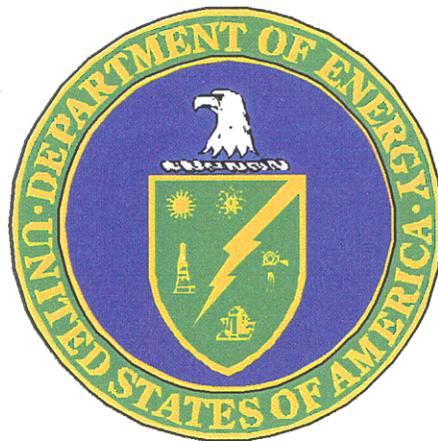


Fiscal Year 2001

Annual Performance Assessment

Stanford Linear Accelerator Center



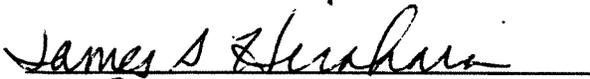
Prepared by:

**U.S. Department of Energy
Oakland Operations Office
*February 2002***

CONTRACTING OFFICER'S EVALUATION

The DOE-NNSA 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 3620.7 weighted points. This report, the "Fiscal Year 2001 Annual Performance Assessment – Stanford Linear Accelerator Center" provides the basis for this determination and is hereby endorsed and approved.

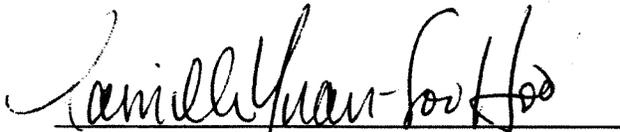
Recommendation:



James B. Hirahara
Acting Deputy Manager
Chairperson, Performance Review Board

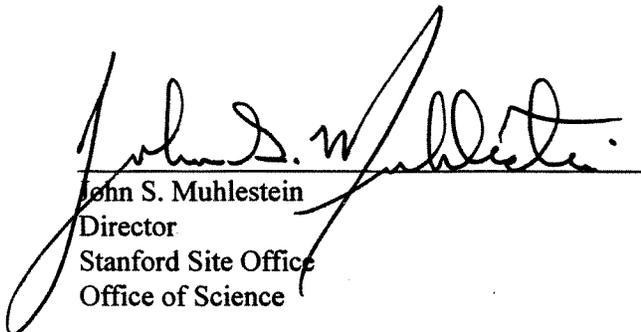
Date: 3/7/02

Approvals:



Camille Yuan-Soo Hoo
Manager
Oakland Operations Office

Date: 3/11/02



John S. Muhlestein
Director
Stanford Site Office
Office of Science

Date: 2/28/2002

FY 2001 Annual Performance Assessment for
Stanford Linear Accelerator Center

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EXECUTIVE SUMMARY

I. PERFORMANCE-BASED ASSESSMENT PROCESS

This report is produced by the U.S. Department of Energy (DOE), Office of Science [High Energy Nuclear Physics (HENP), Basic Energy Science (BES), Office of Basic Energy Research (OBER)], the 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, scientific peer reviews, and ongoing operational awareness.

The period of performance for this Fiscal Year 2001 Annual Performance Assessment Report is October 1, 2000 through September 30, 2001. 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 rating characterization continued to be five tier, like last 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 FY2001 is **OUTSTANDING**. The Science and Technology Program summary rating of Outstanding is based upon input provided by Dr. James F. Decker, Acting Director, Office of Office (SC). The Summary Rating combines performance evaluations from the Office of HENP, BES, and OBER. The Business Management summary evaluations covers: 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 FY2001 Performance Assessment is provided under the Detailed Assessment Results.

II. SUMMARY OF SIGNIFICANT ACCOMPLISHMENTS:

This Executive Summary highlights noteworthy SLAC FY 2001 performance achievements, or recommended areas for improvement, rather than reiterating the scoring and adjectival ratings for each of the functional areas contained in the body of this report.

A. SCIENCE AND TECHNOLOGY

Introduction: Stanford University manages and operates the Stanford Linear Accelerator Center (SLAC) as a National User Facility for the U.S. Department of Energy (DOE). SLAC conducts research, design, construction, engineering, testing, training education, and technology transfer on behalf of DOE, in a manner that maintains a vigorous, forward-looking Scientific program. SLAC's mission is the generation and expansion of scientific and technical knowledge in: high energy physics; basic energy sciences; biological and environmental sciences; and, all appropriate areas of natural sciences, engineering, and related disciplines. High Energy Physics includes accelerator, experimental, and theoretical physics. Basic Energy Sciences included synchrotron radiation research in chemistry,

materials sciences, physics, and other disciplines. Biological and environmental sciences includes synchrotron radiation research in structural molecular biology, and medical sciences. 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.

Overall S&T was rated: Outstanding for FY 2001. The breakdown is:

HEP = Outstanding
Synchrotron Radiation = Outstanding.

Last year, FY2000 overall rating was also Outstanding.

High Energy Physics Performance Evaluation

SLAC operates leading-edge HEP research programs on several fronts, including: studies using the B-Factory (PEP-II Storage Rings) Collider and its BaBar Detector; small-scale experiments using the electron or positron beam from the 2-Mile Long SLAC Linac; construction of an innovative space-based particle astrophysics experiment (GLAST); laying the groundwork for a long-range future program, by pursuing accelerator research toward the design of an energy-frontier collider; and, performing theoretical physics.

Quality of Fundamental and Applied Science

B-Factory (PEP-II Collider and BaBar Detector): Currently, SLAC is focused on studies of CP violation using the B-Factory and BaBar. The B-Factory proved to be a spectacular success by achieving design luminosity in an extremely brief time after commissioning. The PEP-II Collider has continued its impressive performance this past year with world records for integrated luminosity, and local records for instantaneous luminosity. The BaBar collaboration published the first conclusive observation of CP violation outside the neutral kaon sector, when they measured in the B meson system a non-zero angle beta in the unitary triangle, using theoretically unambiguous decay processes. This is the first of several planned measurements of CP violation in the B sector, which represents a very important, but small fraction of the physics available in the BaBar experiment. Other areas are rare B decays, mixing, decays, and charm decays. Twelve papers were submitted for publication in FY 2001, and twenty more were presented at international conferences, with publication planned for the near future. BaBar is a huge (600 member) collaboration with members from universities and laboratories spanning the US and eight other countries. There are approximately 130 graduate students and 100 postdoctoral researchers receiving training on BaBar.

Fixed Target Experiments: SLAC continues a program of fixed target experiments using End Station A. The E-158 experiment to measure parity violation in Moeller scattering has moved successfully from construction to commissioning. This experiment will measure electroweak mixing at an energy scale far below the boson mass, and test for new physics.

Advanced Accelerator R&D: SLAC continues to be an international leader with its outstanding program of accelerator technology research. For many years, the Laboratory has conducted a world-class

R&D program directed toward a TeV scale electron-positron linear collider, called the Next Linear Collider (NLC). Progress continued this past year.

Astrophysics: SLAC continues collaboration with NASA on a particle astrophysics experiment to detect gamma rays in space. SLAC is the host laboratory for the Large Area Telescope for the Gamma Ray Large Area Space Telescope (GLAST) mission, scheduled for launch in 2005. SLAC was the leader in organizing the international collaboration for the design and execution of the project. This experiment utilizes detector technologies, such as CsI electromagnetic calorimeters and silicon-microstrip trackers, to study the physics problem of how high-energy gamma rays are produced in space.

Theory: The SLAC theory group works in a variety of areas. At the HEP annual review, their work was evaluated to be excellent, with significant impact on the field. Current topics include: Physics at the Next Linear Collider; Physics at Bottom and Charm Factories; Quantum Chromo-Dynamics at High Energy; Computational Quantum Field Theory; Space-Time Physics at Accelerators; Superstring Theory and M-Theory; and New Theoretical Models.

Relevance to DOE Missions and National Needs

National User Facility: SLAC, together with Fermilab, provides the core accelerator facilities for the US High Energy Physics (HEP) Program. SLAC is the primary facility for lepton (electron/positron) beams. The Laboratory has effectively proven the linear collider concept by successfully constructing and operating a series of linear collider facilities, and remains the primary source of expertise in linear colliders in the US HEP Program. The entire international colliding beam program has benefited from SLAC's pioneering work on state-of-the-art test facilities, and simulation codes for colliding beams. This work has enormously contributed to the development of advanced free electron lasers (FEL). These facilities are open to, and used extensively by, a diverse group of national and international university and laboratory Users in development of concepts and instruments to further the goals and objectives of DOE Strategic Plans.

Advanced Physics Computing: The BaBar detector continues to pioneer advanced computing for the high energy physics community, in the use of: object-oriented programming; C++ computer language; and, storing, retrieving and analyzing event data from multi-hundred CPU computing arrays. SLAC is working with industry, through Cooperative Research and Development Agreement (CRADA) and Small Business Innovation Research (SBIR) agreements, to develop the object-oriented database management program upon which future distributed analysis for CERN's Large Hadron Collider (LHC) and other major experiments depend. US LHC detector programs – Brookhaven's ATLAS and CMS at Fermilab-continue to benefit from BaBar's work in this area.

Advanced Accelerator R&D: SLAC, with its expertise in linear colliders, continues to be an international leader in Next Linear Collider R&D. In addition, SLAC runs a program of advanced accelerator research, beyond the design of the NLC, including: fundamental aspects of accelerator and beam physics; two-beam linear colliders; advanced accelerator structures; high power RF systems and components; plasma lens final focusing; millimeter-wave accelerators; laser-driven structures; plasma wakefield acceleration; and, a facility for advanced accelerator research.

Online Physics Database (WWW): The SLAC SPIRES database continues to be the primary on-line source for electronic access to high energy physics publications. In addition, the Beam Line quarterly magazine is an excellent source of high quality articles for the educated general public and provides a real service to the community in trying to convey an understanding of the field to the general public.

Note: This year was the tenth anniversary of the first World Wide Web (WWW) sites in America at SLAC. The WWW was invented by Tim Berners-Lee at the European Laboratory for Particle Physics (CERN) in Geneva, Switzerland in late 1990, to communicate over the Internet the

blizzards of documents generated in high-energy physics. With CERN colleague Robert Cailliau, he set up the first Web server, and developed most of the software and protocols. After learning of their invention during a September 1991 visit to CERN, SLAC physicist Paul Kunz brought back the software, and established the first North American Web server at SLAC in December. SLAC's head librarian, Louise Addis made the invaluable SPIRES-HEP database available over the Web. This quickly became the Web's first "killer app", as Fermilab physicists set up another Web server just a few weeks later. SLAC physicist Tony Johnson developed a graphical browser (Midas), which later influenced Marc Andreessen's development of the popular Mosaic browser. With these key advances, Web use surged in the high energy physics community, and word spread to the world at large of this powerful new communications technology.

Effective and Efficient Research Program Management

Research Program Management: Overall, SLAC management continues to plan for, and run, a very effective program of research. The integrated luminosity records achieved by the B-Factory in the last year demonstrate this. Although the peak luminosity record is now held by KEK-B, the B-Factory integrates more luminosity, due to the very high efficiency of the B Factory operation. A plan is in place to increase the luminosity to keep the B-Factory equal to, or better than, KEK-B. In addition, SLAC has successfully solved a computer resource problem for BaBar, by negotiating the construction of major computing centers in Europe funded by European agencies.

SLAC continues to work cooperatively with NASA and international collaborators in a very effective manner to keep the GLAST experiment on track. Steps were taken to strengthen project management. In this past year, the SLAC and Fermilab directors jointly appointed the NLC Machine Advisory Committee to evaluate the quality and direction of NLC research.

Although Laboratory management is strong, the associate director of research position has continued to be filled on an acting basis. The deputy directorship was filled by an inside candidate, not from the outside, which is generally acknowledged as preferable.

Success in Construction and Operation of Facilities

SLAC continues to construct and operate cutting edge experiments and facilities in an efficient, reliable, safe, and environmentally sound manner. As noted above, SLAC continued to improve the performance of the B-Factory. The peak luminosity achieved in FY 2001 was $4.21 \times 10^{33} \text{ cm}^{-2} \text{ sec}^{-1}$, which exceeds the design peak luminosity ($3.0 \times 10^{33} \text{ cm}^{-2} \text{ sec}^{-1}$). Operation of the B-factory and BaBar was efficient, with record integrated luminosities being achieved. The best 8-hour shift was 96.1 inverse picobarns (pb⁻¹) delivered and 91.8 pb⁻¹ collected by BaBar. Records were also set on day, week and monthly time scales. The integrated luminosity, since first events were recorded in May 1999, is 54 inverse femtobarns (fb⁻¹).

The Research Office Building is near completion (expected January 2002), and is on schedule and within budget.

Synchrotron Radiation Research Performance Evaluation

Office of Basic Energy Sciences, and Office of Biological and Environmental Sciences

Quality of Fundamental and Applied Science

The Office of Basic Energy Science's (BES) Division of Materials Sciences and Engineering (DMS&E) provides research support using the Stanford Synchrotron Radiation Laboratory (SSRL) and other synchrotron facilities. The quality of the research at SSRL is very highly regarded, with first-rate

investigators working on important research problems important to the BES program.

The on site review of the Stanford Synchrotron Radiation Laboratory (SSRL) by the Office of Basic Energy Sciences (BES) during FY 2001 indicated that the quality of the research performed at SSRL by staff and Users is impressive. The number and quality of science publications is impressive. The input obtained from individual conversations with staff scientists indicates a uniformly enthusiastic, interested, and creative attitude. The staff at SSRL continues to play a leading role in creating new fields of applications of synchrotron radiation techniques.

The SSRL research program is outstanding in developing new technologies for structural molecular biology (SMB). Leading-edge developments in robotics and automation, data analysis and management, and experimental techniques were implemented during the past year. The SMB staff are recognized internationally as outstanding. Scientific results from the SMB User program continue to receive widespread recognition through publication in the leading journals.

Users are very satisfied with the mode of operation at SSRL. There is still a significant oversubscription to the SSRL beamlines, an indicator of the scientific community appreciation of the facility. SSRL has excellent staff support for Users that can serve as a model to other facilities. The beam time distribution appears equitable. Staff does not get a disproportionate amount of beam time, and their use is highly productive.

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 Grevin initiated a first-rate crystal growing effort at SSRL, and is using the crystals grown in both x-ray and neutron scattering--an effort consistent with the DMS&E emphasis. The addition of Jo Stohr is welcomed, and strengthens the research being carried out by SSRL scientists by adding new microstructure areas of magnetic and polymeric materials -- Photoelectron Emission Microscope 2 (PEEM2) and, potentially PEEM3. New nanoscience efforts funded by BES on the Stanford campus will result in closer ties with outstanding materials science at SSRL. This total effort holds the promise of providing an effective, coherent effort in strongly correlated electronic materials.

Other BES-supported activities include:

- o collaboration with University of Texas at Ed Paso, to enhance the participation of Hispanic students in x-ray scattering;
- o LCLS and FEL collaboration with other laboratories; and,
- o microbeam technique development with Batterman.

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

Relevance to DOE Missions and National Needs

The research carried out at SSRL is strongly supportive of the DOE missions. The operation of SSRL also fills the stewardship role for the Nation, as a DOE-supported User Facility serving researchers at universities (67%), DOE Laboratories (14%), other government (1%), industry (7%), and international laboratory (1%) in FY 2001.

SSRL facilities in structural molecular biology continue to be in high demand by scientists around the country, and internationally. The SMB program serves leaders in structural biology from all sectors. The current program for upgrading the SPEAR Storage Ring, and the parallel program to upgrade the SMB beamlines, will assure continued strong contribution by SSRL to the DOE mission responsibilities in operation of User Facilities.

Effective and Efficient Research Program Management

The outstanding and relevant science performed at the SSRL equates to outstanding Program Management. Outstanding scientists have been attracted to SSRL in recent years including Jo Stohr and John Mao.

SSRL has an outstanding plan for upgrading the structural molecular biology facilities to take advantage of the new SPEAR3 Ring, when it is completed. This plan is being funded by DOE OBER and NIH-NCRR, and is on target for budget and schedule. The SMB User program is very well managed, enabling access by the largest possible number of Users through careful scheduling, and efficient use of personnel and equipment resources. Information on operations and the upgrade program is widely disseminated through the SSRL web site, and communications to Users at meetings and workshops.

Success in Construction and Operation of Facilities

SSRL has been operating in an extremely productive manner over the past year. A 95 percent availability beam time is excellent, and is indicative of quality accelerator staffing. Recovery from major disasters, such as the loss of a wiggler magnet, appears to be impressively rapid. Several Users commented that it was a "real pleasure to do science at SSRL these days."

The SPEAR3 construction project, headed by Tom Elioff, is proceeding in an exemplary manner. It is on time and within budget. The project continues to make progress on the technical system components to begin pre-assembly of the equipment girders. The project is effectively resolving technical issues and managing priorities. Efforts for the next year will focus on completing the FY03 installation schedule, receiving the RF cavities and klystron, and assembling the vacuum chambers to support the girder pre-assembly process. This is important to the BES mission in support of User Facilities.

B. BUSINESS MANAGEMENT

Introduction: Overall Business Management was rated Excellent for FY2001. Of the eleven functional areas evaluated, 9 had no change in ratings from FY2000 to FY2001:

- Equal Opportunity and Affirmative Action Good
- Human Resources Management Excellent
- Financial Management *Good Excellent*
- Personal Property Outstanding
- Procurement Outstanding
- Facilities Management Excellent
- Information Management Excellent
- Safeguards and Security Outstanding
- Technology and Intellectual Property Management Excellent

One functional area increased rating from FY 2000 to FY 2001:

- Communications and Public Affairs Good to Excellent

One functional area decreased rating from FY 2000 to FY 2001:

- Environment, Safety & Health Outstanding to Excellent

One success area is identified below, and the rest can be found in section II. A few areas needing improvement are summarized in Section III.

Functional Areas Increased Ratings

Communications & Public Affairs: The overall rating increased from Good to Excellent for FY01. This improvement can be attributed to the following achievements: improve its Virtual Center Web Site, additions included two on-line technology tools with access to real time data for exhibits in the Visitor Center and 2) hiring of a new Associate Director.

III. RECOMMENDED AREAS FOR IMPROVEMENT

A. SCIENCE AND TECHNOLOGY

None

B. BUSINESS MANAGEMENT

Environment, Safety & Health

SLAC's overall rating for ES&H is Excellent for FY2001. This rating is based upon the combined evaluation of SLAC's performance on the ES&H outcome measures, and the Integrated Safety Management System (ISMS) process measure. In FY 2001, SLAC performed at an Outstanding level on each of the four (4) quarterly ISMS reviews having demonstrated effective implementation on at least six (6) of the (7) elements that comprise one portion of the evaluation of performance against the ISMS process measure.

As a result of construction safety issues at Building 33 (GLAST Clean Room), however, and a stop activity initiated by the SSO Director in FY2001, SLAC was required to submit a corrective action plan to address site-wide implementation of stop activity/work authority, oversight of subcontractors and contractor pre-qualification. The overall performance on the ISMS process measure was downgraded as a result of the Building 33 construction safety issues requiring follow-up by SLAC.

Track and Trend standards are meant to be utilized for functional areas where performance gradients have not yet been established. They have been utilized in several function area for same years with SLAC receiving performance ratings well below what has been actual performance level. SLAC cannot achieve above a "Good" rating for said areas. Therefore, it is recommended that all Track and Trend standards be replaced with preferred performance gradients for functional areas to reflect objective performance at the five-tier gradient methodology. The SSO and OAK will work with Human Resources, Finance, Safeguards and Security, and Communications & Public Affairs. It is recommended that the SLAC and DOE agree to gradients for these areas will be included in modification to the contract.

Equal Opportunity and Affirmative Action

SLAC's strategic plan for improving the representation of high priority job groups reflects a status quo approach to the efforts the laboratory will undertake. The plan cites activities in which SLAC has participated for several years, which generally focus on the development of a pipeline, yet, in the Mechanical Engineering group, this approach directly contradicts SLAC's stated need to "...fill engineering positions with 'extensively experienced' applicants as opposed to recent graduates with limited experience...". It is the SSO's and OAK's intent to work closely with SLAC during the 2002 appraisal period to address methods of utilizing the strategic plan to make progress in the high priority job groups within the limitations of SLAC's financial status.

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) currently operates leading edge high energy physics research programs on several fronts including studies using the B-factory and its associated detector, BaBar, and small scale experiments using the electron beam from the linac. In addition, they are constructing an innovative space-based particle astrophysics experiment, laying the groundwork for a long-range future program by pursuing accelerator research toward the design of an energy-frontier linear collider, and performing theoretical physics.

Currently, SLAC is focused primarily on studies of CP violation using the B-factory and BaBar. The B-factory proved itself to be a spectacular success by achieving design luminosity in an extremely brief time after commissioning, and has continued its impressive performance this past year with world records for integrated luminosity and local records for instantaneous luminosity. The BaBar collaboration has published the first conclusive observation of CP violation outside the neutral kaon sector, when they measured ϵ'/ϵ . This is the first of several planned measurements of CP violation in the B sector, which represents a very important but small fraction of the physics available to the BaBar experiment. Other areas are rare B decays, B_s mixing, decays, and charm decays. Twelve papers were submitted for publication in FY 2001, and twenty more were presented at international conferences with publication planned for the near future. BaBar is a large (600 member) collaboration with members from universities and laboratories spanning the U.S. and eight other countries. There are approximately 130 graduate students and 100 postdoctoral researchers receiving training on BaBar.

SLAC continues a program of fixed target experiments using End Station A. The E158 experiment to measure parity violation in Moeller scattering has moved successfully from construction to commissioning. This experiment will measure electroweak mixing at an energy scale far below the boson mass and test for new physics.

SLAC continues to be an international leader with its outstanding program of accelerator technology research. It has for many years conducted a world class R&D program directed toward a TeV scale electron-positron linear collider called the Next Linear Collider (NLC), and progress continued this past year.

SLAC continues its collaboration with NASA on a particle astrophysics experiment to detect gamma rays in space. SLAC is the host laboratory for the Large Area Telescope for the Gamma Ray Large Area Space Telescope (GLAST) mission scheduled for launch in 2005. As such, SLAC was the leader in organizing the international collaboration for the design and execution of the project. This experiment utilizes detector technologies, such as CsI electromagnetic calorimeters and silicon-microstrip trackers, to study the physics problem of how of high-energy gamma rays are produced in space.

The SLAC theory group works in a variety of areas and their work was evaluated to be excellent with significant impact on the field at the HEP annual review.

Performance Rating (Adjectival): Outstanding	3.80
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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 Fermilab, provides the core accelerator facilities for the U.S. high high energy physics program. SLAC is the primary facility for research with lepton beams. They have effectively proven the linear collider concept by successfully constructing and operating a series of linear collider facilities and remain the primary source of expertise in this field in the U.S. program. The entire international colliding beam program has benefited from SLAC's pioneering work on state-of-the-art test facilities and simulation codes for colliding beams. This work has also enormously contributed to the development of complex free electron lasers (FEL). These facilities are open to and used extensively by a diverse group of national and international university and laboratory users in development of concepts and instruments to further the goals and objectives of DOE Strategic Plans.

The BaBar detector continues to pioneer, 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 multi-hundred CPU computing arrays. SLAC is working 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. LHC detector programs-ATLAS and CMS-continue to benefit from BaBar's work in this area.

SLAC, with its expertise in linear colliders, continues to be an international leader in the R&D focused on the Next Linear Collider. In addition, SLAC runs a program of advanced accelerator research beyond that done to design the NLC.

The SLAC Spires database continues to be the primary on-line source for electronic access to high energy physics publications. In addition, the Beam Line quarterly magazine is an excellent source of high quality articles for the educated general public and provides a real service to the community in trying to convey an understanding of the field to the general public.

Performance Rating (Adjectival): Outstanding**3.70**

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:

Overall, SLAC management continues to plan for and run a very effective program of research. Perhaps the integrated luminosity records achieved by the B-factory in the last year can best demonstrate this. Although the peak luminosity record is now held by KEK-B, the B-factory integrates more luminosity due to the very high efficiency of the B factory operation. There is a plan in place to increase the luminosity to keep the B-factory equal to or better than KEK-B. In addition, SLAC has successfully solved a computer resource problem for BaBar by negotiating the construction of major computing centers in Europe funded by European funding agencies.

SLAC continues to work cooperatively with NASA and international collaborators in a very effective manner to keep the GLAST experiment on track. Steps were taken to strengthen the project management. Also this past year, the SLAC and Fermilab directors jointly appointed the NLC Machine Advisory Committee to evaluate the quality and direction of NLC research.

Although, the overall management at the laboratory is strong, the associate director of research position is still being filled on an acting basis, which was also true last year. The deputy directorship has been filled by an inside candidate, not from the outside, which is generally acknowledged as being preferable.

Performance Rating (Adjectival): Outstanding 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:

SLAC continues to construct and operate cutting edge experiments and facilities in an efficient, reliable, safe, and environmentally sound manner. As noted above, SLAC has continued to improve the performance of the B-factory. The peak luminosity achieved in FY 2001 was $4.21 \times 10^{33} \text{ cm}^{-2} \text{ sec}^{-1}$, which exceeds the design peak luminosity of $3.0 \times 10^{33} \text{ cm}^{-2} \text{ sec}^{-1}$. The operation of both the B-factory and BaBar has been efficient with record integrated luminosities being achieved. The best 8-hour shift has been 96.1 pb⁻¹ delivered and 91.8 pb⁻¹ collected by BaBar. Records were also set on day, week and monthly time scales. The integrated luminosity since May 1999 is 54 fb⁻¹.

The Research Office Building is near completion, which is expected in January 2002. It is on schedule and within budget.

Performance Rating (Adjectival): Outstanding

3.90

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 SSRL/SLAC research program is outstanding in developing new technologies for structural molecular biology. Leading-edge developments in, for example, robotics and automation, data analysis and management, and experimental techniques have been implemented during the past year. The staff in this program are recognized internationally as outstanding. The scientific results from the user program in structural molecular biology continue to receive widespread recognition through their publication in the leading journals.

On site reviews of the Stanford Synchrotron Radiation Laboratory (SSRL) by the Office of Basic Energy Sciences (BES) during FY 2001 indicated that the quality of the research performed at SSRL by staff and users is very high. The number and quality of science publications is impressive. The input obtained from individual conversations with staff scientists indicates a uniformly enthusiastic, interested, and creative attitude. The staff at SSRL continues to play a leading role in creating new fields of applications of synchrotron radiation techniques.

Users are very satisfied with the mode of operation at SSRL. There is still a significant over-subscription to the SSRL beamlines, an indicator of the scientific community appreciation of the

facility. SSRL has excellent staff support for users that can serve as model to other facilities. The beam time distribution appears equitable. Staff does not get a disproportionate amount of beam time, and their use is highly productive.

The Office of Basic Energy Science's (BES) Division of Materials Sciences and Engineering (DMS&E) provides research support using the Stanford Synchrotron Radiation Laboratory (SSRL) and other synchrotron facilities. The quality of the research at SSRL is very highly regarded, with first-rate investigators working on important research problems 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. In a similar mode, Martin Greven has initiated a first-rate crystal growing effort at SSRL and is using the crystals grown in both x-ray and neutron scattering--an effort which is consistent with the DMS&E emphases. The addition of Jo Stohr is welcomed and 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 (PEEM2) and, potentially, Photoelectron Emission Microscope 3 (PEEM3). Additionally, new nanoscience efforts funded by BES on the Stanford campus will result in closer ties with some outstanding materials science at SSRL although located on the Stanford campus. This total effort holds the promise of providing a strong, coherent effort in strongly correlated electronic materials. Other activities supported include:

- o the collaboration with University of Texas at El Paso to enhance the participation of Hispanic students in x-ray scattering
- o the LCLS and the FEL collaboration with other laboratories
- o 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.

Performance Rating (Adjectival): Outstanding	3.90
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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:

The SSRL facilities in structural molecular biology continue to be in high demand by scientists around the country and internationally. The program in this field serves leaders in structural biology from all sectors, including university, government, and private laboratories. The current program for upgrading SPEAR and the parallel program to upgrade the structural molecular biology beamlines will assure continued strong contribution by SSRL to the DOE mission responsibilities in operation of user facilities.

The research carried out at SSRL is strongly supportive of the DOE missions, and the operation of the SSRL also fills the stewardship role for the nation, as a DOE-supported user facility.

Performance Rating (Adjectival): Outstanding 3.85

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:

SRRL has an outstanding plan for upgrading the structural molecular biology facilities to take advantage of the new SPEAR3 ring when it is completed. This plan is being funded by DOE-BER and NIH-NCRR and is on target for budget and timetable. The user program in structural biology likewise is very well managed, enabling access by the largest possible number of users through careful scheduling and efficient use of personnel and equipment resources. Information on operations and the program of upgrades is widely disseminated through the SSRL web site and communications to users at meetings and workshops.

The outstanding and relevant science performed at the SSRL equates to outstanding Program Management. Outstanding scientists have been attracted to SSRL in recent years including Jo Stohr and John Mao.

Performance Rating (Adjectival): Outstanding

3.90

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. A 95 percent availability beam time is excellent and is indicative of quality accelerator staffing, and recovery from major disasters such as the loss of a wiggler magnet appears to be impressively rapid. Several users have commented that it was a 'real pleasure to do science at SSRL these days.

The SPEAR3 construction project, headed by Tom Elioff, is proceeding in an exemplary manner. It is on time and within its budget. This is important to the BES mission in support of user facilities.

Performance Rating (Adjectival): Outstanding	4.00
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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-CRF 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:

SLAC has continued in FY2001 to confirm the existence of systems necessary to assess its Equal Employment Opportunity/Affirmative Action program against the requirements of the Department of Labor. SLAC developed the required Affirmative Action Plan (AAP) for FY2001, which included a strategic plan identifying the high priority job groups for which efforts to improve representation were to be directed.

Since FY1997, SLAC identified Mechanical Engineers and Electronic Technicians as its high-priority job groups for FY2001, to address under-utilization of minorities and women, respectively. In addition, environmental and health physics and computer science were also included as areas of emphasis. SLAC indicates in its self-assessment that these additional areas are not under-utilized, therefore they do not meet the criteria for designation as high-priority job groups and will not be addressed by OAK in this evaluation. With respect to Mechanical Engineers, SLAC increased its population by two, both minorities, both Asian. Minority representation, therefore, increased from 11.1% to 15.8%. Electronic Technicians increased in total population by six, including one woman. The increase in population resulted in a loss of representation for women, decreasing from 19.5% to 10.1%.

SLAC's performance for FY2001 is rated at Good on the basis that the plan was developed and the information required by the Good gradient was provided. It is OAK's perception, however, that the progress made in the Mechanical Engineering job group was not a result of the implementation of its 2001 plan. The 2001 plan, and the recently provided 2002 plan, state that, "The trend to fill engineering positions with 'extensively experienced' applicants as opposed to recent graduates with limited experience will not subside until our financial situation becomes more predictable and reliable". Yet the activities identified in the plans emphasize development of a pipeline rather than utilization of viable recruitment sources that will provide immediate results. For example, the Women in Engineering Program Advocates Network is described as an educational organization, and SLAC's involvement in the National Association of Minority Engineering Program Administrators is to "...retain and increase the enrollment of minorities in the field of engineering, which will ultimately increase the applicant pool..." Also, the National Consortium Program provides SLAC with Mechanical Engineering interns, which are to be automatically considered upon completion of their graduate program. Of note is that an Hispanic male intern completed his graduate program in the summer of 2000, however, there was no indication in the self-assessment, or in the AAP data, that he was actually hired.

It is OAK's intent to work closely with SLAC during the 2002 appraisal period to address methods of utilizing the strategic plan to make progress in the high priority job groups within the limitations of SLAC's financial status. The continuation of essentially the same activities as SLAC has been involved in for several years, which fail to target those with experience, raises the question as to why recruitment sources are identified if they can not result in an improvement in representation. It also implies that SLAC believes "extensively experienced" minority applicants do not exist. OAK and SLAC must work together in 2002 to ensure the intent of identifying

high priority job groups and developing a plan is met, which is to focus laboratory efforts at improving representation in areas in which hiring activity is expected and "...realistic projections for achievement..." exist.

Performance Rating (Adjectival): Good	2.30
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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:

SLAC's comparison of 88 benchmarked positions to survey comparators indicates that, in the aggregate, the Laboratory has maintained its market position at within $\pm 5\%$. SLAC's success in gradually moving closer to market is evident, having moved from -4.75% in FY1999 to -3.22% in FY2000, and now, -1.08% in FY2001. In addition, the percentage of benchmarked positions within $\pm 10\%$ of market has positively increased, from 67% (48 of 72) in FY2000 to 73% (64 of 88) in FY2001, although SLAC continues to fall short of the measure standard that no more than 20% of benchmark positions exceed a $\pm 10\%$ cost-to-market. Of those outside the $\pm 10\%$ expectation, 18 (20% of the total) were more than 10% below market, and 6 (7% of the total) were more than 10%

above market. While these 6 above market can generally be attributed to the necessity of SLAC to offer higher salaries to remain competitive and promote retention, the 18 more than 10% below market continue to be of significant concern. These are the result of several years of conservative merit programs that have forced SLAC to allow certain positions to lag in order to address the recruitment/retention needs of others.

SLAC's performance under this measure in FY2001 supports a rating of "Good". SLAC has continued to improve its aggregated market position, and has increased the percentage of positions within +/-10% of market, although it fell short of the measure standard due to small merit budgets and market pressures.

Performance Rating (Adjectival): Good	2.85
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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:

In response to this measure, SLAC compares itself to the Chamber of Commerce survey. The benefit programs included in the survey consist of retirement, medical/dental insurance, vacation, sick/paid leave, life insurance, accidental death and dismemberment, workers' compensation, social security, unemployment, short/long term disability and holidays. SLAC includes its Tuition Grant program in its costs, although a similar program is not included in the survey. For this appraisal period, SLAC compared its 2000 data to the survey's 1999 data, given a change in the survey's publication schedule. SLAC's costs for 2000 were calculated at 43.3% of payroll, while the survey reported an average of 36.8%. Although SLAC's costs were higher, they remain within the 7.5% range required by the measure. This is commendable given the probability that the survey's 2000 data would have reflected a higher percentage, and in considering the inclusion of the Tuition Grant program in SLAC's costs.

Performance Rating (Adjectival): Excellent 3.50

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:

SLAC's Human Resources Department continued in FY2001 to utilize a survey tool to measure customer satisfaction. Based on feedback from FY2000, however, the survey was revised from quantitative to that of utilizing only one quantitative question, "Overall, how would you rate the performance of the SLAC Human Resources Department?" and two qualitative questions, "What works well?" and "What would you like to see improved?". The survey was distributed to approximately 450 randomly selected employees, however only 70 (16%) surveys were returned. This response rate reflects a decline from that of FY2000, which was poor at 20%. The overall score also reflected a slight decline, from 2.5 (out of a 5-point scale, with one as the highest) in FY2000, to 2.2 in FY2001, however it continues to indicate that the Human Resources Department is very positively perceived.

In general, SLAC concluded from the survey responses that Benefits, Housing Services, Personnel Records, Labor Relations, Compensation, and Workers' Compensation programs have the highest customer satisfaction, with Employee Relations demonstrating substantial improvement over the past

two years. Employment Services, Training and Development, and Classification were identified as requiring improvement. Employment Services was also identified in 2000, with the same indication that the timeliness of the overall employment process required improvement, however the need to more actively recruit was additionally identified in 2001. In response to the 2000 feedback on timeliness, the Human Resources Department included in its action plan a focus on improving the response time between notification of a selection from a Hiring Officer, to the time an offer of employment is made. From 1997 through 2001, the average number of days to perform this activity has improved from 5.1 to 3.9. 2002's action plan continues to measure this activity, on the basis that is within the control of Employment Services. Given the demonstrated improvement in this activity, and validation under Measure 2.1, Human Resource Policy Compliance, that the program is in full compliance with University policy, it may be the case that elements of the hiring process outside the HR Department's control are the root cause of the delays. In regard to the feedback that enhanced recruitment efforts were required, the 2002 action plan did not indicate a responsive action. For Training and Development, the feedback received indicated that more extensive training selections be available for non-supervisors, since most recent training opportunities have been directed at supervisors. The action plan does not address an effort to expand general training, however it includes further expansion of supervisor training by offering five new workshops to new supervisors and 10 workshops/classes for current supervisors. Finally, in regard to Classification, feedback indicated for the third year that the turnaround time for reclassification actions was too lengthy. Indeed, although the action plan for 2001 established a goal of 50 days for turnaround, the average number of days for 2001 actually increased, from 68 to 72. The action plan for 2002 responded to this by re-establishing the goal at 60 days, which SLAC considers more realistic given its staffing for this function.

SLAC's performance under this measure is rated at Good. Customer feedback was obtained, the action plan for 2001 implemented, and an action plan for 2002 developed. Of concern, however, is whether a survey tool is the most effective means of obtaining customer feedback at SLAC given the low, and declining, response over the past couple of years. The self-assessment did not attempt to support or contradict the feedback received with that of other potential sources. In addition, the 2002 action plan continues to include measurement of time between selection and offer although past improvement has not led to changed customer perception. Also, it lacks responsiveness to feedback on expanding recruitment and enhanced training opportunities for non-supervisors, without discussion in the self-assessment on the basis for their exclusion.

Performance Rating (Adjectival): Good	2.80
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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:

Under this measure, Human Resources is required to assess SLAC's compliance with Stanford University's Administrative Guide, for two functional areas. For this appraisal period, Employment and Benefits were selected for review. For its review of the Employment area, a random sample of 10% (32) of employment requisitions for January 2000 through August 2001 were assessed against employment policies on posting periods, approval signatures on policy exceptions, diversity of applicant pools, and review of new-hire diversity. SLAC validated that all positions were posted for the requisite period, the five requisitions waived from posting had been appropriately reviewed and

approved by Employment Services and the Affirmative Action Office, the combined applicant pool reflected diversity at a rate of 31% for minorities, and of the hires, 41% were minorities. It was, therefore, determined that SLAC's employment practices in the areas identified were in compliance with Stanford University policy.

The review of the Benefits function focused on the degree to which SLAC complies with University policy in its administration of medical/dental plans, retirement, and the voluntary tax-deferred annuity plan. A random sample of twenty employees was reviewed. In regard to the medical/dental benefits, SLAC reviewed eligibility, timeliness of enrollment, and types of covered dependents (i.e., spouse, same-sex domestic partner), and found that in all cases, compliance with University policy was achieved. Similarly, for the pension program, eligibility and contribution rate compliance with IRS code were found to be appropriate for 100% of the sample.

SLAC is rated at Outstanding for its performance under this measure, based on its overall compliance with Stanford University policy for both programs reviewed this appraisal period.

Performance Rating (Adjectival): Outstanding	3.70
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Performance Area: FINANCIAL MANAGEMENT

Cumulative Available Points 55

Goal #1: Effective and efficient execution of financial stewardship responsibilities to help ensure optimum use of taxpayers' dollars and protection of the Department's assets against waste, fraud and abuse.

SLAC's financial management practices provide for financial stewardship, including compliance and data integrity.

Performance Objective: #1 Financial Stewardship
 Effective and Efficient Cash Management

Performance Criterion: 1.1
 Accounts receivable delinquencies are minimized.

Performance Measure: 1.1.a **Available Points: 2.0**
 Reduce the amount of delinquent accounts receivable 90, 91-180, and over 180 days old.

Performance Assumption:

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.

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 receivable delinquent more than 90 days declines 5% from the previous year's number.

Marginal:

The value of receivables delinquent more than 90 days is less than 4% of the value of total receivables.

Unsatisfactory:

The value of receivables delinquent more than 90 days is greater than or equal to 4% of the value of total receivables.

Performance Narrative:

SLAC made a tremendous effort to minimize accounts receivable delinquencies and at fiscal year end 9/30/01, they met all stated objectives for an **Outstanding** performance rating: No receivables were found to be delinquent more than 180 days; receivables that were delinquent more than 90 days totaling \$186.00 was 0.03% of the value of total receivables of \$574,389.00, considerably less than the 1% allowed; and all eligible non-Federal receivables more than 180 days old had been referred to Treasury.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Criterion: 1.2

Revenues are properly recorded.

Performance Measure: 1.2.a

Available Points: 2.0

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 generally receives about one hundred small dollar value checks per month. They have procedures in place to ensure that all checks received are deposited: collections are reviewed before final monthend posting; checks posted to the mail checks received log are confirmed in the PeopleSoft Accounts Receivable module. Deposits are prepared to coincide with Loomis Fargo Armed Delivery services. During FY 2001 all collections were properly recorded and classified so SLAC achieved an **Outstanding** rating for this measure.

Performance Rating (Adjectival): Outstanding

4.00

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: 5.0

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's rating is an **Excellent** for submitting a reasonably priced budget on time. SLAC satisfactorily responded to all DOE Field Budget Submission requirements. Budget formulation during the FY 01 time period (for the FY 03 Budget) got off to a late start due to the change in federal administration. SLAC started their budget preparation based on their director's guidance and information SLAC obtained from discussions with the Office of Science staff. SLAC's Budget Office provided guidance on costs and inflation rate information. SLAC should be commended for taking the initiative to start budget formulation without a call from HQs.

SLAC Budget Office also worked on two fronts to ensure reasonable budget estimate. The Budget Office worked closely with the operation divisions providing guidance and pricing information as needed to prepare the budget. They were available for consultation and assistance in responding to questions and concerns of the operation divisions. Second, SLAC's Budget Office worked with OAK to validate the reasonableness of the Technical Division submission.

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

Manage uncosted balances

Performance Measure: 2.2.a

Available Points: 5.0

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, costs of work for others and 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, costs of work for others and 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, costs of work for others and 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, costs of work for others and 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, costs of work for others and reimbursables.

Performance Narrative:

SLAC's rating is good for reducing and managing the uncosted balance. SLAC's budget office has worked aggressively this year with their divisional planner explaining the importance of meeting the

DOE established criteria. SLAC's reduced the percentage of uncosted balance requiring justification from 26.5% to 15.8% between FY00 and FY01.

Performance Rating (Adjectival): Good	2.90
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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: 8.0

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 modifications for each accounting period. Although SLAC continues to put in requests for funding levels changes, they are now making the request within the normal funding cycles thus eliminating the need for additional contract modifications. This is the third year for the new financial system, and they have improved the types of reports available to their internal customers, which improves cost monitoring. This year, SLAC completed two new reports that improve the tracking on limited funding activities. SLAC commitments were within DOE authorized funding levels.

Performance Rating (Adjectival): Excellent	3.50
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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: 2.0

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:

There were 4 audit reports issued by Stanford Internal Audit in FY 2001. Two of these reports did not have any findings. The Inspector General and GAO did not have recommendations addressed to SLAC during FY 2001.

The Stanford Internal Audit report on "SLAC Purchase Cards" contained seven recommendations. These were:

1. Immediately follow-up on all refunds due from the bank.
2. Immediately consider electronically remitting payments to the bank which will increase productivity refunds and further reduce the costs of operating the purchase card program.
3. Immediately close the account owned by the employee.
4. Immediately follow up on a credit (refund) for the sales tax payment.
5. Enforce Section 3.1 and 18.2 of the purchase card manual.
6. Review and appropriately revise the purchase log form.
7. Enforce the current requirement on receipts.

SLAC has performed corrective actions on the recommendations except for the recommendation on the review and revision of the purchase log form. SLAC is still evaluating the purchase log form for re-design and will notify the cardholders regarding the revised purchase log form.

The "SLAC Audit of Allowable Costs for FY2000" had one recommendation:

1. Immediately determine the extent of erroneous vendor payments by reviewing prior payments made and obtain refunds from the vendor.

SLAC reviewed prior payments made to the vendor and a letter was sent notifying the vendor of the overpayments. The overpayments were \$2,453. SLAC deducted the amount from the vendor's next invoice in May 2001.

Stanford Internal Audit as part of their audit follow-up, will also be conducting an assessment of the corrective actions on the recommendations taken by SLAC.

We believe that SLAC has been adequately addressing the recommendations in the audits. SLAC has an excellent rating for this measure.

Performance Rating (Adjectival): Excellent	3.50
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Performance Measure: 3.1.b

Available Points: 2.0

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 \$1.68M during FY 2001. 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 \$1.97M.

We sampled several travel expense reports from SLAC and reviewed the supporting documentation for SLAC employees and other DOE contractors doing work for SLAC. We determined that travel costs reported to SLAC had adequate documentation. SLAC gets an outstanding rating for this measure.

Performance Rating (Adjectival): Outstanding	3.60
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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: 5.0

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:

The table below shows that SLAC has consistently provided accounting reports on a timely basis:

Description	Due Date	Date Submitted
MARS	4 th Workday, 10:00 a.m. except Sept final - 10/12	All timely, 5 submissions early
Reimbursable Work Overrun Reports	Monthly – 10 th day 10/19	None reported None reported
<i>Report on International Transactions</i>		
Schedule 220.9 – Receivables Due from the Public – Accounts and Loans	10/18, 1/15, 4/15, 7/15	All timely
Summary of Individual Contractor Personal Property Sales	10/24	Timely
Financial Statement Analysis	11/8	Timely

Managerial Cost Allocations	10/22	Timely
Management Representation Letter	11/16	Timely
Current Status of Accounts Receivable from Foreign Obligors	10/18	Timely
Annual Disclosure Under FASB 106 – Post Retirement Benefits	10/05	Timely
DOE 3230.2 – Report of Contractor Expenditures for Employees' Supplementary Compensation	10/1	Timely
Annual Disclosure Under FASB 87 – Pensions		Timely
Statement of Costs Incurred and Claimed	11/15	Timely
Estimated Quantity and Usage – Stores	10/12	Timely

In addition, SLAC has consistently submitted accurate reports and they have not had to resubmit any reports or ask for time extensions. They are very serious about maintaining a high level of performance in terms of timeliness and accuracy and therefore are deserving of an **Excellent** rating.

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: 6.0

FY 2000 audited financial statements are prepared in accordance with DOE requirements.

Performance Assumption:

The extent of improvement in FY2001 over FY2000 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:

SLAC's FY 2001 financial statements were complete, accurate and supported by documentation. SLAC continued its practice of reviewing their PeopleSoft General Ledger Accounts and MARS Balance Sheet Accounts during July and August to be better prepared for yearend closing and financial statement analysis. They improved on the number and quality of reports in their Analytical Reporting Facility to get better information for review, and got the reports faster.

SLAC's performance measured against the gradients 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: 4.0

Construction 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 Excellent 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:

SLAC developed and executed a plan to close out and capitalize construction projects where there was beneficial occupancy. Additionally, SLAC was able to shorten the schedule even more by capitalizing projects throughout the year and not waiting until the end of the fiscal year, taking full advantage of improvements previously made (e.g., posting project financial data on the Web).

SLAC's performance measured against the gradients merits an **Outstanding** rating.

Performance Rating (Adjectival): Outstanding	3.60
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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 1997 as a baseline, track and trend FY 1998 through FY 2001 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, 2000 and 2001. The amounts are in millions of dollars.

	1996	1997	1998	1999	2000	2001
(a) Indirect	31.2	31.4	31.1	34.2	34.2	32.8
(b) Direct	88.4	91.0	100.6	110.5	115.2	125.3
% of a/b	35.3%	34.5%	30.9%	31.0%	29.7%	26.2%

The ratio of indirect costs to direct costs in FY 2001 decreased by 3.5% from FY2000. Based on the trend of the ratio of the indirect costs to direct costs from FY 1996 to FY 2001, it seems that SLAC has been able to keep its indirect at a manageable level. This shows good indirect cost management. SLAC's rating for this measure is **Good**.

Performance Rating (Adjectival): Good	2.90
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Performance Measure: 6.1.b

Available Points: 7.0

Policies, data, and reports consistent with Cost Accounting Standards (CAS) compliance and DOE requirements; financial practices are consistent with approved CAS Disclosure Statement.

Performance Assumption:

SLAC will provide a narrative description of its CAS financial management practices and processes to support this criterion. DOE will partner with SLAC to determine compliance.

Performance Gradient:

Outstanding:

SLAC's financial management practices and processes are fully compliant with CAS and DOE requirements. SLAC demonstrates an excellent, reliable, and systematic method of analyzing and assimilating financial data consistent with the approved Disclosure Statement.

Excellent:

There are very minor differences between SLAC's CAS financial practices and the approved Disclosure Statement or with DOE and CAS requirements. SLAC demonstrates the initiative to improve its CAS financial management practices and processes

Good:

SLAC's CAS policies and processes need some necessary corrections to be consistent with the approval Disclosure Statement or SLAC may also need to make some necessary revisions to its CAS policies to meet DOE and CAS requirements.

Marginal:

Major changes are necessary to bring SLAC's policies and processes in compliance with CAS and DOE requirements or consistent with approved Disclosure Statement.

Unsatisfactory:

SLAC CAS financial management policies and processes do not fully comply with CAS and DOE requirements or are not fully consistent with the approved Disclosure Statement.

Performance Narrative:

SLAC has submitted its disclosure statement as specified by DOE and has actively requested assistance from OAK. OAK is in the process of performing a complete review of the disclosure statement. Further discussion is planned between OAK and SLAC during the review.

Based on the disclosure statement that SLAC submitted, we feel that, overall, the disclosure statement clearly describes the accounting practice.

SLAC's rating for this measure is good.

Performance Rating (Adjectival): Good

2.90

Performance Measure: 6.1.c	Available Points: <u>5.0</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. It was complete and accurate with adequate supporting documentation except for the direct/indirect costs breakout. 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 2001, SLAC's Communications and Public Affairs groups continued to implement their primary goal of being open to the community by actively working with the media, local community and the general public through various community activities and events. SLAC kept the OAK Office of Public Affairs, DOE/Stanford Site Office and DOE/Headquarters informed of relevant activities throughout the year through conference calls, e-mails and site visits. In line with the 2000 Communication Committee recommendations, the Director of the new SLAC Communications Office has been selected and will arrive in December. The Director will realign the communications areas at the laboratory in FY 2002 and policies and procedures will be implemented to improve internal and external communications and outreach.

Discussions took place in FY01 between SLAC Communications and Public Affairs groups and OAK/OPA and it was agreed that "tracking will take place during FY 2000 and FY 2001" as stated in the FY '00 SLAC Public Affairs performance section. Accordingly, SLAC will phase out of track and trend and move towards a gradient measurement for public affairs. This change is projected to occur after the new Communications Director is on board.

Following are highlights of the observations made by OAK/OPA in the Communication and Public Affairs arena:

Media Activity

SLAC received many press inquiries throughout FY 2001. SLAC was prominently featured in several international news outlets for both the B Factory scientific results and progress on the Next Linear Collider including New York Times, Los Angeles Times, CERN Courier, Science News, Physics Today, San Francisco Chronicle, Contra Costa Times, Science News, Physics Today, Washington Post, Nature and others. Also, the Discovery Channel inquired about SLAC's Electron Gamma Shower (EGS) software package and its development process; and CEO Pehong Chen's \$15 million donation to establish a new institute for the study of particle astrophysics and cosmology at SLAC was widely covered by regional media.

Virtual Visitor Center Web Site

SLAC continues to improve its Virtual Visitor Center Web Site which complements and extends the physical Visitor Center, disseminating information to the general public, particularly students and teachers. In FY 2001, additions included two on-line technology tools with access to real time data for exhibits in the Visitor Center. The Online Cosmic Ray Detector Data Collection Center is an interactive site for viewing and working with this detector. The Electron Gamma Shower (EGS) is a simulation program used to study the interactions of electrons, positrons and photons (gamma rays) in various types of material. It also includes technical details for classroom use. Use of the Virtual Visitor Web Site continues to increase and received 439,195 hits in FY01 as compared to approximately 300,000 in FY00.

Community Relations

SLAC continues to be an active participant in the local community and maintained its representation on the Board of Directors of the Menlo Park Chamber of Commerce.

In January 2001, the City of Menlo Park honored SLAC with a 2000 Environmental Quality Award for their success in reducing air pollution to near zero in the year 2000. Members of the Environment Commission presented the award, which recognized SLAC for "exceptional resource conservation". By using an alternative degreaser not previously used in California, the amount of chlorinated solvent air emissions from machining processes dropped from a level of 2,000 pounds in 1999 to near zero in the year 2000.

Tour Program

A pool of graduate students conduct tours of SLAC several times a week. The SLAC Tour Program accommodated approximately 6,000 visitors. There were 200 formal laboratory tours, including almost 70 educational groups. A wide range of visitors request tours including educational, professional and government groups. The number and range of international visits are indicators of SLAC'S reputation as a world famous laboratory. A sampling of feedback given throughout the year by tour participants indicates appreciation for the excellent tour guides and that technical information is presented in an interesting and informative matter and in layperson terms. SLAC Communication and Public Affairs has a goal for FY 2002 to increase the pool of graduate students serving as tour guides to respond to an increased demand for laboratory tours (both internal and external).

Performance Rating (Adjectival): Excellent	3.00
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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:

During FY 2001 SLAC conducted a wall-to-wall inventory including both equipment and sensitive property populations.

SLAC was able to account for \$809,460,951 (3,032 items) of equipment by acquisition value out of the total \$809,995,799 (3,079 total items), which equates to 99.9 percent of equipment accounted. The DOE-OAK Organizational Property Management Officer (OPMO) participated on the FY 2001 sample inventory validation.

This equates to a rating of **Outstanding** for this measure.

Performance Rating (Adjectival): Outstanding	4.00
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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:

During FY 2001 SLAC conducted a wall-to-wall inventory including both equipment and sensitive property populations.

In addition, SLAC was able to account for \$5,809,002 (3,018 items) of sensitive items by acquisition value out of the \$5,841,763 (3,044 total items), which equates to 99.4 percent of sensitive property accounted. The DOE-OAK OPMO participated on the FY 2001 sample inventory validation.

This equates to a rating of **Excellent** for this measure.

Performance Rating (Adjectival): Excellent 3.50

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 = %)
- -% of accurate custodian assignments for equipment (Weight = %)
- -% of initial custodians assigned within 60 days (Weight = %)

Note: Points are evenly distributed among the three sub-measures above.

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:

There are three elements to this performance measure which contribute to achieving individual accountability for personal property at SLAC: percentage of accurate custodian assignments for sensitive property, percentage of accurate custodian assignments for equipment (controlled) property, and percentage of initial custodians assigned within 60 days. Based on a random sample, 96 percent of sensitive property was accurately assigned to custodians, and 97 percent of (controlled) equipment

was accurately assigned. Of the 981 personal property items received during FY 2001, 99.5 percent were assigned within 60 days following receipt.

Based on the above, a rating of **Excellent** is assigned.

Performance Rating (Adjectival): Excellent	3.00
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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: 3.0
 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:

The SLAC motor vehicle fleet is categorized by individual vehicle classifications which are defined by the nature of the vehicle's use. During FY 2001 SLAC achieved 104 percent utilization for off-site

pool vehicles, 153 percent for on-site pool vehicles, 212 percent for off-site service vehicles, 120 percent for on-site service vehicles, and 44 percent for the on-site bus used for SLAC tours.

Overall SLAC receives a score of **Outstanding** for this measure.

Performance Rating (Adjectival): Outstanding	3.70
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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: 3.0

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, 2000 and its plan of action by April 1, 2001.

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:

A plan dated November 13, 2001, was submitted to this office outlining the selected focus areas for assessing customer satisfaction, which identified targeted customers, with milestones for completion. Milestones reflected in the SLAC plan were met. Increased customer satisfaction was achieved through property management process improvements.

In accordance with the SLAC plan, during FY 2001, a Peer Review Team consisting of members from several other DOE Laboratories to evaluate administrative areas. One of the elements assessed by the team was the level of customer satisfaction with the various functions. During the year SLAC Property Management met several times to assess customer products for opportunities to improve service. Several processes/products were identified. An e-mail system for notification of renewing off-site property passes was developed. Custodians have since expressed their satisfaction with the new process. A new 20-minute goal was established for answering telephone service calls received by the Property Management group, and the SLAC Property Management Guide has been placed on-line. New equipment signature forms were also placed on-line for ease of use by new custodians. In order to expedite scrap metal pick-ups, SLAC Property Management established a goal of pick-up within two days of notification.

Follow-up with past customer service focus groups was made to assess the success of improvements made based on their input. Customer feedback was positive. Improved customer satisfaction was evidenced by customer input. For FY 2002, SLAC plans to survey customer awareness and satisfaction. It is recommended that actual customer satisfaction levels be measured in FY 2002.

SLAC is recognized for the many efforts taken to streamline and improve processes and products used by their customers. However, it is important to annually assess customer satisfaction levels by survey, focus groups, etc., on an annual basis, in order to annually report and trend customer satisfaction levels.

Performance Rating (Adjectival): Excellent	3.30
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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: 5.0

Assessing Support Processes. The property process shall be measured against identified system evaluation criteria established in the plan.

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 2001, SLAC assessed internal processes against DOE-OAK approved policies and procedures in the areas of excess property disposition, warehouse storage, loans, property passes, and walk-throughs.

As a result of the assessment, it was determined that 100 percent of the excess generated throughout the year had been disposed of within 180 days, with most items addressed within 53 days. One hundred percent of items currently in storage are properly documented, and 52 storage lots were closed out during the year. Of the 32 personal property loans currently in place only one is pending a response from the borrower concerning final disposition of the property. During FY 2001, all property passes were reviewed on a monthly basis for status. All SLAC divisions participated in the walkthrough process during FY 2001, and all 314 items identified as idle during walk-throughs were resolved within 90 days. During FY 2001, the DOE-OAK OPMO participated on several SLAC walk-throughs.

Performance Rating (Adjectival): Outstanding	3.80
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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:

Cost vs. Baseline Plan Developed Each Year	Performance Level			
	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 man-hours. 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:

During FY 2001 SLAC chose to address the physical inventory process. By procuring and utilizing new barcode readers, SLAC was able to significantly reduce the manual data entry process and greatly streamline the FY 2001 inventory data uploading process. In fact, the time taken to upload inventory data was reduced from 2 hours to 15 minutes per upload. This coupled with the Outstanding FY 2001 equipment inventory results, and the Excellent sensitive inventory results (same scoring as FY 2000) results in an overall score of **Excellent** for this measure.

Performance Rating (Adjectival): Excellent	3.20
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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, 2000, 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:

During FY 2001, the SLAC Property Management staff attended property management software training. Some staff members as well attended fire safety, forklift and electrical training. One individual attended a course on data presentation and information. Two staff members were scheduled but unable to attend the 2001 DOE National Property Conference as they encountered airplane difficulties in travel and their flight was terminated.

SLAC Property Management also continued to stress general property management awareness education for employees in the form of news letters, articles in SLAC's "Interaction Point" periodical, and new employee orientations.

SLAC attended all scheduled training except the above referenced conference.

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

Cumulative Available Points 25

Performance Objective #1 Customer Satisfaction

SLAC shall periodically assess the degree of satisfaction with Purchasing's ability to meet customer needs in terms of timeliness, quality, and communication.

Performance Criteria: 1.1 Customer Feedback

As a continuous indicator of overall customer satisfaction, Purchasing shall survey the needs and satisfaction of its Laboratory customers relative to its purchasing systems and methods.

Performance Measure: 1.1.a Customer Satisfaction Rating

A customer satisfaction rating for the Purchasing function shall be created from the results of transactional surveys. The satisfaction rating is to be tracked and trended. The Parties will coordinate on the acceptability of the surveying process and contents.

Available Points: 5.0

Performance Assumptions:

Included in the evaluation will be a summary describing the activities that support the score achieved. Consideration will be given to activities/efforts taken to improve customer satisfaction.

The following formula shall be applied to measure customer satisfaction using transactional surveys:

$$\text{Customer Satisfaction Rating} = \frac{\text{Number of Satisfied Customers}}{\text{Total Number of Customers Surveyed}}$$

Performance Gradient:

- Outstanding: >95% of customers responding to survey are satisfied.
- Excellent: 90 – 94.9% of customers responding to survey are satisfied.
- Good: 80 – 89.9% of customers responding to survey are satisfied.

Marginal: 70 – 79.9% of customers responding to survey are satisfied.
Unsatisfactory: 60 – 69.9% of customers responding to survey are satisfied.

Performance Narrative:

SLAC conducted a Customer Satisfaction Survey in September 2001 via telephone and in-person interviews. It asked each of its customers 17 questions relating to the quality of their experience with procurement's responsiveness to their needs. Of the 21 respondents to the survey, 21 indicated they were satisfied with procurement's performance. This indicates 100% of procurement's customers were satisfied, which is an **Outstanding** rating.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Objective #2 Management of Internal Business Processes

SLAC shall have systems in place to ensure Purchasing Department programs operate in accordance with policies and procedures approved by DOE and which ensure that business operations are conducted at an optimum operational effectiveness level.

Performance Criteria: 2.1 System Evaluation

SLAC conducts, documents, and reports annually the results of a successful assessment of its purchasing system against established evaluation criteria.

Performance Measure: 2.1.a Assessing System Operations

The SLAC purchasing system shall be assessed against system evaluation criteria as identified in its annual Balanced Score Card Self-Assessment Plan. This internal control assessment shall measure the percentage of systems in full compliance with applicable laws, regulations, prime contract terms and conditions, and SLAC policies and procedures.

Available Points: 4.0

Performance Gradients:

Outstanding:	>90% of systems in full compliance.
Excellent:	85 – 89.9% of systems in full compliance.
Good:	80 – 89.9% of systems in full compliance.
Marginal:	75 – 79.9% of systems in full compliance.
Unsatisfactory:	<75% of systems in full compliance.

Performance Narrative:

To ensure operational compliance with applicable laws and regulations, prime contract terms and conditions, and SLAC policies and procedures, during the week of 17 September 2001 SLAC reviewed 100 purchase orders randomly selected from the period of 1 October 2000 through 1 September 2001. The review focused on the following areas:

<u>Review Area</u>	<u>% Error Free</u>
Timely processing of purchase requisitions	83%
Lead time	80%
Proper determination of financial and technical responsibility	96%
Adequacy of price analysis	94%
Adequacy of sole source justification	79%
EEO Certifications properly completed by bidders	94%
Completed Buy American Waivers	100%
Appropriate use of DOE ICPT agreements and other BOAs	86%
Appropriate use of clause sets	98%
Correct Debarred Listing citation	97%
Accuracy of Conflict of Interest Listing citation	98%
Overall adequacy of purchase order file documentation	84%

The area not in compliance, Adequacy of sole source justification, will require buyer training/reinforcement. This effort is currently underway and is scheduled for completion no later than 30 November 2001. DOE will validate the training and its subsequent effect.

Twelve of the eleven areas evaluated above are in compliance, which is a 92% compliance rating. SLAC, therefore, has earned an **Outstanding** in this measure.

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

SLAC shall manage its suppliers in such a manner as to ensure that the goods and services provided meet the Laboratory's requirements.

Performance Measure: 2.2a Measuring Supplier Performance

SLAC shall measure the performance of its suppliers by dividing the number of line items delivered on time by the total line due (or total line items received).

Available Points: 1.0

Performance Assumptions:

SLAC has designed a PeopleSoft query to capture vendor performance by line item deliveries. SLAC has elected to use a definition of on time delivery of up to 2 days after the purchase order due date allowing for internal processing of the delivered items.

The following formula shall be applied to measure supplier performance:

$$\text{Supplier Performance} = \frac{\text{Number of line items delivered on time}}{\text{Total line items due/received}}$$

Performance Gradient:

Outstanding:	≥85% of items delivered on time.
Excellent:	75 – 84.9% of items delivered on time.
Good:	65 – 74.9% of items delivered on time.
Marginal:	55 – 64.9% of items delivered on time.
Unsatisfactory:	<55% of items delivered on time.

Performance Narrative:

SLAC's data for FY 2001 indicates that of the 14,017 purchase order line item deliveries, 64% were delivered on time. SLAC analysis indicates the partial cause is attributable to the labor shortage prior to and after the December 2000 two-week facility shut down. There weren't enough hands to process the deliveries, thus creating a three to four week backlog. Additionally, inexperienced as well as rushed hands incorrectly input delivery dates into the computer system, thus compounding the problem.

SLAC has identified this area for special attention by management, the buyers, and the expeditors during FY 2002. Management will ensure that sufficient labor is on site to handle deliveries immediately prior to and after the facility shut down. Additionally, the buyers and expeditors will work more closely with vendors to proactively solve delivery problems. DOE needs to closely oversee this effort.

Performance Rating (Adjectival): Marginal	1.90
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Performance Criteria: 2.3 Effective Utilization of Alternative Procurement Approaches

SLAC shall measure the transfer of traditional purchasing activities such as supplier selection, best value determination, ordering and receiving, from the purchasing organization directly to the user organization

Performance Measure: 2.3a Traditional Purchasing Activities Transferred

Optimum percentage of transactions placed by users (JIT, Purchase Card, Blanket Order Releases).

Available Points: 1.0

Performance Assumptions:

The following formula shall be applied to measure the effective use of alternate procurement methods:

$$\text{Percentage of transactions placed by users} = \frac{\text{Total number of alternate transactions}}{\text{Total number of transactions}}$$

The CAPS target is set at 72.5%

Performance Gradient:

- Outstanding: $\geq 75\%$ of transactions placed by users.
- Excellent: $\geq 70\%$ of transactions placed by users.
- Good: $\geq 65\%$ of transactions placed by users.
- Marginal: $\geq 60\%$ of transactions placed by users.
- Unsatisfactory: $< 60\%$ of transactions placed by users.

Performance Narrative:

SLAC placed 30,068 transactions in FY 2001. Of these, 22,823 transactions were issued by procurement's users. Thus, the percentage of transactions placed by users is 76%, which earned an **Outstanding** in this measure.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Criteria: 2.4 Streamlined Processes

SLAC shall achieve improvements to its acquisition processes which serve to enhance procurement efficiency, reduce cycle time, reduce operating cost and increase overall customer satisfaction.

Performance Measure: 2.4a Improvements to the acquisition processes

SLAC will obtain this measurement by totaling the number of critical processes re-engineered, re-designed, or re-validated.

Available Points: 3.0

Performance Assumptions:

The DOE National Target is two processes annually improved.

Performance Gradient:

Outstanding:	4 processes improved.
Excellent:	3 processes improved.
Good:	2 processes improved.
Marginal:	1 processes improved.
Unsatisfactory:	0 processes improved.

Performance Narrative:

SLAC re-engineered 14 processes and re-designed one. Of the 14, nine involved organizational changes resulting in key positions being redefined or created. These changes ensure SLAC's ability to continue to perform in the event of illnesses, absences, and retirements by creating back-ups and alternatives to key positions.

The remaining five re-engineered processes included a revision of the purchasing procedures making them consistent with the DOE prime contract; implementation of an on-line data entry of shipper documents to aid the user community when items are to be shipped off-site; completion of an on-line stores catalog that shows items that are available for the user community; completion of an on-line project for the entering of new vendor information which can be used by procurement and the user community; and modification of the Business Information System (BIS) to accommodate the electronic inclusion of attachments (statement of work, sole source justification, etc.) to the purchase requisition.

Finally, the one effort considered re-design work was the revision of the purchasing department's homepage. Various informational portals were rearranged to enhance customer ease of use.

Obviously SLAC's effort in this area has far exceeded the DOE's National Target, which is an **Outstanding** rating.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Criteria: 2.5 Acquisition Process

SLAC shall measure the efficiency of the acquisition process by measuring the time between receipt of an approved purchase requisition and award of the purchase order.

Performance Measure: 2.5a Average Cycle Time Available Points: 4.0

SLAC shall measure the efficiency of the acquisition process by measuring the time between receipt of an approved purchase requisition and award of the purchase order. Measurements will be calculated for all actions for comparison purposes to previous year data.

Performance Assumptions:

The following formula shall be applied to measure average cycle time (excluding Purchasing Authorization Card):

$$\text{Average Cycle Time} = \frac{\text{Total number of Time Between Receipt of Requisitions and Award}}{\text{Total number of Awards}}$$

The DOE target for FY01 is 20 days average cycle time (CAPS).

Performance Gradient:

Outstanding:	≤ 20 days
Excellent:	≤ 25 days
Good:	≤ 30 days
Marginal:	≤ 35 days
Unsatisfactory:	≤ 40 days

Performance Narrative:

SLAC's measured cycle time begins with approval of the purchase requisition by purchasing management and ends with award of the purchase order or subcontract. It does not include any pre-procurement planning that buyers and subcontract administrators may participate in with the user community. Using these parameters, SLAC presents the following results:

<u>Actions</u>	<u>Cycle Time</u>
Actions < \$100K	2.0 days
Actions > \$100K	11.7 days
All Actions	2.1 days

The above data clearly illustrates SLAC far exceeds the DOE target of 20 days, which equates to an **Outstanding** rating.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Criteria: 2.6 Socio-economic Subcontracting

SLAC shall support and promote socio-economic subcontracting programs.

Performance Measure: 2.6a Meeting Socio-Economic Commitments

This performance measure shall not be weighted or measured. The SLAC Purchasing Department will provide in its annual Balanced Score Card Self-Assessment Report, **for information purposes only**, the percentage of subcontract (includes purchase orders) dollars awarded in the following four categories:

- a) Small Business
- b) Small Disadvantaged Business
- c) Small Woman-Owned Small Business
- d) 8 (a) Pilot Program Awards

The Balanced Score Card Self-Assessment Report will describe annual activities in support of the socio-economic program. Subcontracts qualifying in more than one category may be counted in more than one category e.g., Small Business and Small Disadvantage Business. Lower tier subcontracts cannot be counted toward the primary goal, but may be goal and reported separately.

The purchasing base for purposes of this measure is all subcontracts awarded during the fiscal year period, excluding (1) Subcontracts with foreign corporation which will be performed entirely outside of the United States; (2) Utilities (gas, sewer, water, steam, electricity and regulated telecommunications services; (3) Federal Supply Schedule Orders when all terms of the GSA contract apply; (4) GSA Orders when all terms of the GSA contract apply; (5) Agreements with DOE management and operating contractors and University campuses; (6) Federal government and DOE mandatory sources of supply; Federal prisons industries, Industries of blind and handicapped; and (7) Procurement card purchases.

Performance Narrative: This objective measures the success in achieving Socio-Economic goals. The results of the FY 2001 effort follows below.

<u>Category</u>	<u>Goal</u>	<u>Actual</u>
Small Business	55%	60.4%
Small Disadvantaged Business	10%	7.3%
Small Women-Owned Business	6%	10.0%
8(a) Pilot Program Awards	2%	4.4%

The above data clearly illustrates SLAC exceeded the DOE target in 3 of the 4 categories. SLAC has recently hired a new Associate Purchasing Officer part of whose responsibilities will be to

create a proactive outreach program to develop further SB sources. This program should improve an already impressive performance.

Performance Rating (Adjectival): Not Rated

Performance Objective #3 Managing Financial Aspects

SLAC shall periodically ensures optimum cost efficiency of its purchasing operations.

Performance Criteria: 3.1 Process Cost

SLAC shall compare its operating costs as a percentage of total procurement dollars obligated to benchmarking data and industry standards and establish goals and gradients accordingly.

Performance Measure: 3.1a Cost to Spend Ratio Available Points: 3.0

Operating costs as a percentage of total procurement dollars obligated will be computed. SLAC's operating costs (labor plus overhead) shall be divided by purchasing obligations.

Performance Assumptions:

The following formula shall be applied to measure the cost to spend ratio:

$$\text{Cost to Spend Ratio} = \frac{\text{Purchasing Organization Cost}}{\text{Total Purchasing Obligations}}$$

Performance Gradient:

Outstanding:	≤ \$0.025
Excellent:	\$.025 to \$.0279
Good:	\$.028 to \$.0309
Marginal:	\$.031 to \$.0339
Unsatisfactory:	>\$.034

Performance Narrative:

SLAC's total operating costs = \$1,470,000 and total purchasing obligations = \$68,858,502. Thus, SLAC's cost to procure \$1 of goods and services, a.k.a. cost to spend ratio, equals \$.0213, or 2.13

cents. This easily improves upon the DOE goal of 2.5 cents per \$1 of goods and services procured, which equates to an **Outstanding** on this measure.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Objective #4 Learning and Growth

SLAC shall ensure that information and feedback mechanisms are available to purchasing employees to enhance continued successful purchasing operations.

Performance Criteria: 4.1 Employee Feedback

SLAC shall foster improvement of processes and performance by assessing and pursuing improvements in employee satisfaction.

Performance Measure: 4.1a Employee Satisfaction Rating

A Purchasing employee satisfaction rating shall be created from the results of an employee survey. The satisfaction rating is to be tracked and trended. The Parties will coordinate on the acceptability of the surveying process and contents.

Available Points: 1.0

Performance Assumptions:

Included in the evaluation will be a summary describing the activities that support the employee satisfaction rating achieved. Consideration will be given to activities/efforts taken to improve employee satisfaction.

The following formula shall be applied to measure employee satisfaction:

$$\text{Employee Satisfaction Rating} = \frac{\text{No. of Satisfied Staff}}{\text{No. of Staff Surveyed}}$$

Performance Gradient:

- Outstanding: $\geq 80\%$ of employees responding to survey are satisfied.
- Excellent: 70 – 79.9% of employees responding to survey are satisfied.
- Good: 60 – 69.9% of employees responding to survey are satisfied
- Marginal: 50 – 59.9% of employees responding to survey are satisfied
- Unsatisfactory: $< 50\%$ of employees responding to survey are satisfied

Performance Narrative:

The vehicle used to determine employee satisfaction was the Climate Survey Questionnaire. The survey asked for the employee's opinion of the work environment in the following categories: Training Adequacy; Working Environment; Management Support and Leadership; Employee Empowerment; and Information Availability. A total of 18 surveys were distributed and 15 were completed and returned. Of the 15 returned, 15 indicated that the employee was satisfied. That's a Satisfaction Rating of 100%, which equates to an **Outstanding** for this measure.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Criteria: 4.2 Employee Alignment

SLAC shall ensure individual goals are aligned with SLAC's organizational goals (Key Success Factors).

Performance Measure: 4.2a Validate Alignment of Goals

A review of each buyer's (employee) 2000/2001 Performance Evaluation shall be conducted to ensure the alignment of individual goals is consistent with organizational goals.

Available Points: 1.0

Performance Assumptions:

The following formula shall be applied to measure employee alignment:

$$\% \text{ of Employee Aligned} = \frac{\text{Number of Aligned Employee}}{\text{Total Number of Employees with Buying Function}}$$

Performance Gradient:

Outstanding:	90 - 100% of employees aligned.
Excellent:	85 - 89.9% of employees aligned.
Good:	80 - 84.9% of employees aligned.
Marginal:	75 - 79.9% of employees aligned.
Unsatisfactory:	70 - 74.9% of employees aligned.

Performance Narrative:

The following organizational goals were validated against individual goals for alignment:

- Continue to be compliant with all Environment, Safety and Health training requirements (Site-wide goal)
- Continue to support Communication Quality Initiatives (Business Services Division goal)
- Continue to establish new small and small disadvantaged vendors (Purchasing Department goal)

Of the 12 employees involved in buying functions, SLAC reviewed 12 performance evaluations and found the individual goals to be in alignment with the organizational goals. This is 100% alignment, which is an **Outstanding** rating.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Criteria: 4.3 Information Availability

SLAC shall make readily available to its employees current information important to the successful performance of their purchasing related functions.

Performance Measure: 4.3a Measuring Availability of Information

SLAC will track and trend the level of information available to Purchasing employees.

Available Points: 2.0

Performance Assumptions:

Information is considered available if it is current or requires only minor revision and the information is in compliance with Prime Contract requirements.

The following formula shall be applied to measure the level of information availability:

$$\text{Level of Information Availability} = \frac{\text{Number of Information Items Available}}{\text{Number of Information Items Needed}}$$

Performance Gradient:

Outstanding:	90 - 100 %
Excellent:	85 - 89.9%
Good:	80 - 84.9%
Marginal:	75 - 79.9%
Unsatisfactory:	70 - 74.9%

Performance Narrative:

SLAC has identified the following ten items of information as those needed to support the buying activity:

- Purchasing Buyers Handbook
- Purchasing Procedures
- Conflict of Interest Listing
- Debarred Listing

- Business Information System Web Site
- Thomas Register
- DOE Integrated Contractor Purchasing Team (ICPT) Homepage
- FAR and DEAR web sites
- SBA 8(a) and SDB Certification Homepage
- Purchasing Department Homepage

Of the ten informational tools needed, a survey of the buyer's desks and personal computers indicated all ten were available to all buyers. Thus, the Level of Information Availability equals 100%, which is an **Outstanding** rating.

Performance Rating (Adjectival): Outstanding	4.00
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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 Available Points: 4.0

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. Data gathered during the site building baseline exercise will be used to calculate the square feet per person in permanent office space.

Performance Gradient:

Outstanding:	10% under GSA Standard.
Excellent:	5% under GSA standard.
Good:	Achieve GSA Standard.
Marginal:	5% Over GSA Standard.
Unsatisfactory:	10% or more above GSA Standard.

Performance Narrative:

Stanford Linear Accelerator Center (SLAC) has demonstrated outstanding ability to manage space within the site which justifies a rating of **Outstanding** for FY 2001. SLAC's office average space area stands at 106 sq. ft./person, an average of 16% below the GSA standard measure.

Performance Rating (Adjectival): Outstanding	4.00
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Performance Criteria: 1.2 Substandard Building Space
 The Laboratory will reduce the square footage of substandard building space.

Performance Measure: 1.2.a Available Points: 4.0
 Actual Square feet of substandard building space eliminated/Square feet of substandard space planned for removal or upgrade.

Performance Assumptions:

The amount of space to be improved or eliminated will be agreed upon after the budget is approved and GPP allocations have been decided.

Performance Gradient:

Outstanding:	1.00
Excellent:	greater than 0.95 and less than or equal to 0.99
Good:	greater than 0.90 and less than or equal to 0.94
Marginal:	greater than 0.85 and less than or equal to 0.89
Unsatisfactory:	less than 0.8

Performance Narrative:

An agreement was reached between DOE and SLAC regarding the amount of space that could be upgraded, or demolished, based on the allowable budget and GPP allocations. SLAC was able to exceed the upgradable space requirement, posting a total of 18,700 sq. ft. Likewise, SLAC was able to exceed their requirement for demolished space, removing a total of 11,107 sq. ft. The completion of the agreed upon milestones justifies a rating of **Outstanding**.

Performance Rating (Adjectival): Outstanding 3.80

Performance Criteria: 1.3 Real Property Management

Performance Measure: 1.3.a Available Points: 2.0
 Real property is effectively managed consistent with mission requirements and DOE direction.

Performance Assumptions:

Intent is to measure the effectiveness, completeness, and timeliness of implementation of Real Property management actions. Milestones will be established in partnership with DOE and made a matter of record in the first month of the fiscal year. Milestones may be established for Facilities Information Management System (FMIS) completeness, office space utilization, substandard building space conversion, real property leases, etc.

Performance Gradient:

Outstanding:	.900 or greater
Excellent:	.800 to .899
Good:	.700 to .799
Marginal:	.600 to .699
Unsatisfactory:	less than .600

Performance Narrative:

All established milestones for Stanford Linear Accelerator Center (SLAC) concerning management or improvement of real property were completed for FY 2001. The milestones included production of the annual Facilities Information Management System (FIMS) Quality Assurance Plan along with verification of population and accuracy of the SLAC portion of the FIMS database, and optimizing of SLAC office and lab space. The completion of all established milestones justifies a rating of **Outstanding**.

In the area of FIMS, validation of the data has shown great improvements in the population of necessary fields and their corresponding accuracy. Updating of FIMS is an ongoing project at SLAC with additional resources allocated to help maintain and control the database.

Several noteworthy projects include two, third-party funded buildings that are in diverse planning stages. The first is a User Lodging Facility which has been successfully developed through the

conceptual design stage and is ready to go to the third-party for construction approval. The second is an Office Building in the design stage. Both projects are the results of DOE and Stanford University teamwork and cooperation. Another project was a complete physical inventory, including measurements to verify previous building and other structure data site wide, along with a 20% comprehensive conditional assessment of the total buildings on site.

SLAC put together representatives from the programmatic and business areas and has made a substantial effort now entering the final stages of development for a comprehensive Long Range Site Development Plan.

Performance Rating (Adjectival): Outstanding	3.90
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Performance Objective: #2 Project Management

Performance Criteria: 2.1 Construction Project Performance
 Complete Line Item (LI) project Research Office Building and General Plant Projects (GPP), greater than or equal to \$500,000, within budget, schedule, and technical.

Performance Measure: 2.1.a Available Points: 5.0
 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:

The list of milestones was established for seven projects with a total estimated cost greater than \$500K. The Cooling Tower 1202 and Master Substation Drainage projects were completed this fiscal year on budget and schedule. Four other projects are ongoing without delays or budget concerns. The Building 033 Clean room project experienced schedule delays because of identified safety non-compliance with the subcontractor. This resulted in a stop work order from the Stanford Site Office. The subcontractor was required to submit a Safety and Health plan and a hazard evaluation of the elevated work that was stopped. This caused the project to miss two milestones from the approved baseline schedule; construction completion and beneficial occupancy. The delay caused by the safety non-compliance is not a reason for justifying a baseline change control; therefore, the missed milestones results in a rating of **Good** for this performance measure.

Performance Rating (Adjectival): Good	2.80
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Performance Criteria: 2.2 Construction Project Cost
 Line Item project Research Office Building meets cost baselines.

Performance Measure: 2.2.a Total Estimated Cost Available Points: 4.0
 Actual funds committed during the fiscal year/planned funds committed during the fiscal year.

Performance Gradient:

- Outstanding: 1.00.
- Excellent: greater than 0.95 and less than or equal to 0.99
- Good: greater than 0.90 and less than or equal to 0.94
- Marginal: greater than 0.85 and less than or equal to 0.89
- Unsatisfactory: less than 0.84

Performance Assumptions:

The amount of space to be improved or eliminated will be agreed upon after the budget is approved and GPP allocations have been decided.

Performance Narrative:

The Research Office Building project cost profile was established in the first quarter of the fiscal year based on the construction subcontract. The cost performance of the project has been on target with only a couple months that deviated from the projected cost profile. This was cause by late invoice submittals, resolving design details and delays caused by unknown construction conditions. The project, however, remains on cost and on schedule. Calculations of the cost performance resulted in a 95.3% actual cost rate for the project. As a result, this performance measure is rated at the **Excellent** level.

Performance Rating (Adjectival): Excellent 3.40

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

Evaluation of the site maintenance depends on determining the present site conditions and the amount of maintenance items deferred.

Performance Measure: 3.1.a Available Points: 5.0

Inspect a portion of the site measured in square feet of real property in accordance with the SLAC facility inspection program. Report square feet inspected/square feet of real property.

Performance Assumptions:

The SLAC inspection program, is planned for completion on a three-year cycle. Inspections include six categories, exterior, interior, mechanical, electrical, roofing, and structural.

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:

SLAC with agreement of DOE OAK increased the condition assessment program cycle from three to five years. SLAC completed a comprehensive condition assessment of 20% of the buildings using an outside subcontractor to provide fresh baseline data for FIMS. Inspections included all six categories, exterior, interior, mechanical, electrical, roofing, and structural. Based on change of condition assessment program cycle, completion of 20% of buildings warrants an **Outstanding** rating for FY 2001.

Performance Rating (Adjectival): Outstanding	3.60
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Performance Measure:	3.2	Maintenance Index	Available Points: <u>19.0</u>
<p>Calculate quality performance index based on EFCOG maintenance performance indicators listed below.</p>			
3.2a	Janitorial	Total janitorial costs/Total cleaned square feet.	
3.2b	Utilities	Total non-programmatic utility costs/total non-programmatic square feet.	
3.2c	Direct Facility maintenance	Total non-programmatic maintenance costs/total non-programmatic square feet.	
3.2d	Roads and Grounds	Total costs for roads and grounds/total acres of maintained roads and grounds.	
3.2e	System Average Interruption Duration Index	Total outage time (minutes)/Average number of 5 Kva increments	
3.2f	System Average Interruption Frequency	Total number of Outages/Average number of 5 Kva increments	
3.2g	Utility Maintenance Costs	Total maintenance and operations cost/total delivered kilowatt-hours.	

Performance Assumptions:

The maintenance index is based on EFCOG data and we will be measured against the industry Average for each item as reported in the April 1998 indicator pilot project. Each item will be reported separately at year end.

Performance Gradient:

Outstanding:	7 of 7 items exceed industry
Excellent:	6 of 7 items exceed industry average
Good:	5 of 7 items exceed industry average
Marginal:	4 of 7 items exceed industry average
Unsatisfactory:	3 or less items exceed industry average

Performance Narrative:

SLAC SEM benchmarked seven EFCOG maintenance performance indicators in FY01. SLAC exceeded the industry average on five of the indicators and had reasonable performance results for the two remaining indicators. Considering the aggressive first year milestone selection and their overall effectiveness, a rating of **Good** is justified for this performance measure.

Performance Rating (Adjectival): Good	2.90
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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 sixteen FY 2001 specific goals under its Energy Management Plan, resulting in a gradient calculation of 87.5. Completions include an energy efficient design for replacement of the central chiller plant, expansion of direct digital controls for the first floor of B-041 as well as a funding request for the second floor, installation of a foam roof on Buildings 006 and 084,

a survey to prevent simultaneous heating and cooling in Computer Building HVAC systems, continued replacement of inefficient lighting with T8 bulbs and electronic ballasts, procurement of energy efficient microcomputers and peripherals, and improved shuttle service for public transportation. The Laboratory also completed work necessary to convert to a new federal energy conservation goal, starting in FY 2002, and, the Laboratory submitted its annual in-house energy management report on schedule. Two goals were not completed. Studies related to beam line experiments (i.e. energy efficient solid state modulators and transformer power factor correction) were terminated when it appeared that savings would not materialize, and, internal funding was redirected for three of the five planned energy efficient foam roofs. Note that the two incomplete energy goals could have been revised during the year by mutual agreement between the Laboratory and OAK. For example, Buildings 050, 660 and 680 could have been deleted from the FY 2001 roofs goal, and Klystron Gallery Sector 6 and Bldg. 034 could have been added. However, SLAC still earned an overall **Excellent** rating for this performance measure.

Performance Rating (Adjectival): Excellent	3.30
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Performance Objective #5 Physical Assets Planning

Performance Criterion 5.1 Comprehensive Integrated Planning Process

The Laboratory develops, documents and maintains a comprehensive, integrated planning process that is aligned with SLAC mission needs.

Performance Measure 5.1.a Planning Process Available Points: 10.0

Assess how the planning process is implemented to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs. Integrate the space planning office into the process.

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:

The adjectival rating will be determined by a combination of criteria: a) impact of process improvements throughout the year; b) successful development of a work plan; c) the successful execution of the work plan, and; d) other planning and land use activities throughout the fiscal year.

- 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 activities for FY2001 has been rated by DOE/NNSA OAK as **Excellent**. 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 updates of the SLAC Comprehensive Site Plan (CSP) and the SLAC University Technical Representative (UTR) Guide and the commencement of updating the Long Range Development Plan. Three of the five scheduled milestones were completed on time. The two activities that were not completed within the evaluation period are expected to be completed later this calendar year. This past year was also the first full year for SLAC's planning process to be under the Site Engineering and Maintenance (SE&M) Division.

The SLAC CSP has been recognized as the primary planning document for SLAC. One of the milestones, which was completed, was to strengthen the document by consolidating the existing five-year and seven-year plans into the CSP. Infrastructure project plans have also been incorporated into the CSP. The SLAC UTR was also updated this past evaluation year and training provided. The SLAC UTR identifies and defines roles and responsibilities of UTR's that is critical for executing the final stages of the planning process.

The physical assets planning work plan for FY2001 included five milestones. Three of the five milestones were satisfactorily completed. SLAC continues to address the remaining two milestones and completion is expected by the end of 2001. Progress and completion of activities were monitored and validated throughout the year at quarterly meetings with SLAC SE&M, discussions with the SLAC Space and Site Manager, through the SLAC Self-Assessment report, and, indirectly, through the established monthly SLAC Matrix Meeting (lead by the DOE Stanford Site Office).

SLAC continues to be involved with site planning activities that have not been identified in the work plan. Physical assets planning activities include the completion of the Strategic Facilities Plan (October 2000), support of the proposed User Lodging Facility, Astrophysics Institute and BioX construction projects, the update of the Long Range Development Plan and SLAC solidifying their partnership with Stanford University. SLAC is in the process of updating their Long Range Development Plan which was first developed in 1966. Initially, it appears that Stanford University planners will also be involved with the plan. This "twenty-year" plan will include the citing of future projects, such as the User Lodging Facility, Astrophysics Institute and BioX projects, and should strengthen their relationship with Stanford University's land use planners. It should also be noted that SE&M was subject to a "peer" review in July. This independent group was very favorable with the operations, including site planning, and the direction of SE&M.

DOE/NNSA OAK remained apprised of major activities throughout the year through detailed quarterly reporting and by various operational awareness-type meetings. However, the established method for formally identifying delayed milestones needs to be properly implemented in the future. In FY2001, SLAC continued to execute both the intent and spirit of the LCAM Partnering Agreement. This agreement represents DOE/NNSA OAKs and SLAC's continued commitment to performance-

based contracting. DOE/NNSA OAK will continue to work with SLAC to identify process improvements and incorporate them in the appropriate and annual work plans.

Performance Rating (Adjectival): Excellent	3.00
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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) systems and programs that met customer requirements. SLAC made excellent progress in completing the upgrade of the SLAC Private Branch Exchange (PBX) with hardware and software enhancements. This enables SLAC to improve system management, and to advance the operability of digital and analog phones. In the area of Computer Information Resource Management, SLAC standardized with one manufacturer, and participated in the Microsoft Enterprise License Agreement, which has resulted in substantial cost savings. SLAC's Duplicating Facility did 88 percent of its duplicating using double-sided copying, compared to last years 53.6 percent. SLAC has continued to identify and maintain the engineering drawing database, and revitalized the Records Liaison program.

Telecommunications

Under the purview of Stanford Linear Accelerator Center (SLAC) Computing Services (SCS), telephone service is provided to the SLAC user community and other stakeholders as required and appropriate by Telephone Services. Typical service offerings include voice, video conferencing, paging, mobile radio, and cellular phone services.

During the FY 2001 rating period, Telephone Services completed the upgrade of the SLAC Private Branch Exchange (PBX) with hardware and software enhancements. This upgrade, which occurred at no additional cost to the organization, enables SLAC to use Integrated Services Digital Networking (ISDN) for local and FTS2001 traffic control, to improve system management, and to advance the operability of digital and analog phones.

Telephone Services obtained valuable data through traffic analysis performed by contract telephone service providers that enabled SLAC to replace direct inward dial (DID) and local outgoing trunks with four Primary Rate (PRI) ISDN channels. Among the advantages of eliminating the excess of high rate trunk capacity with ISDN PRI service was that SLAC positioned itself to provide calling party identification on its digital display phones. Additionally, during this process, Telephone Services took the opportunity to review its routing tables as a means to enhance least cost routing of calls through its PBX as well as identify and recoup requisite facilities while disconnecting others.

Telephone Services has confirmed that at the end of the lease period in June 2002, SLAC will wholly own the PBX. Thus, Telephone Services has drafted specifications and a Request for Proposal, developed a procurement schedule, and compiled a list of potential vendors for cable and telephone services to maintain the system at the end of the lease period.

Computer Information Resource Management

SLAC has had an extremely productive year and as a result the SLAC Computing Services have expanded resources in some areas that should be mentioned. Through a Department of Energy (DOE) established BOA with Dell, SLAC realized a substantial cost savings from the purchase of desktop computers. Standardizing with one manufacturer resulted in even greater savings to user support cost. All of this has afforded the SLAC Computing Services the opportunity to develop standard installation procedures for both the Windows and Linux systems, which encompass the majority of SLAC's desktop systems.

SLAC, through the Microsoft Enterprise License Agreement, again saw significant savings and continues to be assured of the Laboratory's compliance to license regulations in regard to Microsoft products. The participation of the Laboratory in this program has freed roughly two full-time

employees from the task of tracking license activities. This alone has nearly paid for the program in its entirety through the salary cost savings.

Archives and Records Management

In the area of Archives and Records Management, SLAC continues to make outstanding progress in revitalizing the Records Liaison program, and identifying the engineering drawing databases. This effort has increased the visibility of the Archives and Records Management Program. SLAC has completed the Archives and Records Management web page, which facilitates the availability of record information to the SLAC community. In addition, the ARO meets with their customers to evaluate and resolve any record or archive issues.

Printing and Reproduction

The Business Services division did an excellent job by increasing the percentage of total “impressions” of double-sided copying to 88 percent from last years 53.6 percent.

The Business Services’ did a satisfactory job in cost-per-copy for its duplicating facility. The FY 2001 cost-per-copy was \$0.0568, which was a slight decrease from last year’s figure of \$0.0608. The Duplicating Facility has generally fixed operating costs for labor and equipment, cost-per-copy depends almost entirely on volume. Since the laboratory’s duplicating facility does less than 20 percent of SLAC’s overall copying; it has become extremely difficult to reduce the cost more substantially.

Performance Rating (Adjectival): Excellent	3.30
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Performance Measure:	1.1.b	Available Points: <u>15.0</u>
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:**Telecommunications**

During the FY 2001 rating period, Telecommunications area has made outstanding progress in meeting customer expectations and requirements. Telephone Services expanded its use of the SLAC Phone Request System (SPRS). This Web-based system enabled SLAC users to submit requests for telephone repair. Additionally, the Area Telecommunications Office Motivators (ATOMs), a SLAC user community representative organization, has embraced SPRS as their primary means to initiate service order requests.

Responses to a FY 2001 survey of ATOM members identified that 93 percent of software phone orders were completed within a one-week period as opposed to 86 percent over the same period during the previous fiscal year. The 93 percent rating also coincided with the ATOM's 90 percent acceptable or better performance rating given to Telephone Services. Likewise, 86 percent of hardware phone orders were completed within four weeks as opposed to 61 percent over the same period during the previous fiscal year. However, a slightly different contrast resulted from the survey of ATOM members in that the hardware order completion level of performance was rated at 61 percent for acceptable or better service.

Finally, additional data that was collected through the aforementioned survey indicated that over 85 percent of repairs were completed in one day or less, which is a significant improvement of the FY 2000 level of 46 percent over a comparable period of time. ATOM's provided an 85 percent acceptable or better performance rating with regard to this area. Telephone Services continues to maintain its goal by completing the majority of phone repairs in one business day or less.

Business Data Processing

SLAC has continued to aggressively monitor data gathered through the Business Information System (BIS). As a result of this scrutiny, they are able to better understand the growth in usage of the system as well as the needs of their customers. The trend in usage of the BIS website continues to swing upward. Overall, traffic at the website is averaging 66,538 requests per month, which translates to a daily average of 3,325 requests for information. User response indicates that the system is being used widely and has been accepted as a means for rapidly obtaining what they need.

The BIS now has a proven system that is able to deliver accurate financial data to users by the fifth working day of each month. Daily validation of the financial data continues and ensures that this goal is met. Through the introduction of the Laboratory Management Advisory Group (LMAG), the laboratory is able to receive feedback on opportunities for improvement in this area. SLAC continues to make tremendous strides in overall customer satisfaction.

Archives and Records Management

SLAC has made excellent progress in meeting customer requirements by meeting with the new and current Record Liaisons to do an informational overview session of the function and purpose of the Archives and Records Management Program, to reacquaint them with their record responsibilities. In addition, the Record Liaisons were provided with information regarding the use of the Archives and Records Web page for all Archive and Record information. Brochures were distributed which delineate record responsibilities, and provide various web addresses. The Records Management web page has been linked to the Archives and History Office website.

Printing and Reproduction

The Business Services division did a highly satisfactory job in customer satisfaction. As a result of the customer surveys, there is now Web availability of SLAC publications. SLAC continues to maintain high satisfaction in the area of convenience copiers and the reproduction facility.

Performance Rating (Adjectival): Excellent	3.50
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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: 10.0

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 Performance Based Management Self-Assessment Report provides statistics for speeding violations (security incidents) and theft figures (loss amounts) over the last five years. The report

reflects a reduction in the occurrence of speeding violations and thefts over this rating period (a continued trend) and identifies safeguards and security measures to reduce security incidents.

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

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 **annually** address applicable topical and sub-topical areas as required by applicable DOE policies and directives.
3. The Safeguards and security self-assessment will identify deficiencies and develop corrective action plans which identify root cause and the steps (milestones) necessary to resolve the deficiency. The milestones are to be completed in such a manner as to ensure timely completion of the corrective action plan by the date designated.
4. A corrective action will be considered completed at the time that the action is documented and completed.
5. 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:

The Performance Based Management Self-Assessment Report does not identify SLAC self-assessment findings/issues and the percent of on-schedule corrective actions. Therefore, OAK SSD is unable to provide a recommendation for a rating for Performance Objective #2.

Performance Rating (Adjectival):	Not Rated
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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: 10.0

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:

Based upon a review of the information provided in the self-assessment report, and information obtained as part of the security survey conducted at SLAC last year, it appears that SLAC's cyber security program has achieved excellent results in providing protection for its information systems and applications, while balancing the needs of its open research community.

The self-assessment report indicated that SLAC had successfully achieved its remaining cyber security goals to eliminate the use of clear-text passwords, secure the BSD network, and automate the process for computer account terminations. Through its well planned and executed combination of firewalls, intrusion detection, filtering, blocking, anti-virus and anti-SPAM capabilities, and its vulnerability scanning and resolution procedures, it appears that SLAC's cyber security program has been able to achieve potentially significant cost savings by reducing or eliminating the number of successful cyber security incidents to be dealt with. There were no detected break-ins or denial-of-service attacks, and no significant virus/worm incidents during FY01.

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

OTT uses the model Work-For-Other Agreements in Order DOE O 481.1. According to our records, IPLD did not review any WFOA in the past year. It is assumed that OTT did not have any deviations to the model WFOA that would have required legal review. Therefore, IPLD has a favorable rating regarding OTT in this technology transfer activity.

For CRADAs, IPLD has previously requested that OTT create a laboratory CRADA model. OTT still has not done this. Two of the first three CRADAs (SLAC-127, SLAC-214, SLAC-220) submitted for IPLD review required extensive IPLD comments. Many of these deviations from the DOE CRADA Order seemed to be driven by OTT and not the CRADA Participant. The last three CRADAs (SLAC-217, SLAC-211, SLAC-230) submitted for IPLD review required some minor changes and/or justifications. However, two of these CRADAs followed the small-value CRADA guidelines, which tend to require fewer deviations. Overall, there has been improvement this year. However, IPLD still asserts that a SLAC Model CRADA should be developed.

There is no reporting requirement for licensing of technology at science laboratories such as SLAC. Therefore, IPLD can not access SLACs 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.

Based on the above statements, IPLD gives a performance gradient of **Excellent**.

Performance Rating (Adjectival): Excellent	3.20
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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 in reach 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

FY2001 was a good year for Technology Transfer by SLAC. The Laboratory's Office of Technology Transfer was productive, with competent staff targeting industrial sectors including: medical therapy, simulation, semiconductor manufacturing, RF power, protein modeling, and bio-sample processing. SSO records for FY2001 show OAK approval of 6 CRADAs and 3 Work For Others (WFOs) covering a spectrum of hardware and software projects. All CRADAs were with small businesses, including DOE Small Business and Innovative Research (SBIR) grants for critical technology R&D on advanced klystrons, accelerator structures, and electron gun sources. Participants and sponsors range from small businesses and a university to governmental agencies and a nonprofit corporation. One WFO project (on an RF tuner) was performed for a foreign organization, the Shanghai Synchrotron Radiation Facility.

CRADAs:

In FY2001, 3 of 6 CRADAs were hardware projects, and 3 were software projects. Hardware R&D included: precision metal forming of millimeter-wave accelerating structures (with Dayton Reliable Tool); a permanent magnet focussing klystron for accelerators (with California Tube Labs); and, fundamental studies of the photoemitting material in night vision devices (Intervac). Software R&D covered: adding a visual user interface to a SLAC physics code for modeling electron and photon transport in various materials (with Quantum Research Services); using neural network and linear dynamic modeling for adaptive control of SLAC's PEP-II accelerator (with Pavilion Technologies); and, making available SLAC's system of Internet monitoring of US and overseas physics data transmittal to an industry collaboration (with Internet Performance Exchange), to improve the measurement and monitoring of actual network performance.

WFOs:

In FY2001, 2 of 3 WFOs were R&D collaborations, one was a hardware project. The R&D collaborations were: SSRL and Scripps Research Institute on a Joint Center for Structural Genomics; and, SSRL and the National Institutes of Health on support for macromolecular crystallography. The hardware project was R&D for the US Air Force to develop a modular klystron.

Overall, SLAC's FY2001 Technology Transfer Program sustains the increased activity over pre-CRADA years (when WFOs usually duplicated SLAC klystrons and PEP-II RF feedback systems). The program is stable with 6-7 CRADAs and 3-8 WFOs per year (FY2000-FY2001). In addition, there are major WFOs representing interagency transfers for construction of the SPEAR3 Project (NIH \$29M) to upgrade SSRL's Light Source, and the GLAST Project (NASA \$22.8M) gamma-ray satellite.

In addition to CRADAs and WFOs, SLAC reported 2 invention disclosures: two provisional applications filed with the US Patent and Trademark Office (for a sample transfer device, and a sheet-beam klystron). SLAC made awards to two inventors for FY2001 activities. A license option was granted for a SLAC microdropper. Licenses for software and inventions are under negotiation with 5 companies, including one for a SLAC protein sequencing algorithm.

Office of Technology Transfer organized a one-day seminar on technology management and entrepreneurship for 40 MBA students from the Chinese University in Hong Kong, and conducted a SLAC tour for a Hong Kong Government delegation on tech transfer issues and education.

Publication of SLAC research results in scientific and technical journals has always been a primary method of transferring SLAC technology to industry, government, and academia. SLAC published approximately 300 papers in FY2001; all were reviewed by Office of Technology Transfer for potential commercial technology. Ultimately, educating undergraduate and graduate students, and postdocs at SLAC 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	3.70
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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: 8.0

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 FY01 the performance period is October 1, 2000 through September 30, 2001.
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 "exceedence", 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".
- 100% of the required beryllium sampling is conducted during the performance period.
- Beryllium activities in "Good" and "Excellent" are completed, and beryllium operations/use at SLAC is minimized.

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.
- 95% of the required beryllium sampling is conducted during the performance period.
- Actions required [jointly agreed upon by SLAC and DOE by December 31, 2000] for compliance with the Beryllium Rule (10 CFR 850) are completed during the performance period.

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, 2000.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 2000.
- A list of Vulnerable Systems is prepared by October 31, 2000.
- 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.
- An inventory of beryllium operations, and a list of beryllium sampling to be conducted during the performance period is prepared by October 31, 2000.

- 90% of the required sampling is conducted during the performance period.

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:

All requirements under the "Outstanding" Performance Gradient were met for this fiscal year. The required sampling plans were developed and used. Exposure measurements and evaluations were completed at the 100% level, based on an audit of 28% of the records. All exposure records are documented and retrievable. 100% of the required beryllium samples were collected, and many additional beryllium samples were collected to meet the intent of the new OSHA Beryllium Rule. Actions required under a separate beryllium agreement between SLAC and OAK were completed at the 90% level, ahead of the 80% level required to achieve an Outstanding rating, and placed SLAC in position to meet OSHA Beryllium Rule implementation dates. Overall, the Industrial Hygiene effort was at the **Outstanding** level.

Performance Rating (Adjectival): Outstanding	4.00
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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: 8.0**

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 FY2001 the performance period is July 1, 2000 through June 30, 2001.
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 2001 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 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. This equates to an **Outstanding** rating on this performance measure.

One of the expectations for this measure is that the frequency and severity rates will have a downward trend for the year. The rates for both measures for this year, though still below the 5-year average, are increasing. One year's statistics is a relatively short trend and no single cause or weakness in the accident prevention program is identified. It is expected these rates will decrease in the next year. The numerical score, 3.60, is a result of the upward trend in both accident rates for the performance period.

Performance Rating (Adjectival): Outstanding	3.60
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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: 4.0**
 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 2001, the performance period is January 1, 2000 to December 30, 2000; i.e. calendar year 2000.
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 calendar year 2000, 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:

ESHD did not perform an independent evaluation of this performance measure. Based on an agreement between ESHD and SSO, ESHD defaults to the SLAC evaluation unless there is documented evidence indicating that evaluation is not accurate. The SLAC evaluation indicates that the number of occurrences is equal to or less than 50% of the most recent three-(3)-calendar-year running average of four (4). (Steve Lasell)

Performance Rating (Adjectival): 1Excellent	3.50
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Performance Measure: 1.3.b**Available Points: 4.0**

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 2001, the performance period is January 1, 2000 to December 31, 2000; i.e., calendar year 2000 (CY 2000).
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:

ESHD did not perform an independent evaluation of this performance measure. Based on an agreement between ESHD and SSO, ESHD defaults to the SLAC evaluation unless there is documented evidence indicating that evaluation is not accurate. The SLAC evaluation indicates that all criteria have been met for the **Excellent** performance gradient. (Steve Lasell)

Performance Rating (Adjectival): Excellent	3.50
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Performance Measure: 1.3.c	Available Points: <u>1.0</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:

ESHD did not perform an independent evaluation of this performance measure. Based on an agreement between ESHD and SSO, ESHD defaults to the SLAC evaluation unless there is documented evidence indicating the evaluation is not accurate. The SLAC evaluation indicates that the **Outstanding** performance gradient has been met; however, since the GERT individual dose investigations were held in abeyance (thus not officially completed) the point value was decreased. (Steve Lasell)

Performance Rating (Adjectival): Outstanding	3.60
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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 current three (3) year running average is one (1).

Performance Assumptions:

1. For FY 2001, the performance period is October 1, 2000 through September 30, 2001.
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:

ESHD did not perform an independent evaluation of this performance measure. Based on an agreement between ESHD and SSO, ESHD defaults to the SLAC evaluation unless there is documented evidence indicating the evaluation is not accurate. The SLAC evaluation indicates that no occurrences resulted and therefore they meet the **Outstanding** performance gradient. (Steve Lasell)

Performance Rating (Adjectival): Outstanding	4.00
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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: 1.0**
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 average response time to each alarm was 2:52 minutes. Eighty percent of their response time is less than 4 minutes with 90% below 5 minutes. Based upon the performance gradient, this is an **Excellent** rating on response time.

Performance Rating (Adjectival): Excellent 3.50

Performance Measure: 1.5.b	Available Points: 3.0
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:

The PAFD has conducted 95% of their building inspections through June 2001. Most of the fire fighters at SLAC then retired leaving the site with new fire fighters. The new firefighters conducted other required training and site familiarization activities and were not able to complete all of the required building inspections between June and September 2001. Therefore, the 80%-89% completion rate equates to a good rating.

Performance Rating (Adjectival): Good	2.80
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Performance Measure: 1.5.c

Available Points: 3.0

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:

The SLAC fire marshal has review 100% of this required documents and building design drawings, which equates to an **Outstanding** for this performance gradient.

Performance Rating (Adjectival): Outstanding

4.00

Performance Measure:	1.5.d	Available Points:	1.0
<p>SLAC shall inspect, test and maintain its fire protection system in accordance with the SLAC Fire Protection Maintenance Testing and Inspection schedules and procedures. Track and trend on the SLAC maintenance system.</p>			

Performance Gradient:

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

Performance Narrative:

The SLAC fire protection maintenance personnel has inspected, tested and maintained 90% of SLAC's scheduled fire protection systems, which equates to an **Excellent** rating.

Performance Rating (Adjectival):	Excellent	3.60
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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: 8.0

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 2001, the performance period is January 1, 2000 to December 31, 2000; i.e. calendar year 2000 (CY 2000).

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 2000, the cumulative dose that a maximally exposed hypothetical neighbor could receive from SLAC operations was estimated to be 5.662 mrem, of which direct radiation dose contributed 5.630 mrem and airborne radiological emissions contributed 0.032 mrem (0.05662 mSv). The majority of the dose is from direct radiation. This increase from 4.48 mrem in 1999 is attributable to increased accelerator operations. Although the increase resulted in a drop from Outstanding in FY00 to Excellent for FY01, the dose remains less than the 10 mrem level requiring reporting to DOE Headquarter in accordance with DOE Order 5400.5.

Radiological Emissions

Air Emissions: Using conservative calculations, SLAC airborne emissions in 2000 were reported to be a combined 27 curies of the short-lived gases C-11, N-13, O-15, and Ar-41. Using computer code CAP88-PC, the resulting dose to the Maximally Exposed Individual, or MEI (located near Sand Hill Road on the North/Northeast side of the SLAC facility) from this 27 curies is about 0.0321 mrem/year. This dose is less than 1% of the allowable EPA annual limit of 10 mrem/year to the MEI.

Sanitary Sewer: Currently, the only measurable radioactive materials discharged to the sanitary sewer at SLAC are small quantities of tritium present in low conductivity water (LCW). Tritium cannot be removed from water. SLAC has sampled and analyzed all batches of LCW prior to discharge since 1993. During 2000, the total quantity of tritium discharged to the sanitary sewer was approximately 2.4 mCi. This discharge is approximately 0.05% of the annual discharge limit of 5 Curies, and is less than the 1999 discharge quantity.

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

The overall rating applicable for FY01 is **Excellent**, in the higher end of the range.

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

Environmental violations and releases will be adequately controlled.

Performance Measure: 2.2.a

Available Points: 8.0

Environmental incidents will be tracked and measured. These will include: 1) Formal violations, 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 October 1, 2000 to September 30, 2001.
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 0.25 to 1 will be applied to all counted incidents SLAC and DOE technical counterparts will jointly determine weighting factors for incidents.

Weighting factors are generally defined to be:

- 1.0 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).
 - 0.50 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:

For the performance period of 10/1/00 – 9/30/01, there were no regulatory violations, but there were a total of three water/sewage spills that met criteria of incidents to be tracked under this measure. These spills, and the weighting factor agreed to by SLAC and DOE, are shown below.

Date	Material Spilled	Approx. Amount	Source	Weighting Factor
03/05/01	Cooling Tower Water	80,000 gal.	Broken Cooling Tower line	1
04/10/01	Cooling Tower Water	13,400 gal.	Ruptured Cooling Tower line	2 (repeated occurrence)
08/22/01	Cooling Tower Water	20,000 gal.	Ruptured coupling	1

The weighting factor increased to 2 for the second spill due to it meeting the criteria for a repeated minor occurrence. The third spill was of a different origin and thus is not categorized as repeated. There were at least six additional spills which did not require offsite notification of regulatory agencies, and thus did not meet the criteria of this measure. There were no other environmental incidents in FY01 that meet the criteria of this measure. All routine monitoring analysis were within permitted regulatory limits.

The FY01 rating is calculated as follows:

$$\text{Sum of the weighting factors} = 1 + 2 + 1 = 4$$

Overall weighted score = $4/4 = 1.00$.

This score is within the **Excellent** range of the gradient for FY01.

Performance Rating (Adjectival): Excellent	3.50
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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 2005.

Performance Assumptions:

1. The performance period is October 1, 2000 through September 30, 2001.
2. DOE's pollution prevention goals (Department-wide) by waste type are defined as follows:
 - Reduce by 90% the generation of hazardous waste from routine operations by the year 2005;
 - Recycle 45% of non-hazardous waste from routine operations by the year 2005.
3. SLAC's contribution to the DOE goals stated above are:
 - Reduce generation of hazardous waste from routine operations by 90% by the year 2005, using 1993 as a baseline; and,
 - Recycle 45% of non-hazardous waste from routine operations by the year 2005.
4. The annual performance assessment will not be used solely on the achievement or lack thereof of the numerical goals. The performance rating will take into account the commitment and effectiveness of SLAC management toward achieving the numerical goals.
5. DOE and SLAC may negotiate mid-year adjustments to the SLAC waste reduction and recycling goals.
6. 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.

7. 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.
8. The effect of the July 13, 2000 DOE moratorium on the release of surplus and scrap metals for recycling will be factored into determining the performance rating for this measure.

Performance Gradient:

Rating	RHW Goals Achieved Waste Reduction (%)	NHW Goals Achieved Recycling (%)
Outstanding:	>58	≥ 36
Excellent:	52 to 57	30 to 35
Good:	46 to 51	24 to 29
Marginal:	41 to 46	19to 23
Unsatisfactory:	≤ 40	≤ 18

Performance Narrative:

The overall rating assigned to this performance measure is **Outstanding** based on an assessment of SLAC's progress toward meeting the DOE pollution prevention goals for hazardous waste and sanitary waste for the year 2005. The performance gradients for reductions in routinely-generated hazardous waste and percent recycling of sanitary waste are identified in the performance assumption for this measure. In FY01, routinely generated hazardous waste was reduced by 65%, and 52% recycling of sanitary waste was achieved.

Performance Rating (Adjectival): Outstanding	3.90
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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:

- 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. 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, et cetera.
3. 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.
4. 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.
5. Class 1 violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.
6. 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 **Outstanding** based on the documentation of compliance with DOE Orders and federal, state and local laws and regulations pertaining to hazardous waste management. Data used for assessing SLAC's FY01 performance on this measure was obtained from the results of SLAC's internal independent audit and documented DOE operational awareness activities. The evaluation of the cost effectiveness of expenditures in the waste management program was based on the funding profile for the hazardous waste program approved by the SSO at the beginning of the year.

The SLAC Waste Management Department demonstrated substantial compliance with federal, state and local laws and regulations based on the results of an internal independent audit report, dated April 2001, for those waste management activities in the Centralized Waste Management Area. The San Mateo County Division of Environmental Health did not conduct a formal inspection of waste management activities at the site during the assessment period. No Class I or equivalent violations were documented as a result of SSO operational awareness activities conducted during the assessment period. The budget for waste management activities was expended in a cost-effective manner. Funding resulting from increased program efficiencies was used for other high priority ES&H projects including installation of a roof over the Rinse Water Treatment Plant, purchase of a secondary containment vacuum truck and continued work on the illicit storm drain connection program. Management systems have been demonstrated to be effective and overall program performance remains high.

Performance Rating (Adjectival): Outstanding	3.80
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Performance Measure: 3.2.b

Available Points: 4.0

Low level waste generated will be managed in compliance with applicable DOE Orders and regulatory requirements and the budget expended cost effectively.

Performance Gradient:

Outstanding:

Compliance with applicable orders and regulations; budget expended cost effectively and demonstrated efforts/accomplishments to improve the program.

Excellent:

Compliance with applicable orders, regulations and budget expended cost effectively.

Good:

Level III non-compliance with applicable orders and regulations and budget expended cost effectively.

Marginal:

Level II non-compliance observation as defined below.

Unsatisfactory:

Level I non-compliance observation as defined below.

Performance Assumption:

1. Definition of Non-compliance level.

Level I: Observation of non-compliance perceived to be an imminent danger or significant safety hazard to workers or the public, or poses a significant threat to the environment.

Level II: Observation of non-compliance that indicates that management system(s) are not in control.

Level III: Observation of non-compliance that is or perceived to be in violation of DOE Orders, or other applicable regulations, but can be demonstrated that management system(s) are in control.

2. Assessment of levels of non-compliance is based on observations/findings by DOE, external regulators, or through SLAC internal, independent assessment.

3. 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.
4. Violations of waste accumulation time requirements for combined (mixed) waste will be considered on a case-by-case basis.

Performance Narrative:

The overall rating assigned to this performance measure is **Excellent** based on the documentation of compliance with DOE Orders and regulatory requirements pertaining to low-level waste management. Data used for assessing SLAC's performance on this measure was obtained from the results of SLAC's internal independent audit, dated April 2001, and documented DOE operational awareness activities. The evaluation of the cost effectiveness of expenditures in the waste management program was based on the funding profile for the low-level waste program approved by the SSO at the beginning of the year.

The SLAC Occupational Health Physics Department demonstrated substantial compliance with DOE Orders and regulatory requirements based on the results of an internal independent audit report and DOE operational awareness activities for low-level waste management activities. Although, SLAC demonstrated substantial compliance with DOE Orders and regulatory requirements, four containers of low-level waste were not accepted for disposal at the DOE Hanford facility and were subsequently returned to SLAC for removal of lead-contaminated filler material. The boxes were repackaged without the lead-contaminated filler material and were then successfully disposed at Hanford. During the assessment period, SLAC made substantial progress toward eliminating the existing inventory of mixed waste and will be submitting a plan to the SSO to address implementation of a long-term plan to ensure compliance with regulatory requirements pertaining to storage time.

Overall, management systems have been demonstrated to be effective and overall program performance remains high. Cost expenditures within the program continue to be well within the agreed-upon funding profile approved by the SSO at the beginning of the fiscal year.

Performance Rating (Adjectival): Excellent	3.50
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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: 5.0

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, 2000, 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 the maximum amount credited in this category even though total task points available may be more than 40. Five points will be awarded for the completion of each task. 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	Percent of budget spent	Points
92% or Greater	10	87%	5
91%	9	86%	4
90%	8	85%	3
89%	7	84%	2
88%	6	83%	1

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:

SLAC has completed the following seven tasks listed in the March 14, 2001 agreement: LSY well installation, IR-6 risk assessment, Research Yard surface decontamination, design of FSUST hydraulic containment system, install & test FSUST system, Plating Shop risk assessment, and FHWSA risk assessment. The other three tasks: revise FSUST RI/FS reports, revise TL/CL RI report, and FHWSA analysis of remedial alternatives were not completed. The FHWSA remedial alternatives evaluation was postponed, by agreement with DOE, due to limited FY01 funding. As provided for in the task list agreement, a substitute task, complete the Substation 505 and CID assessment, was chosen and completed in lieu of the FHWSA task. SLAC has completed seven of the ten tasks from the

agreement plus the substituted task for a total of eight. Therefore, the maximum of forty points was earned for task completion.

The budget was effectively managed to take advantage of the funds available as 97% of the budget was spent or committed for subcontractor work. The vast majority of outstanding commitments was for work in progress that spanned FY01 and FY02. There was only \$87K of uncommitted carryover out of the \$2,501K funds authorized for FY01. Therefore, the maximum of 10 points was earned for this element.

In the project management effectiveness element, the project was successfully managed to avoid compliance or other regulatory enforcement issues. SLAC's technical expertise continues to be applied to make progress against the schedule. An independent Technical Assistance Team (TAT) reviewed the SLAC project and praised SLAC for "sound remedial action decisions" and "excellent resource management." SLAC is using the technical advice provided by the TAT to explore some additional technical options. Opportunities for improvement include:

- Field work on the 1.0/1.5 MWPS removal action was completed last fall but the issuance of the report was significantly later than scheduled and no post project evaluation has been completed to-date. This is one of three Management Commitment Milestones between DOE/OAK and EM/HQ. The other two Management Commitment Milestones (FSUST pilot test and IR-6/8 Assessment) were also completed late, but to a much lesser degree.
- Revisions to the project's Standard Operating Procedures and Quality Assurance Project Plan were commenced early in the year but have not been completed. These types of documents need to be maintained up-to-date to improve the likelihood of a safe and reliable program.
- The development of a revised baseline, that captures the complete scope of work that must be completed before the transition to long-term stewardship, has not progressed as quickly as requested. The timeliness of receiving the baseline cost and schedule information is of concern because of the impacts to other DOE projects and commitments that were previously made.

Six out of ten points have been earned for this element as four points were deducted for the 1.0/1.5 MWPS (1.5), SOPs/QAPP (0.5), and baseline (2.0).

Overall, 56 points were earned for this performance measure so a rating of **Outstanding** has been achieved. The points are only used to determine the rating (i.e., Outstanding) and not the associated score for that rating.

Performance Rating (Adjectival): Outstanding

3.70

Performance Objective 4.0

SLAC effectively integrates ISM into all management and work practices at institutional, site, and activity levels so that missions are accomplished while protecting the worker, the public and the environment.

Performance Criteria: 4.1

SLAC systematically integrates the seven Integrated Safety Management System (SMS) Guiding Principles (GP) and five Core Functions into all management system and work practices at the institutional, site, and activity levels.

Performance Measure: 4.1a

Available points: 40.0

SLAC effectively implement Integrated Safety Management in its management systems and work practices at the institutional, site, and activity levels.

The DOE Annual Review process for demonstrating accomplishment of the performance objective will be used on a jointly conducted review by DOE and SLAC of contractor management systems or work elements falling into the following categories: 1) research projects and associated support operations 2) infrastructure projects and associated support operations and activities and 3) other routine support operations and maintenance activities. DOE and SLAC will identify for review each quarter one activity from the three categories identified above

The activity identified by DOE and SLAC will be subject to review by a team composed of no less than two representatives each from DOE and SLAC. At a minimum, the review team will include a representative from the Stanford Site Office (SSO), an OAK subject matter expert as needed, a representative from the SLAC ES&H Division and a cognizant SLAC line manager. Other DOE or SLAC subject matter experts or line organization representative may be also included on the review team to provide technical support if appropriate based on the scope and complexity of the reviews. Review team members are expected to have demonstrated knowledge about ISM.

Although the Annual Review Process will be conducted jointly, the results of the quarterly review will be used by DOE to independently document completion of the DOE Annual Review requirement for determining the overall effectiveness of ISMS implementation at SLAC. SLAC may also choose to independently use the data generated from the quarterly review for the SLAC annual self-assessment report on SLAC's performance against the measure.

The scope of the Annual Review may include, but is not limited to, review of site policies and procedures and their implementation, interviews of line managers, workers and subcontractors, data generated from SLAC's internal tracking systems and other documented work process products.

A number of other factors may be considered to determine the extent of success against the measure gradient independent of the specific quarterly review process. This includes results of program/project reviews, SLAC self-assessment (including results of internal independent assessments), ongoing DOE Operational Awareness activities conducted throughout the year, For Cause Reviews by DOE and any external reviews.

The intent of this performance measure is to evaluate how effectively the ISMS guiding principles and core functions are integrated into management systems and work practices at the institutional, site and activity levels; and to determine to what extent SLAC is fostering continuous improvement in ISM implementation through integration of the guiding principles and core functions in line organization activities, implementation of line organization of an effective lessons learned program, development of safety performance objectives and key ISM performance indicators and implementation of appropriate corrective actions. The degree of success in meeting the process measure gradients will be based on the collective results of the DOE and SLAC reviews conducted during the DOE fiscal year.

The review will consider the following when documenting the site's performance against the measure:

- Vertical and horizontal integration of safety management systems.
- Flow down of ISM requirements in SLAC contracts and other site documentation.
- Implementation of line organization self-assessments.
- Processes are in place that ensures feedback and continuous improvement.
- Establishment and tracking/trending of key safety indicators and metrics.

Performance Assumptions:

1. Rating period is October 1, 2000 to September 30, 2001.
2. DOE and SLAC will meet during the annual ES&H performance assessment process to discuss the evaluations from each of the ISM quarterly reviews and assign an overall performance rating for this performance measure.
3. SLAC will independently incorporate the results from the ISM quarterly reviews into the Laboratory's annual self-assessment report on all performance measures.
4. The final overall rating for this measure will be based on the aggregate results from the quarterly ISM reviews.

Performance Gradient:

The Gradients will be based on an assessment of the effectiveness of performance against the seven elements described in Section 5 of the SLAC Safety Management System (SLAC-I-720-OA00B-001). These elements are implementation of ISMS:

1. Guiding Principles 1 and 2;
2. Guiding Principle 3;
3. Guiding Principle 4 and Core Function 1;
4. Guiding Principle 5;
5. Guiding Principle 6 and Core Functions 2 and 3;
6. Guiding Principle 7 and Core Function 4;
7. Core Function 5.

Each activity reviewed will be scored on its effectiveness in implementing each element (i.e. effective or not effective). Each activity will then be given a gradient evaluation according to the following:

Outstanding: at least 6 of ISM 7 elements demonstrated to be effectively implemented
 Excellent: at least 5 of 7 ISM elements demonstrated to be effectively implemented
 Good: at least 4 of 7 elements demonstrated to be effectively implemented.
 Marginal: at least 3 of 7 elements demonstrated to be effectively implemented.
 Unsatisfactory: <3 of 7 ISM elements demonstrated to be effectively implemented.

The final overall rating for this performance measure will be determined as the average of the ratings of each individual activity assessed.

Performance Narrative:

In FY01, four ISMS reviews covering construction subcontracting, Final Focus Test Beam (FFTB) experiments, Stanford Synchrotron Radiation Laboratory (SSRL) Beam Line Operations, and Site Engineering and Maintenance (SEM) activities were conducted by joint DOE and SLAC review teams. In total, 11 noteworthy practices, 45 strengths and 27 opportunities for improvement were documented by the four review teams. Furthermore, for each of the ISMS reviews conducted in FY01, SLAC was able to demonstrate effective implementation of at least six of the seven elements identified in the performance measure gradient.

Although SLAC achieved an "Outstanding" overall rating on the four quarterly ISMS reviews, the performance measure also allows DOE to consider other factors to determine the extent of success against the performance measure gradient independent of the results of the quarterly ISMS reviews. These factors may include the results of program/project reviews, SLAC self-assessments, ongoing DOE Operational Awareness activities, For Cause Reviews and any external reviews.

On June 22, 2001, the SSO Director initiated a Stop Activity action at the Building 33 (GLAST Clean Room) after validating internal documentation by a SLAC construction safety inspector of serious safety concerns related to the performance of construction activities by a SLAC contractor and implementation of SLAC's subcontractor oversight process. SSO subsequently required SLAC to investigate and submit a corrective action plan to address: 1) effectiveness of the SLAC site-wide

implementation of Stop Activity/Stop Work authority, 2) adequacy of the overall SLAC subcontractor oversight program by SLAC personnel in line management, project and support divisions and 3) adequacy of current SLAC contractor pre-qualification requirements and safety documentation required for bid package specifications prior to contract award. The corrective action plan has been submitted by SLAC and completion of the corrective action milestones will be monitored by the SSO in FY02.

Based upon the Building 33 safety issues and apparent site-wide weaknesses related to effective implementation of components of the SLAC safety management system, the overall rating for this performance measure for the performance period FY01 has been designated **Excellent**.

Performance Rating (Adjectival): Excellent

3.50



APPENDICES

Assessment Report Methodology

FY 2001 Annual Performance Assessment for Stanford Linear Accelerator Center Report Methodology

1. 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.

2. 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.

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

- a. 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

Personnel 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 60 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.

B. SCORE SUMMARY
Stanford Linear Accelerator Center

FUNCTIONAL AREA	AVAILABLE POINTS	SCORING FACTOR	ADJECTIVE
SCIENCE AND TECHNOLOGY			
High Energy Physics	500.0	1858.0	OUTSTANDING
Synchrotron Radiation	100.0	393.0	OUTSTANDING
SCIENCE AND TECHNOLOGY TOTAL	600.0	2251.0	OUTSTANDING
BUSINESS MANAGEMENT			
Equal Opportunity and Affirmative Action	15.0	34.5	GOOD
Personnel Management	35.0	115.5	EXCELLENT
Financial Management	55.0	183.7	EXCELLENT
Communications & Public Affairs	10.0	30.0	EXCELLENT
Personal Property	30.0	108.9	OUTSTANDING
Procurement	25.0	96.7	OUTSTANDING
Projects/Facilities Management	60.0	192.8	EXCELLENT
Information Management	30.0	102.0	EXCELLENT
Safeguards and Security	20.0	76.0	OUTSTANDING
Technology and Intellectual Property Management	10.0	34.5	EXCELLENT
Environment Safety and Health	110.0	395.1	EXCELLENT
BUSINESS MANAGEMENT TOTAL	400.0	1369.7	EXCELLENT
TOTAL OVERALL LABORATORY SCORE	1000.0	3620.7	OUTSTANDING

**Appendix C - SCORE SUMMARY
Stanford Linear Accelerator Center**

FUNCTIONAL AREA		AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
SCIENCE AND TECHNOLOGY		600.0		2251.00
A	HIGH ENERGY PHYSICIS	500.0	N/A	1858.00
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	3.8	456.00
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	3.7	740.00
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	3.9	312.00
B	SYNCHROTRON RADIATION	100.0	N/A	393.00
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	3.9	117.00

**Appendix C - SCORE SUMMARY
Stanford Linear Accelerator Center**

FUNCTIONAL AREA	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
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	3.9	78.00
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	30.00	4.0	120.00

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
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	3.5	14.00
3.3 Environmental Restoration			
3.3.a Current Year Work Plan	5.0	3.7	18.50
PERFORMANCE OBJECTIVE #4	Systematically Integrates ES&H		
4.1 SMS Implementation			
4.1a Enhanced SMS	40.0	3.5	140.00

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
1.5.a Fire Department Response Time	1.0	3.5	3.50
1.5.b Fire Protection Surveys	3.0	2.8	8.40
1.5.c Design Reviews	3.0	4.0	12.00
1.5.d Design Reviews	1.0	3.6	3.60
PERFORMANCE OBJECTIVE #2 Environmental Protection			
2.1 Control Public Exposures			
2.1.a Radiation Exposures	8.0	3.5	28.00
2.2 Control Environmental Exposures			
2.2.a Environmental incidents will be tracked and measured	8.0	3.5	28.00
PERFORMANCE OBJECTIVE #3 Waste Management			
3.1 Minimize Waste			
3.1.a Progress towards DOE pollution prevention goals for FY 2000	5.0	3.9	19.50

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
ENVIRONMENT, SAFETY & HEALTH	110.0		395.10
PERFORMANCE OBJECTIVE #1 Personnel Protection			
1.1 Control Exposure to Personnel			
1.1.a An Industrial Hygiene exposure prevention is in place	8.0	4.0	32.00
1.2 Control Lost Workday Rates			
1.2.a Total Recordable Cases/Lost Work Days baseline comparison	8.0	3.6	28.80
1.3 Exposure of personnel to ionizing radiation will be adequately controlled			
1.3.a Unplanned radiation exposures...are managed and minimized	4.0	3.5	14.00
1.3.b Occupational radiation doses to individual from DOE activities...are not exceeded	4.0	3.5	14.00
1.3.c Lost or unreturned dosimeter investigations...are carried out in timely manner...	1.0	3.6	3.60
1.4 Control Radioactive Material			
1.4.a Reportable Occurences	3.0	4.0	12.00
1.5 Fire Protection			

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
TECHNOLOGY AND INTELLECTUAL PROPERTY	10.0		34.50
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	3.2	16.00
1.2 Collaborative R&D Projects			
1.2.a Collaborative R&D Proj. provide benefit to DOE, SLAC, the scientific comm	5.0	3.7	18.50

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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...			
1.1 Thru cost effect. utiliz. tools and procedure est. S&S program min. incidents...			
1.1.a Number of security incidents and loss amounts reported	10.0	3.8	38.00
2.1 Thru documented deficiency management insure corrective actions...			
2.1.a Percent of on-schedule corective actions resulting from findings/issues.	Not Rated		
3.1 Thru documented unclassified computer security program ensure...			
3.1.a The extent to which vulnerabilities are reduced.	10.0	3.8	38.00

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
INFORMATION MANAGEMENT	30.0		102.00
PERFORMANCE OBJECTIVE #1 Information Management Program			
1.1 IM Systems and Programs Operations			
1.1.a Operational effectiveness of IM Systems & programs, including measurable...	15.0	3.3	49.50
1.1.b Effectiveness of IM Systems & programs in meeting customer requirements	15.0	3.5	52.50

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
2.2.a Total Estimated Cost	4.0	3.4	13.60
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	5.0	3.6	18.00
3.2 Maintenance Index			
	19.0	2.9	55.10
PERFORMANCE OBJECTIVE #4 Energy Management			
4.1 Use Energy Efficiently			
4.1.a Current FY energy goals accomplished/goals scheduled	7.0	3.3	23.10
PERFORMANCE OBJECTIVE #5 Physical Assets Planning			
5.1 Comprehensive Integrated Planning Process			
5.1.a Effectiveness of Planning Process	10.0	3.0	30.00

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
FACILITIES MANAGEMENT	60.00		192.80
PERFORMANCE OBJECTIVE #1 Real Property Management			
1.1 Office Space Utilization			
1.1.a GSA Standard	4.0	4.0	16.00
1.2 Substandard Building Space			
1.2.a Actual Square feet of substandard building space...	4.0	3.8	15.20
1.3 Real Property Management			
1.3.a Program Implementation	2.0	3.9	7.80
PERFORMANCE OBJECTIVE #2 Property Management			
2.1 General Plant Projects(GPP)			
2.1.a Number of milestones completed on schedule and within budget.	5.0	2.8	14.00
2.2 Construction Project Cost			

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
2.5 Acquisition Process			
2.5a Average Cycle Time	4.0	4.0	16.00
2.6 Socio-economic Subcontracting			
2.6a Meeting Socio-Economic Commitments	Not Rated		
PERFORMANCE OBJECTIVE #3 Managing Financial Aspects			
3.1 Process Cost			
3.1a Cost to Spend Ratio	3.0	4.0	12.00
PERFORMANCE OBJECTIVE #4 Learning and Growth			
4.1 Employee Feedback			
4.1a Employee Satisfaction Rating	1.0	4.0	4.00
4.2 Employee Alignment			
4.2a Validate Alignment of Goals	1.0	4.0	4.00
4.3 Information Availability			
4.3a Measuring Availability of Information	2.0	4.0	8.00

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
PROCUREMENT	25.0		96.70
PERFORMANCE OBJECTIVE #1			
Customer Satisfaction			
1.1 Customer Focus			
1.1.a Customer Satisfaction Rating	5.0	4.0	20.00
PERFORMANCE OBJECTIVE #2			
Mgmt. Of Internal Bus. Process			
2.1 System Evaluation			
2.1.a Assessing System Operations	4.0	3.8	15.20
2.2 Manage Suppliers			
2.2a Measuring Supplier Performance	1.0	1.9	1.90
2.3 Effective Utilization of Alternative Procurement Approaches			
2.3a Traditional Purchasing Activities Transferred	1.0	3.6	3.60
2.4 Streamlined Processes			
2.4a Improvements to the Acquisition Processes	3.0	4.0	12.00

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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	3.0	3.3	9.90
PERFORMANCE OBJECTIVE #5 Information to Improve/Maintain Process			
5.1 Self Assessment of Policies and Procedures			
5.1.a Assessing Support Process	5.0	3.8	19.00
PERFORMANCE OBJECTIVE #6 Cost Efficiency			
6.1 Performance/Cost Efficiency			
6.1.a Measuring Cost Efficiency/Effectiveness	2.0	3.2	6.40
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
PERSONAL PROPERTY	30.0		108.90
PERFORMANCE OBJECTIVE #1 Accountability of Personal Property			
1.1 Equipment Inventory			
1.1.a Equipment Inventory Results	6.0	4.0	24.00
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	3.3	9.90
PERFORMANCE OBJECTIVE #3 Utilization of Property			
3.1 Vehicle Utilization Program			
3.1.a Measure Vehicle Utilization	3.0	3.7	11.10
PERFORMANCE OBJECTIVE #4 Customer Satisfaction			

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
COMMUNICATION AND PUBLIC AFFAIRS	10.0		30.00
PERFORMANCE OBJECTIVE #1			
1.1 Information sharing, hosting public events, participation in events...			
1.1.a Various customer feedback methods	10.0	3.0	30.00

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	PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
	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	2.9	5.80
6.1.b	SLAC will adequately complete and provide to DOE CAS Disclosure Statement...	7.0	2.9	20.30
6.1.c	SLAC prepares & submits the Functional Support Cost Report (FCS) in accordance with...	5.0	2.9	14.50

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			AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
	PERFORMANCE OBJECTIVE				
2.3	Costs and Commitments of all programs...are managed properly				
2.3.a	Ensure costs & commitments are properly reported and within DOE-authorized...		8.0	3.5	28.00
	PERFORMANCE OBJECTIVE #3	Effective Internal Controls/Audit Findings...			
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		2.0	3.5	7.00
3.1.b	Controls are in place to ensure that travel costs reported are accurate		2.0	3.6	7.20
	PERFORMANCE OBJECTIVE #4	Ensure Acctg. Data is Recorded Accurately & 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...		5.0	3.5	17.50
4.2	FY 1999 Financial Statements hold up under audit by DOE/OIG or Stanford...				
4.2.a	Prepare for FY 1999 audited financial statements in accordance with DOE requirements		6.0	3.5	21.00
	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...		4.0	3.6	14.40

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	PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
FINANCIAL MANAGEMENT		55.0		183.70
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...	2.0	4.0	8.00
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.	2.0	4.0	8.00
PERFORMANCE OBJECTIVE #2		Quality Budget Formulation & Effective Execution		
2.1	Budgets are submitted timely			
2.1.a	Supportable budgets submissions meet due dates, follow form, include all...	5.0	3.5	17.50
2.2	Manage uncosted balances			
2.2.a	Reduce or maintain uncosted balances within criteria established by the DOE	5.0	2.9	14.50

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
HUMAN RESOURCE MANAGEMENT	35.0		115.50
PERFORMANCE OBJECTIVE #1 Attraction/Retention of Qualified People			
1.1 Direct Compensation Program			
1.1.a Average Salary	10.0	2.9	28.50
1.2 Indirect Compensation			
1.2.a Benefit Program	5.0	3.5	17.50
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	2.8	14.00
PERFORMANCE OBJECTIVE #3 Personnel Policy Compliance			
3.1 Personnel Policy Compliance			
3.1a Training and Employee Relations	15.0	3.7	55.50

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PERFORMANCE OBJECTIVE	AVAILABLE POINTS	SCORING FACTOR	WEIGHTED POINT SCORE
EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION	15.0		34.50
PERFORMANCE OBJECTIVE #1 Equal Opportunity & Affirmative Action			
1.1 Program Development and Maintenance			
1.1.a Compliance Standing and Operational Awareness	15.0	2.3	34.50