hazards.

Performance Criteria: 2.1

Exposures to members of the public to ionizing radiation and radiological emissions to the environment will be adequately controlled.

Performance Measure: 2.1.a

Available Points: 10.0

Public ionizing radiation exposure monitoring and calculations are accomplished to assure that the dose to the maximally exposed individual in the public from DOE operations will be controlled and will not exceed Federal limits. Radiological emissions to the environment are monitored or calculated and controlled so that applicable limits are not exceeded.

Performance Assumptions:

1. Any actual or anticipated change in workload (interpreted to be an increase or decrease of 10% or more) that would affect radiation doses or radiological emissions will be brought to the attention of DOE and appropriate adjustments will be made.
2. For FY 2000, the performance period is January 1, 1999 to December 31, 1999; i.e. calendar year 1999 (CY 1999).

Performance Gradient

Outstanding:

The total effective dose equivalent (TEDE) for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is less than or equal to 5 mrem/yr. Radiological emissions to the environment are less than or equal to 5% of applicable regulatory limits.

Excellent:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation

from SLAC produced pathways is greater than 5 mrem/yr to less than or equal to 7.5 mrem/yr. Radiological emissions to the environment are greater than 5% to less than or equal to 7.5% of applicable regulatory limits.

Good:

The TEDE for the maximumly exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 7.5 mrem/yr to less than or equal to 10 mrem/yr. Radiological emissions to the environment are greater than 7.5% to less than or equal to 10% of applicable regulatory limits.

Marginal:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 10 mrem/yr to less than or equal to 15 mrem/yr. Radiological emissions to the environment are greater than 10% to less than or equal to 15% of applicable regulatory limits.

Unsatisfactory:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 15 mrem/yr. Radiological emissions to the environment are greater than 15% of applicable regulatory limits.

Performance Narrative:

The gradient for this measure evaluates two areas: 1) radiation dose (total effective dose equivalent (TEDE)) for the maximally exposed member of the public; and 2) radiological emissions to the environment as compared to applicable regulatory limits.

Radiation Dose

The SLAC contribution to public dose is measured and reported annually in the Site Environmental Report and is well below Federal limits. During calendar year 1999, the cumulative dose that a maximally exposed hypothetical neighbor could receive from SLAC operations was estimated to be 4.48 mrem (0.048 mSv). This is less than 1.5% of the total natural background dose, and is less than 5% of the allowable Federal annual limit of 100 mrem in accordance with DOE Order 5400.5.

This corresponds to an Outstanding rating under the Performance Gradient for this measure.

Radiological Emissions

Air Emissions: Using conservative calculations, SLAC airborne emissions in 1999 were reported to be 27 curies. Using computer code CAP88-PC, the resulting dose to a Maximally Exposed Individual (located near Sand Hill Road on the North/Northeast side of the SLAC facility) from this 27 curies is about 0.0319 mrem/year. This dose is less than 1% of the allowable EPA annual limit of 10 mrem/year.

Sanitary Sewer: The only measurable radioactive materials discharged to the sanitary sewer at SLAC are small quantities of tritium present in batch discharges of low conductivity water (LCW). Tritium can not be removed from water. SLAC has sampled and analyzed all batches of LCW prior to discharge since 1993. During 1999, the total quantity of tritium discharged to the sanitary sewer was

approximately 7.1 mCi. This discharge is approximately 0.14% of the annual discharge limit of 5 curies, and was significantly less than the 1998 discharge quantity of 71.8 mCi.

Both of these emission sources were well under 5% of applicable regulatory limits, therefore an Outstanding rating applies under the Performance Gradient for this measure.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Criteria: 2.2

Environmental violations and releases will be adequately controlled.

Performance Measure: 2.2.a**Available Points: 10.0**

Environmental incidents will be tracked and measured. These will include: 1) Formal violations, (except for hazardous and radioactive waste violations these programs are evaluated under performance measures 3.2.a and 3.2.b), noted by regulatory inspections, regulatory reports or non-compliance with agreements made with regulatory agencies; 2) Spills which exceed established local, state, or federal reporting requirements; and 3) Releases which exceed regulatory permit limits.

Performance Assumptions:

1. Performance period for this measure is 10/1/99 to 9/30/00.
2. Environmental releases that remain within compliance limits or do not require reporting will not be counted. Environmental releases resulting from natural causes (earthquake, flooding, etc.) for which no preventable action could be taken, shall not be counted.
3. A weighting factor from 0.1 to 1 will be applied to all counted incidents. SLAC and DOE technical counterparts will jointly determine weighting factors for incidents.
Weighting factors are defined to be:
 - 1 – Serious non-compliance: Incident poses serious harm to the public or environment
 - 0.75 – Significant non-compliance: Programmatic non-compliance with regulatory requirements or a release resulting in the issuance of a NOV, or repeated moderate non-compliance (“repeated” is defined as more than two over a three-year period)
 - 0.5 - Moderate non-compliance incident that is isolated, but requires a legally reportable release of contamination (but no NOV is issued), or a repeated minor non-compliance.
 - 0.25 - Minor non-compliance: An incident that is isolated, primarily administrative, and causes no potential unrecovered release of contamination.
 - 0.10 – Self-reported minor non-compliance: Same as minor non-compliance except that the incident is detected due to the diligence and best management practices of the facility.
4. If NOVs or equivalent notices contain more than one distinct compliance violation, each separate violation will be first weighted under the above scale. Then an overall score for the incident will be determined by joint DOE/SLAC agreement after considering the individual violations. The overall score for a NOV with multiple violations will be equal to or greater than the highest scored individual violation, but will not exceed a value of 1.
5. The weighted scores of all incidents during the performance period will be added to determine the “total score” to be used in the gradients defined below.

6. Increases in incidents will be based on comparison to a three-year average. The “three-year” average will begin after three years of data are collected (FY99 - FY01). Thereafter, the lowest average from a three-consecutive-year period will be used.
7. Unexpected work/regulatory activity increases that may occur during the year will be brought to the attention of DOE and will be considered during the evaluation period.

Performance Gradient:

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

Performance Narrative:

There were no violations, spills, or releases in fiscal year 2000 meeting the criteria of the performance measure.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Objective: # 3

SLAC demonstrates sound stewardship of its site through safe and effective hazardous and radioactive waste minimization and management and through restoration of the site where degradation has occurred.

Performance Criteria: 3.1

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

Performance Measure: 3.1.a**Available Points: 5.0**

SLAC completes tasks identified in the Annual Performance Objective Plan. Progress continues towards meeting the DOE pollution prevention goals for the year 2000.

Performance Assumptions:

1. Annual Performance Objective Plan tasks:
 - Increase employee awareness by completing 2 articles on waste minimization/pollution prevention
 - revise waste minimization/pollution prevention chapter for ES&H manual
 - Perform Pollution Prevention Opportunity Assessments
 - review hazardous waste reduction options for California waste stream 181, particularly for filter cake sludge from the Rinse Water Treatment Plant and develop feasibility study for reducing filter cake waste
 - review additional waste reduction options for municipal waste
 - Waste Minimization/Pollution Program Planning/Implementation
 - project reviews and assessments by the Waste Minimization/Pollution Prevention Committee will be conducted
 - Complete DOE CY1999 Annual Waste Reduction Report
 - Complete Annual Update of permitted treatment units under California Tiered Permit Program
2. DOE's pollution prevention goals by waste type that are included in this measure are defined as follows:

- Reduce by 50% the generation of hazardous waste from routine operations by the year 2000 using 1993 as a baseline year.
 - Recycle 33% of municipal solid waste by the year 2000.
3. The performance period is October 1, 1999 through September 30, 2000.
 4. Waste quantities used to compute waste reduction or waste recycling performance exclude one-time or non-routine operations such as TSCA waste, remediation waste, waste from projects involving the upgrade of equipment, waste from significant emergency response actions, and construction and demolition waste.
 5. Reduction, reuse, recycling and exchange are considered to be methods of waste minimization and will be tracked by the Waste Management Department to affirm reductions in hazardous waste generated.

Performance Gradient:

Rating	RHW Goals Achieved	NHW Goals Achieved
Outstanding:	>50 percent achieved	> 40 percent achieved
Excellent:	40 to 50 percent achieved	30 to 40 percent achieved
Good:	30 to 40 percent achieved	20 to 30 percent achieved
Marginal:	20 to 30 percent achieved	10 to 20 percent achieved
Unsatisfactory:	<20 percent achieved	<10 percent achieved

Performance Narrative:

The basis for the overall rating is completion of the Annual Performance Objective Plan tasks and achievement of the quantitative waste reduction goal for routine hazardous waste generation and percent recycling of municipal (non-hazardous) solid waste. In FY00, SLAC completed 2 articles on waste minimization and pollution prevention; revised the Waste Minimization/Pollution Prevention Chapter in the SLAC ES&H Manual; reviewed additional waste reduction options for municipal solid waste; continued Waste Minimization/Pollution Prevention implementation and planning activities; conducted project reviews and assessments through the Environmental safety Citizen Committee; completed the calendar year 1999 Annual Waste reduction report for DOE OAK and the Annual Update of permitted treatment units under the State of California Tiered Permit Program.

In FY00, SLAC generated 30,300kg of routine hazardous waste resulting in a 77 percent reduction relative to the 1993 baseline. In FY00, SLAC recycled 60 percent of non-hazardous materials from routine operations. Achievement of the DOE quantitative goals represents a substantial basis for the overall rating on this performance measure.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Criteria: 3.2

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

Performance Measure: 3.2.a

Available Points: 4.0

Hazardous waste generated will be managed in compliance with applicable regulations of CCR, Title 22, Division 4.5, applicable parts, and the budget expended cost effectively.

Performance Gradient:

Outstanding: No Class 1 or equivalent violations of hazardous waste regulations; budget expended cost-effectively for generated hazardous waste.

Excellent: No Class 1 violations of hazardous waste regulations; budget expended cost effectively for generated hazardous waste.

Good: No Class 1 violations; and budget not expended cost effectively for generated hazardous waste.

Marginal: Any Class 1 violation; or budget not expended cost effectively for generated hazardous waste.

Unsatisfactory: Any Class 1 violation; and budget not expended cost effectively for generated hazardous waste.

Performance Assumption:

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

compliance elements. Any violation that does pose a threat, or where other program elements are unsuccessful in meeting other compliance elements, may affect the performance level.

2. Violation of waste accumulation time requirements for combined waste will be considered on a case by case basis.
3. Data used for assessing regulatory compliance will be gathered from inspection reports pertinent to environmental waste regulations. These may include self-assessments, regulatory agency inspections, operational awareness activities, etcetera.
4. The effective date of Order 435.1 is considered to be when the Order is added to SLAC's contract.
5. The assessment of the cost effectiveness of budget expenditures will be based on the mutually agreed upon baseline for the hazardous waste and low level waste programs and any identified cost savings.
6. Cost savings resulting from the implementation of cost-effective waste programs may be applied towards waste liabilities and other SC program activities at the site.
7. Class 1 violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.
8. Violations similar to Class I violations found during SLAC internal audits or DOE operational awareness walk throughs will be considered "equivalent" to Class I violations for the Outstanding gradient of Measure 3.2a.

Performance Narrative:

The overall rating assigned to this performance measure is based on the demonstration of compliance with DOE Orders and federal, state and local laws and regulations pertaining to hazardous waste management. Data used for assessing SLAC's performance on regulatory compliance was obtained from external regulatory agency reports, documented DOE operational awareness activities and results of SLAC internal independent audits. The assessment of the cost effectiveness of expenditures in the Waste Management program was based on the agreed-upon baseline for the hazardous waste program established at the beginning of the fiscal year.

The Waste Management program demonstrated full compliance with federal, state and local laws and regulations and is documented in the inspection reports by the local regulatory agency, an internal independent audit report and DOE Stanford Site Office (SSO) operational awareness reports. The San Mateo County Division of Environmental Health, Hazardous Waste Generator Inspection report, dated April 12, 2000 and SLAC's internal independent audit report did not document any observations or findings of non-compliance. No significant findings or observations were generated as a result of SSO operational awareness activities conducted during the fiscal year. The Office of Science waste management budget is used to fund activities covered under Performance Measures 3.1 and 3.2. Funding resulting from increased program efficiencies was used for other high priority ES&H projects and tasks. Management systems have been demonstrated to be effective and overall performance in the program remains high.

Performance Rating (Adjectival): Outstanding	3.70
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Performance Measure: 3.2.b	Available Points: 4.0
<p>Low level waste generated will be managed in compliance with applicable DOE Orders and regulatory requirements and the budget expended cost effectively.</p>	

Performance Gradient:

Outstanding:

Compliance with applicable orders and regulations; budget expended cost effectively for llw generated; disposal of 600 cubic feet of waste generated prior to the effective date of DOE Order 435.1.

Excellent:

Compliance with applicable orders and regulations; budget expended cost effectively for llw generated; disposal of 450 cubic feet of waste generated prior to the effective date of DOE Order 435.1.

Good:

Compliance with applicable orders and regulations; budget expended cost effectively for llw generated; disposal of 300 cubic feet of waste generated prior to the effective date of DOE Order 435.1.

Marginal:

Compliance with applicable orders and regulations; budget expended cost effectively for llw generated; no disposal of waste generated prior to the effective date of DOE Order 435.1. Noncompliance with applicable orders and regulations; budget expended cost effectively for llw generated; disposal of 150 cubic feet of waste generated prior to the effective date of Order 435.1. Noncompliance with applicable orders and regulations; budget not expended cost effectively for llw generated; disposal of 150 cubic feet of waste generated prior to the effective date of Order 435.1.

Unsatisfactory:

Non-compliance with applicable orders and regulations; budget not expended cost effectively for llw generated; no disposal of waste generated prior to the effective date of Order 435.1.

Performance Assumption:

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

2. Violation of waste accumulation time requirements for combined waste will be considered on a case by case basis.
3. Data used for assessing regulatory compliance will be gathered from inspection reports pertinent to environmental waste regulations. These may include self-assessments, regulatory agency inspections, operational awareness activities, etcetera.
4. The effective date of Order 435.1 is considered to be when the Order is added to SLAC's contract.
5. The assessment of the cost effectiveness of budget expenditures will be based on the mutually agreed upon baseline for the hazardous waste and low level waste programs and any identified cost savings.
6. Cost savings resulting from the implementation of cost-effective waste programs may be applied towards waste liabilities and other SC program activities at the site.
7. Class 1 violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.
8. Violations similar to Class I violations found during SLAC internal audits or DOE operational awareness walk throughs will be considered "equivalent" to Class I violations for the Outstanding gradient of Measure 3.2a.

Performance Narrative:

The overall rating assigned to this performance measure is based on the documentation of compliance with DOE Orders pertaining to low-level waste management. Data used for assessing SLAC's performance on compliance was obtained from DOE operational awareness activities and SLAC internal independent audits. The assessment of the cost effectiveness of expenditures in the Low-level Waste Management program was based on the agreed-upon baseline for the program established at the beginning of the fiscal year.

The Low-level Waste Management program has demonstrated full compliance with DOE Orders including implementation of the requirements of DOE order 435.1. In FY00, SLAC developed and initiated site-wide implementation of the SLAC Radioactive Waste Manual that serves as the site's authorization basis for all low-level waste management activities at the site. SLAC completed a shipment of 10 boxes of low-level waste to the DOE Hanford facility in Richland, Washington in September 2000. While Hanford subsequently notified SLAC that 4 of the 10 low-level waste boxes appear to contain non-conforming waste items, SLAC is working with Hanford to identify and verify these "suspect" items to ensure compliance with the Hanford Waste Acceptance Criteria. This work will continue into FY01 and will be evaluated as part of the FY01 performance assessment. SLAC also received DOE approval of the documentation necessary for a future shipment of mixed waste to a commercial waste treatment facility. Cost expenditures within the program continue to be well within the agreed-upon baseline budget established at the beginning of the fiscal year.

Performance Rating (Adjectival): Outstanding	3.6
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Performance Criteria: 3.3

SLAC will maintain the scheduled rate of progress toward completion of the Remedial Investigation/ Feasibility Study and source mitigation activities designed to achieve a level of restoration acceptable to cognizant regulatory agencies by September 30, 2002.

Performance Measure: 3.3.a

Available Points: 7.0

Performance will be determined based on points earned in three categories. The successful completion of selected major or significant tasks in the Environmental Restoration Program Current Year Work Plan, the efficient management of the budget, and project management effectiveness will be evaluated and awarded points. There will be a maximum of 60 points possible.

Task Completion Points (40 max)

By October 15, 1999, SLAC and DOE will agree on the tasks to be performed and the number of points to be awarded for each. As conditions change throughout the year, DOE and SLAC may agree on task substitution. Forty (40) points will be allocated to these tasks. In general, ten points will be awarded for the completion of major tasks (e.g., significant field work or site closures) and five points will be issued for lesser but significant interim tasks (issue of reports or work plans). Tasks must be fully completed within the performance period to received points (i.e., no partial credit).

Budget Points (10 max)

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

Percent of budget spent	Points
92 to 100%	10
85 to 92%	5
<85%	0

Project Management Effectiveness Points (10 max)

Quality, earned value, responsiveness, innovation, and flexibility factors will be used to evaluate project management effectiveness. This item will be more subjective than the other two categories and there is no intention to distribute the available points evenly among the identified factors. Typical indicators of the effectiveness are:

- Post project evaluations for cost and quality

- Nature of stakeholder, regulator, DOE, etc. comments on environmental restoration projects/documents and resolution to the comments
- Compliance to project documents
- Recommendations and development of solutions to problems or obstacles
- Regulator issued fine, penalties, notice of violations, etc.

Performance Gradient

Outstanding:

54 or greater points earned.

Excellent:

45 to 53 points earned

Good:

36 to 44 points earned

Marginal:

The budget has been overspent or 28 to 35 points earned. Overspending the budget (i.e., authorized spending limit) by any amount is not allowed.

Unsatisfactory:

<28 points earned.

Performance Narrative:

Task Completion (5 points per task)

SLAC completed the following five tasks:

1. Submitted TL/CL site characterization report to the regulators;
2. Completed phase 1 of the LSY removal action;
3. Performed a human health and ecological risk assessment of the IR-6 & 8 Drainage Channels;
4. Completed the Plating Shop assessment field work; and
5. Completed the FHWSA assessment field work.

As per the written agreement, SLAC will also receive completion credit for three tasks since they “put forth a reasonable effort and the reason for not completing the task was out of their control.” The following discussion addresses these three tasks.

1. Regulator concurrence to a “No Further Investigation” recommendation at the TL/CL was not received because the regulator took eight months to review the report instead of the two months that had been allotted (which is considered reasonable). Additionally, the regulator reversed positions on the beneficial use of groundwater at SLAC and strayed from the normal regulator policy of accepting risk-based cleanup goals (i.e., actual conditions turned out to be significantly

- different from the baseline assumptions used to develop the schedule and scope of work). The regulator's tardiness didn't allow SLAC adequate time to resolve these significant issues.
2. Regulator comments to the FSUST RI/FS reports were not resolved because DOE had not agreed to non-restricted use cleanup goals and was exploring land use restriction alternatives. SLAC and DOE were not comfortable in specifying cleanup goals that are unattainable with current technology. Direction and funding to proceed with a residential risk assessment and development of non-restricted use cleanup goals was provided late in the performance period (i.e., July 28, 2000) with insufficient time to complete the task.
 3. Drafting a Remedial Alternatives Report (RAP) for the FSUST was rescheduled due to the progress on the previous item and a decision to expedite the process by designing, installing, and testing a pilot system prior to issuing the RAP.

Two items on the task list were not completed and therefore, do not contribute to the points earned. The urgent PCB removal at the 1.0/1.5 MWPS was completed but the second phase of this removal action was still in progress at the end of the performance period. The FHWSA risk assessment was not performed as the most appropriate approach (e.g., probabilistic, deterministic, screening levels) was being evaluated.

Forty (40) points have been earned for this element based on credit for eight (8) items.

Budget Management

SLAC was provided \$1,821,000 and used \$1,609,000 to pay for work completed in FY00. Of the remaining \$212,000, all but \$7,000 was encumbered by contracts that covered work in progress or work that was about to commence at the beginning of FY01 before FY01 funds were provided. Greater than 92% of the funds were effectively used so ten (10) points have been earned for this element.

Project Management Effectiveness

Overall, SLAC continues to manage the project effectively. The following observations are the basis for this evaluation.

- A post project evaluation was conducted following the completion of Phase 1 of the Lower Salvage Yard remedial actions. The evaluation confirmed that the project was well managed and costs were minimized by using in-house personnel to manage the project. This was the only project in FY00 that required a post-completion evaluation.
- The development and review of IRA plans for PCB removals have proceeded well and without difficulties. Some improvements were needed in the subcontractor's ES&H Plan. The RWQCB submitted extensive comments on the TL/CL Site Characterization Report. A majority of the comments were questions asking for clarification. There were three significant comments related to insufficient data for VOCs in soil, performance of a feasibility study, and the treatment of groundwater. Of the three comments, the one related to gathering and presenting additional information about the VOCs in the soil, indicates an area in the report that could have been improved.

- There were no identified incidents of non-compliance to project documents. There were no regulator issued fines, penalties, or notices of violation.
- SLAC was proactive in developing improvements in several areas. Preliminary information was gathered on the use of an ex-situ PCB treatment, and bioreactors at the FSUST. Alternatives to deterministic risk assessments were explored.
- The level of effort needed to develop and update project cost and schedule documents for FY00 was greater than in the past. The Multi-Year Work Plan (MYWP) is a joint DOE/SLAC effort and should be issued by the beginning of the fiscal year. The FY00/01 MYWP was issued on June 1, 2000. Unresolved funding and scope input from DOE was a major factor in the lateness of the MYWP. However, not all of the lateness was a result of DOE's input and SLAC must share in a portion of the lateness.
- SLAC has conducted tours of the restoration sites for OAK/EM and HQ/EM managers. SLAC personnel demonstrate a high degree of knowledge and professionalism on these tours and effectively communicated the project's status to the managers. The tours are enhanced by the useful information summaries provided.

Seven (7) points have been earned for this elements. The ES&H Plan, TL/CL report and MYWP were the main areas indicating opportunities for improvement.

The total points for the three elements is 57.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Objective 4.0

The Laboratory systematically integrates ES&H into management and work practices at all levels so that missions are accomplished while protecting the worker, the public and the environment.

Performance Criteria: 4.1

A Safety Management System (SMS) will be implemented in accordance with the Guiding Principles and Core Functions of Integrated Safety Management. Note: The numbers in brackets indicate the Guiding Principles (GP) and Core Functions (CF) of the Integrated Safety Management System (ISMS) that are monitored by the particular measure.

Performance Measure: 4.1a Available points: 25

The SLAC SMS will be enhanced through implementation of the following opportunities:

- a. The Laboratory Director will establish annual ES&H expectations with each Associate Director for inclusion in their annual performance evaluations. [GP #1, #2 & #4; CF #1 & #5]

Schedule: Expectations will be developed with the 2000 performance appraisals (for the period April 1, 1999 to March 31, 2000) by May 1, 2000.
- b. On a quarterly basis each Associate Director will review and discuss progress against their individual ES&H expectations with the Environment, Safety & Health Coordinating Council (ES&HCC). The deliverables are the quarterly reports, which will be included in the records of the ES&HCC meetings. [GP #1 & #4; CF #1 & #5]

Schedule: The ES&HCC will continue to receive quarterly divisional safety reports, which will include a section for ES&H expectations.
- c. Phase I of the Behavior Based Safety Program is evaluated to determine the quality of the observational data, the impact of the program on the workers involved and the potential of this program to improve workplace safety at SLAC. Continuation and expansion of the program will be based on the results of the evaluation. If it is decided to continue and expand the program, pending available funding, it will be extended to Phase II, to include the Mechanical Fabrication Department. [CF #2, #4 & #5]

Schedule:

 - 1) Phase I evaluation report is delivered to the ES&HCC. 4/25/00
 - 2) Assuming a decision to extend the Program, Phase II is implemented. 7/19/00

Note: If funds are not immediately available, the expansion of the Program may be delayed to FY 2001.

- d. A systematic process is developed and implemented to identify hazards and implement controls for experiments, manufacturing tasks and construction projects performed by SLAC staff that meets specified criteria. [GP #1, #6 & #7; CF #2 & #3]
Schedule:
- 1) Develop guidance for the hazard identification and control process. 1/31/00
 - 2) Develop tools for implementing the process. 3/2/00
 - 3) Implement the process. 3/30/00
- e. Audits and reviews, including Safety & Environmental (S&E) Discussions, are conducted in accordance with an approved plan (providing feedback). Deliverables are audit and review reports and SLAC responses to findings. [GP #3, #6 & #7; CF #3 & #5]
Schedule:
- 1) Two independent audits are scheduled during the fiscal year to cover portions of the ES&H program. 9/30/00
 - 2) The S & E Discussions will be conducted. 4/30/00
- f. The Self-Assessment Program is further developed and defined to integrate line management inspections and assessments with internal and external independent audits. [GP #1; CF #5]
Schedule:
- 1) Develop and implement an extension to the annual S & E Discussions to incorporate facility inspections as an option. 4/30/00
 - 2) Continue program of upper management “walkthroughs” and quarterly reporting to the ES&HCC.
 - 3) To ensure greater line management accountability, metrics will be established to ensure ISMS is being effectively implemented. 9/30/00
- g. The ES&H training program is continually monitored and modified as needed to address all hazards and enable participation. Qualifications and training requirements are developed for individuals who are assigned specific ES&H responsibilities, such as Building Managers (BM), University Technical Representatives (UTR), Safety Officers (SO) and new supervisors. Deliverable is the training program for FY2001. [GP #3]
Schedule:
- 1) Qualifications and training requirements are developed for UTR. 2/25/00
 - 2) Qualifications and training requirements are developed for SO. 4/1/00
 - 3) Qualifications and training requirements are developed for BM. 6/1/00
 - 4) Qualifications and training requirements are developed for supervisors. 9/30/00
 - 5) Recommendations of the ES&H Training Subcommittee of the Operating Safety Committee are incorporated into a revised ES&H Training Program. 9/30/00
- h. A process is developed and implemented to recommend to SLAC management a chemical management and use tracking system to assist with the requirements for compliance under enhanced air emission regulations. [GP #1; GP #6; CF #3]
Schedule:
- 1) Appoint Working Group. 1/10/00

- 2) Recommendations developed and reported. 5/1/00

Performance Assumptions:

1. Rating period is October 1, 1999 to September 30, 2000.
2. The schedules provide a basis for monitoring the progress toward attaining the measure.
3. The final rating is based on the completion of all deliverables identified in the “Schedule” section of each Opportunity.
4. SLAC will evaluate and report on the Process Measures annually as part of its Self-Assessment process.

Performance Gradient:

Far Exceeds Expectations:	7 to 8 Opportunities are completed as scheduled
Exceeds Expectations:	6 Opportunities are completed as scheduled
Meets Expectations:	5 Opportunities are completed as scheduled
Needs Improvement:	Less than 5 Opportunities are completed as scheduled

Performance Narrative:

SLAC has substantially completed 7 of the 8 opportunities identified in the Integrated Safety Management (ISM) process measure. The opportunities were derived from the recommendations identified in the ISMS Phase I verification report and included: 1) establishment of ES&H expectations for the Associate Directors by the Laboratory Director and reporting performance against those expectations; 2) quarterly reporting by the SLAC Associate Directors on their individual ES&H expectations; 3) implementation of Phase II of the Behavior Based Safety Program; 4) development of a systematic process to identify hazards and implement controls; 5) conduct of audits and reviews in accordance with an approved plan; 6) integration of line management inspections and assessments with internal and external independent audits; 7) development and implementation of a training program for individuals who are assigned specific ES&H responsibilities and 8) development and implementation of a chemical use tracking system to support site-wide compliance activities.

SLAC has not proposed performance metrics to ensure ISM is being effectively implemented. In FY01, SLAC will be expected to develop performance metrics to support their conclusions about the effectiveness of ISM implementation in the area of line management responsibility and feedback and continuous improvement. The training programs for individuals who have been assigned specific ES&H responsibilities have been developed and classes will be available in FY01.

In FY01, DOE and SLAC will initiate quarterly ISM reviews of selected projects, tasks and activities at SLAC to assess how effectively ISM is being implemented by SLAC line management. The evaluation will be based on the criteria identified in the SLAC Safety Management System Description document that outlines how SLAC integrates the ISMS seven Guiding Principles and five Core Functions into all management systems and work practices at the institutional, site and activity levels.

Performance Rating (Adjectival): Outstanding	3.80
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APPENDIX A

ASSESSMENT REPORT METHODOLOGY

APPENDICES

Assessment Report Methodology

FY 2000 Annual Performance Assessment for Stanford Linear Accelerator Center Report Methodology

- The contractor's overall performance rating was designated by one of the following adjectives:

<u>RATING</u>	<u>GENERAL DESCRIPTION</u>
Outstanding	An overall weighted point score of from 3600 points through 4000 points.
Excellent	An overall weighted point score of between 3000 points and 3599 points.
Good	An overall weighted point score of between 2000 points and 2999 points.
Marginal	An overall weighted point score between 1000 points and 1999 points.
Unsatisfactory	An overall weighted point score of 999 points or less.

- The overall weighted point score rating was computed as follows:

The overall weighted point score for the Science and Technology Program Areas was added to the overall weighted point score for the Business Management Areas to determine the Contractor's overall weighted point score.

- To obtain the overall weighted point score in the Business Management, the following procedures were used:

- First the Criteria and Performance Measures within each Objective was characterized in accordance with the established metric. Then a scoring factor, within the range provided for that characterization, was assigned to that criteria. The following Characterizations and Scoring Factors ranges were used:

CHARACTERIZATIONS

SCORING FACTORS RANGE

Outstanding	From 3.6 to 4.0
Excellent	From 3.0 to 3.5
Good	From 2.0 to 2.9
Marginal	From 1.0 to 1.9
Unsatisfactory	.9 or less

b. Next, the Characterization Scoring Factor was multiplied times the available Basic Points for the Criterion to obtain the Weighted Point Score. Within each Objective area, the weighted point scores for all Criteria were added together to obtain the Weighted Objective Score.

c. The Weighted Objective Scores for all Objectives within a Business Management Functional Area were added together to compute the Weighted Functional Area Score. The Business Management Functional Area Rating was determined by reference to the following charts for each functional area:

RATING

WEIGHTED FUNCTIONAL AREA SCORE

Equal Opportunity and Affirmative Action

Outstanding	From 54 through 60
Excellent	From 45 through 53
Good	From 30 through 44
Marginal	From 15 through 29
Unsatisfactory	14 or less

Human Resource Management

Outstanding	From 126 through 140
Excellent	From 105 through 125
Good	From 70 through 104
Marginal	From 35 through 74
Unsatisfactory	34 or less

Financial Management

Outstanding	From 198 through 220
Excellent	From 165 through 198
Good	From 110 through 164
Marginal	From 55 through 109
Unsatisfactory	54 or less

RATING

WEIGHTED FUNCTIONAL AREA SCORE

Communications and Public Affairs

Outstanding	From 36 through 40
Excellent	From 30 through 35
Good	From 20 through 29
Marginal	From 10 through 19
Unsatisfactory	9 or less

Personal Property

Outstanding	From 108 through 120
Excellent	From 90 through 107
Good	From 60 through 89
Marginal	From 30 through 59
Unsatisfactory	29 or less

Procurement

Outstanding	From 90 through 100
Excellent	From 75 through 89
Good	From 50 through 74
Marginal	From 25 through 49
Unsatisfactory	24 or less

Facilities Management

Outstanding	From 216 through 240
Excellent	From 180 through 215
Good	From 120 through 179
Marginal	From 60 through 119
Unsatisfactory	59 or less

Information Management

Outstanding	From 108 through 120
Excellent	From 90 through 107
Good	From 60 through 89
Marginal	From 30 through 59
Unsatisfactory	29 or less

RATING

WEIGHTED FUNCTIONAL AREA SCORE

Safeguards and Security

Outstanding	From 72 through 80
Excellent	From 605 through 71
Good	From 40 through 59
Marginal	From 20 through 39
Unsatisfactory	19 or less

Technology and Intellectual Property

Outstanding	From 36 through 40
Excellent	From 30 through 35
Good	From 20 through 29
Marginal	From 10 through 19
Unsatisfactory	9 or less

ES&H

Outstanding	From 396 through 440
Excellent	From 330 through 395
Good	From 220 through 329
Marginal	From 110 through 219
Unsatisfactory	109 or less

4. The point range for the overall adjectival ratings for Science and Technology and Business Management are as follows:

Science and Technology:

Outstanding	From 2160 to 2400
Excellent	From 1800 to 2159
Good	From 1200 to 1799
Marginal	From 600 to 1199
Unsatisfactory	Less than 600

Business Management:

Outstanding	From 1440 to 1600
Excellent	From 1200 to 1439
Good	From 800 to 1199
Marginal	From 400 to 799
Unsatisfactory	Less than 400

5. The Contracting Officer shall have a unilateral right to change the overall rating of the laboratory, after all other evaluations are complete, based upon his or her determination that some significant event(s) requires such a change to accurately reflect performance.

APPENDIX B

OVERALL SCORE SUMMARY

SCIENCE & TECHNOLOGY
AND
BUSINESS MANAGEMENT

B. SCORE SUMMARY
Stanford Linear Accelerator Center

FUNCTIONAL AREA	AVAILABLE POINTS	SCORING FACTOR	ADJECTIVE
SCIENCE AND TECHNOLOGY			
High Energy Physics	500.0	1834.0	OUTSTANDING
Synchrotron Radiation	100.0	392.0	OUTSTANDING
SCIENCE AND TECHNOLOGY TOTAL	600.0	2226.0	OUTSTANDING
BUSINESS MANAGEMENT			
Equal Opportunity and Affirmative Action	15.0	42.0	GOOD
Personnel Management	35.0	112.0	EXCELLENT
Financial Management	55.0	184.0	EXCELLENT
Communications & Public Affairs	10.0	29.0	OUTSTANDING
Personal Property	30.0	110.6	OUTSTANDING
Procurement	25.0	91.9	OUTSTANDING
Projects/Facilities Management	60.0	209.1	GOOD
Information Management	30.0	96.0	EXCELLENT
Safeguards and Security	20.0	76.0	OUTSTANDING
Technology and Intellectual Property Management	10.0	33.0	EXCELLENT
Environment Safety and Health	110.0	396.4	OUTSTANDING
BUSINESS MANAGEMENT TOTAL	400.0	1380.0	EXCELLENT
TOTAL OVERALL LABORATORY SCORE	1000.0	3606.0	OUTSTANDING

APPENDIX C

SCIENCE & TECHNOLOGY SCORES

Appendix C - SCORE SUMMARY Stanford Linear Accelerator Center

FUNCTIONAL AREA	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
SCIENCE AND TECHNOLOGY	600.0		2226.00
A HIGH ENERGY PHYSICIS	500.0	N/A	1834.00
PERFORMANCE OBJECTIVE#1 Scientific Research & Technology Development Programs			
1.1 Quality of fundamental and applies science			
1.1.a SLAC will be recognized as a world-class research	120.0	3.7	444.00
1.2 Relevance to DOE missions or national needs			
1.2.a SLAC will contribute to U.S. Leadership in international High Energy Physics	200.0	3.6	720.00
1.3 Effective and efficient research program management			
1.3.a SLAC will provide well developed research plans; optimal use of personnel facilities &	100.0	3.5	350.00
1.4 Success in construction and operation of facilities			
1.4.a SLAC will construct and operate in a reliable safe and enviromentally sound manner	80.0	4.0	320.00
B SYNCHROTRON RADIATION	100.0	N/A	392.00
PERFORMANCE OBJECTIVE #1 Scientific Research & Technology Development Programs			
1.1 Quality of fundamental and applied science			
1.1.a SLAC will be recognized as a world-class research	20.0	3.9	78.00
1.2 Relevance to DOE missions or national needs			
1.2.a SLAC will contribute to U.S. Leadership in international Basic Energy & Biological	30.0	3.8	114.00
1.3 Effective and efficient research program management			
1.3.a SLAC will provide well developed research plans; optimal use of personnel facilities &	20.0	4.0	80.00

Appendix C - SCORE SUMMARY
Stanford Linear Accelerator Center

FUNCTIONAL AREA	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
1.4 Success in construction and operation of facilities			
1.4.a SLAC will construct and operate in a reliable safe and enviromentally sound manner	30.00	4.0	120.00

APPENDIX D

BUSINESS MANAGEMENT SCORES

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION	15.0		42.00
PERFORMANCE OBJECTIVE #1 Equal Opportunity and Affirmative Action			
1.1 Program Development and Maintenance			
1.1.a Compliance Standing and Operational Awareness	15.0	2.8	42.00

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
HUMAN RESOURCE MANAGEMENT	35.0		112.00
PERFORMANCE OBJECTIVE #1 Attraction/Retention of Qualified People			
1.1 Direct Compensation Program			
1.1.a Average Salary	10.0	2.6	26.00
1.2 Indirect Compensation			
1.2.a Benefit Program	5.0	3.2	16.00
PERFORMANCE OBJECTIVE #2 Customer Needs			
2.1 Requirements, expectations and preferences of customers			
2.1.a Establish action plans to improve areas which do not meet customer expectations	5.0	3.2	16.00
PERFORMANCE OBJECTIVE #3 Personnel Policy Compliance			
3.1 Personnel Policy Compliance			
3.1a Training and Employee Relations	15.0	3.6	54.00

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

	PERFORMANCE OBJECTIVE		AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
FINANCIAL MANAGEMENT			55.0		184.00
GOAL #1					
PERFORMANCE OBJECTIVE #1		Effective and Efficient Cash Management			
1.1	Accounts Payable are managed in a timely and efficient manner				
1.1.a	Cost effective discounts taken & vendor pmts. made by due date according to DOE Guidelines		3.5	3.0	10.50
1.2	Accounts receivable delinquencies are minimized				
1.2.a	Reduce the amount of delinquent accounts receivable 90, 91-180, and over 180 days old.		4.5	4.0	18.00
1.3	Cash management practices are monitored and improved				
1.3.a	Cash Mgmt includes: monitoring Bank Agrmt daily bal., imprest fund ops & employee advances		4.0	2.9	11.60
1.4	Revenues are properly recorded				
1.4.a	Revenues/collections are promptly collected, recorded & properly classified...		4.0	4.0	16.00

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

	PERFORMANCE OBJECTIVE		AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
PERFORMANCE OBJECTIVE #2		Quality Budget Formulation & Effective Execu			
2.1	Budgets are submitted timely				
2.1.a	Supportable budgets submissions meet due dates, follow form, include all requested items...		3.5	3.5	12.25
2.2	Manage uncosted balances				
2.2.a	Reduce or maintain uncosted balances within criteria established by the DOE		4.0	2.5	10.00
2.3	Costs and Commitments of all programs...are managed properly				
2.3.a	Ensure costs & commitments are properly reported and within DOE-authorized funding levels		4.5	3.4	15.30
PERFORMANCE OBJECTIVE #3		Effective Internal Controls/Audit Findings Foll			
3.1	Provide for effective internal control & ensure timely and effective resolution...				
3.1.a	Financial findings are prioritized to achieve timely resolution within the metric guidelines		3.0	3.3	9.90
3.1.b	Controls are in place to ensure that travel costs reported are accurate		2.0	3.5	7.00
PERFORMANCE OBJECTIVE #4		Ensure acctg. data is recorded accurately and timely...			
4.1	Financial data is recorded and reported consistently, accurately, and timely				
4.1.a	DOE required accounting reports are provided by the due date and meet content requirements		5.5	3.5	19.25

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

	PERFORMANCE OBJECTIVE		AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
4.2	FY 1999 Financial Statements hold up under audit by DOE/OIG or Stanford internal.				
4.2.a	Prepare for FY 1999 audited financial statements in accordance with DOE requirements		5.5	3.5	19.25
	PERFORMANCE OBJECTIVE #5	Construction Projects			
5.1	Construction projects are closed an capitalized				
5.1.a	Projects are closed upon beneficial occupancy and capitalized in accordance with DOE requements		3.5	4.0	14.00
	PERFORMANCE OBJECTIVE #6	Effective and efficient indirect cost management			
6.1	SLAC manages its indirect rates				
6.1.a	Using 1996 as a baseline, track & trend FY 1997 through Fy 1999 indirect costs...		2.0	2.5	5.00
6.1.b	SLAC will adequately complete and provide to DOE CAS Disclosure Statement...		3.0	2.9	8.70
6.1.c	SLAC prepares and submits the Functional Support Cost Report (FCS) in accordance with DOE req		2.5	2.9	7.25

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
COMMUNICATION AND PUBLIC AFFAIRS	10.0		29.00
PERFORMANCE OBJECTIVE #1			
OPEN TO THE COMMUNITY AS CONSTRUCTIVE PARTIC			
1.1 Information sharing, hosting public events, participation in events, and publicizing lab activities			
1.1.a Various customer feedback methods	10.0	2.9	29.00

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
PERSONAL PROPERTY	30.0		110.60
PERFORMANCE OBJECTIVE #1 Accountability of Personal Property			
1.1 Equipment Inventory			
1.1.a Equipment Inventory Results	6.0	3.7	22.20
1.2 Sensitive Property Inventory			
1.2.a Sensitive Inventory Results	6.0	3.5	21.00
PERFORMANCE OBJECTIVE #2 Organizational Stewardship & Individual Custodianship			
2.1 Organizational Stewardship & Individual Custodianship			
2.1.a Timeliness of Assignment	3.0	3.4	10.20
PERFORMANCE OBJECTIVE #3 Utilization of Property			
3.1 Vehicle Utilization Program			
3.1.a Measure Vehicle Utilization	4.0	3.8	15.20
PERFORMANCE OBJECTIVE #4 Customer Satisfaction			

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
4.1 Lab listens & responds to its internal & external customers			
4.1.a The Lab shall select areas in which to determine the needs of its customers	2.0	3.6	7.20
PERFORMANCE OBJECTIVE #5 Information to Improve/Maintain Process			
5.1 Self Assessment of Policies and Procedures			
5.1.a Assessing Support Process	5.0	4.0	20.00
PERFORMANCE OBJECTIVE #6 Cost Efficiency			
6.1 Performance/Cost Efficiency			
6.1.a Measuring Cost Efficiency/Effectiveness	2.0	3.6	7.20
PERFORMANCE OBJECTIVE #7 Learning and Growth			
7.1 Evaluation of Learning and Growth and Employee Alignment			
7.1.a Measuring Learning and Growth and Employee Alignment	2.0	3.8	7.60

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
PROCUREMENT	25.0		91.90
PERFORMANCE OBJECTIVE #1			
Socio-Economic Goals			
1.1 Socio-Economic Goals incorporated in annual subcontracting plan			
1.1.a Percentage of annual goals attained	7.0	3.6	25.20
1.2 Supplies deliver goods and services in a timely manner			
1.2.a Percentage of orders delivered as scheduled	5.0	3.5	17.50
1.3 Average procurement cycle times for Procurements			
1.3.a Average # of calendar days from receipt in purchasing of a property document...	6.0	4.0	24.00
1.4 Cost to purchase \$1 of goods and services			
1.4.a Purchasing administration cost per procurement dollar committed	7.0	3.6	25.20

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
FACILITIES MANAGEMENT	60.0		209.10
PERFORMANCE OBJECTIVE #1 Real Property Management			
1.1 Office Space Utilization			
1.1.a GSA Standard	5.0	3.8	19.00
PERFORMANCE OBJECTIVE #2 Project Management			
2.1 General Plant Projects(GPP)			
2.1.a Number of milestones completed on schedule and within budget.	9.0	3.4	30.60
PERFORMANCE OBJECTIVE #3 Maintenance Management			
3.1 Non-programmatic Maintenance			
3.1.a Inspect a portion of the sq.ft. of real property assets in accord. with the SI	5.0	2.9	14.50
3.2 Programmatic Maintenance			
3.2.a All programmatic maintenance....	5.0	3.5	17.50

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
3.3 Minimize Occurrence Reports			
3.3.a The number of final occurrence reports resulting from failure of real property...	3.0	3.8	11.40
3.4 Preventive Maintenance			
3.4.a The # of planned preventive activities overdue by three months or more....	5.0	3.8	19.00
PERFORMANCE OBJECTIVE #4 Energy Management			
4.1 Use Energy Efficiently			
4.1.a Current FY energy goals accomplished/goals scheduled	7.0	2.9	20.30
4.2 Reliable Electrical Service			
4.2.a Program customer hour outages	11.0	3.8	41.80
PERFORMANCE OBJECTIVE #5 Physical Assets Planning			
5.1 Comprehensive Integrated Planning Process			
5.1.a Effectiveness of Planning Process	10.0	3.5	35.00

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
INFORMATION MANAGEMENT	30.0		96.00
PERFORMANCE OBJECTIVE #1	Information Management Program		
1.1 IM Systems and Programs Operations			
1.1.a Operational effectiveness of IM Systems & programs, including measurable productivity impro	15.0	3.1	46.50
1.1.b Effectiveness of IM Systems & programs in meeting customer requirements	15.0	3.3	49.50

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
SAFEGUARDS AND SECURITY	20.0		76.00
PERFORMANCE OBJECTIVE #1	Reduce Security Incidents, Primary Prop. Losses and Theft...		
1.1	Thru cost effect. utiliz. tools and procedure est. S&S program min. incidents & loss amts rept.		
1.1.a	Number of security incidents and loss amounts reported	7.0	3.8
			26.60
2.1	Thru documented deficiency management insure corrective actions discovered in a timley manner..		
2.1.a	Percent of on-schedule corective actions resulting from findings/issues.	6.0	3.8
			22.80
3.1	Thru documented unclassified computer security program ensure information systems operate/provide protection.		
3.1.a	The extent to which vulnerabilities are reduced.	7.0	3.8
			26.60

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
TECHNOLOGY AND INTELLECTUAL PROPERTY	10.0		33.00
PERFORMANCE OBJECTIVE #1 Utilization, Protection & Transfer of Lab Technology & IP....			
1.1 Technology & IP are effectively managed....			
1.1.a Key technologies & inventions are identified, assessed, disclosed	5.0	3.0	15.00
1.2 Collaborative R&D Projects			
1.2.a Collaborative R&D Proj. provide benefit to DOE, SLAC, the scientific comm. & private sec	5.0	3.6	18.00

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
ENVIRONMENT, SAFETY & HEALTH	110.0		396.40
PERFORMANCE OBJECTIVE #1 Personnel Protection			
1.1 Control Exposure to Personnel			
1.1.a An Industrial Hygiene exposure prevention is in place	10.0	3.5	35.00
1.2 Control Lost Workday Rates			
1.2.a Total Recordable Cases/Lost Work Days baseline comparison	10.0	3.9	39.00
1.3 Exposure of personnel to ionizing radiation will be adequately controlled			
1.3.a Unplanned radiation exposures...are managed and minimized	5.0	4.0	20.00
1.3.b Occupational radiation doses to individual from DOE activities...are not exceeded	5.0	3.5	17.50
1.3.c Lost or unreturned dosimeter investigations...are carried out in timely manner...	2.0	3.8	7.60
1.4 Control Radioactive Material			
1.4.a Reportable Occurences	3.0	2.5	7.50
1.5 Fire Protection			

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
1.5.a Fire Department Response Time	2.0	2.5	5.00
1.5.b Fire Protection Surveys	4.0	4.0	16.00
1.5.c Design Reviews	4.0	4.0	16.00
PERFORMANCE OBJECTIVE #2 Environmental Protection			
2.1 Control Public Exposures			
2.1.a Radiation Exposures	10.0	3.8	38.00
2.2 Control Environmental Exposures			
2.2.a Environmental incidents will be tracked and measured	10.0	4.0	40.00
PERFORMANCE OBJECTIVE #3 Waste Management			
3.1 Minimize Waste			
3.1.a Progress towards DOE pollution prevention goals for FY 2000	5.0	3.7	18.50
3.2 Waste Management			
3.2.a Management of hazardous wastes	4.0	3.8	15.20
3.2.b Management of Low level waste	4.0	3.6	14.40

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
3.3 Environmental Restoration			
3.3.a Current Year Work Plan	7.0	3.6	25.20
PERFORMANCE OBJECTIVE #4 Systematically Integrates ES&H			
4.1 SMS Implementation			
4.1a Enhanced SMS	25.0	3.9	97.50