



Department of Energy

Office of Science
Chicago Office
9800 South Cass Avenue
Argonne, Illinois 60439

Dr. Alan Goldman
Ames Laboratory
Iowa State University
Ames, Iowa 50011-3020

Dear Dr. Goldman:

SUBJECT: MODIFICATION NO. M006 TO CONTRACT NO. DE-AC02-07CH11358

Enclosed for Your Execution are four **unsigned** copies of the subject modification. The modification incorporates the FY 2007 Appendix B Performance Evaluation Measurement. You must sign and return all four copies of the administrative modification on behalf of Iowa State University. Upon receipt of the subject signed modifications, I will sign and return one original copy that you will need for your records.

Sincerely,

A handwritten signature in black ink, appearing to read "Thomas Harrison".

Thomas Harrison, Contracting Officer
Ames Site Office

Enclosure:
As Stated

cc: M. Murphy, Ames, enclosed



AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT			1. CONTRACT ID CODE	PAGE OF PAGES 1 1
2. AMENDMENT/MODIFICATION NO. M006	3. EFFECTIVE DATE See Block 16 C.	4. REQUISITION/PURCHASE REQ. NO. N/A	5. PROJECT NO. (If applicable) N/A	
6. ISSUED BY U.S. Department of Energy Chicago Operations/Ames Site Office 9800 South Cass Avenue Argonne, IL 60439		7. ADMINISTERED BY (If other than Item 6) Code M006		
8. NAME AND ADDRESS OF CONTRACTOR (No. street, county, State and ZIP Code) Iowa State University 125 Beardshear Hall Ames, IA 50011-3020		(✓)	9.A. AMENDMENT OF SOLICITATION NO.	
CODE N/A FACILITY CODE N/A			9.B. DATED (SEE ITEM 11)	
			10.A. MODIFICATION OF Contract/Order NO. DE-AC02-07CH11358	
			10.B. DATED (SEE ITEM 13) January 1, 2007	
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS				

The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers is extended, is not extended.

Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing Items 8 and 15, and returning ___ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGEMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)
N/A

13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS, IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.

B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(B).


C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
Mutual Agreement of the Parties

D. OTHER (Specify type of modification and authority)

E. IMPORTANT: Contractor is not, is required to sign this document and return 4 copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section heading, including solicitation/contract subject matter where feasible.)

See Page No. 2 of this modification.

15A. NAME AND TITLE OF SIGNER (Type or print) Warren R. Madden Vice President for Business and Finance		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Thomas Harrison, Contracting Officer	
15B. CONTRACTOR/OFFEROR	15C. DATE SIGNED 04/22/07	16B. UNITED STATES OF AMERICA BY 	16C. DATE SIGNED 5/8/2007
<i>(Signature of person authorized to sign)</i>		<i>(Signature of Contracting Officer)</i>	

Contract No. DE-AC02-07CH11358
Section J
Appendix B
Modification M006

FY 2007

**CONTRACTOR PERFORMANCE EVALUATION AND
MEASUREMENT PLAN**

FOR

MANAGEMENT AND OPERATIONS OF THE

AMES LABORATORY



U.S. DEPARTMENT OF ENERGY
AMES SITE OFFICE

ATTACHMENT J.2

APPENDIX B

PERFORMANCE EVALUATION MEASUREMENT PLAN

**Applicable to the Operation of
Ames Laboratory**

Contract No. DE-AC02-07CH11358

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INTRODUCTION

This document, the Performance Evaluation and Measurement Plan (PEMP), primarily serves as DOE's Quality Assurance/Surveillance Plan (QASP) for the evaluation of Iowa State University (hereafter referred to as "the Contractor") performance regarding the management and operations of the Ames Laboratory (hereafter referred to as "the Laboratory") for the evaluation period from January 1, 2007, through September 30, 2007. The performance evaluation provides a standard by which to determine whether the Contractor is managerially and operationally in control of the Laboratory and is meeting the mission and requirement performance expectations/objectives of the Department as stipulated within this contract.

This document also describes the distribution of the total available performance-based fee and the methodology for determining the amount of fee earned by the Contractor as stipulated within the clauses entitled, "Conditional Payment of Fee, Profit, and Other Incentives – Facility Management Contracts," and "Total Available Fee: Base Fee Amount and Performance Fee Amount." In partnership with the Contractor and other key customers, the Department of Energy (DOE) Headquarters (HQ) and the Site Office have defined the measurement basis that serves as the Contractor's performance-based evaluation and fee determination. The total available fee for the period January 1, 2007 to September 30 2007 is \$251,250.

The Performance Goals (hereafter referred to as Goals), Performance Objectives (hereafter referred to as Objectives) and set of Performance Measures and Targets (hereafter referred to as Performance Measures/Targets) for each Objective discussed herein were developed in accordance with contract expectations set forth within the contract. The Performance Measures for meeting the Objectives set forth within this plan have been developed in coordination with HQ program offices as appropriate. Except as otherwise provided for within the contract, the evaluation and fee determination will rest solely on the Contractor's performance within the Performance Goals and Objectives set forth within this plan.

The overall performance against each Objective of this performance plan, to include the evaluation of Performance Measures identified for each Objective, shall be evaluated jointly by the appropriate HQ office or major customer and the Site Office. This cooperative review methodology will ensure that the overall evaluation of the Contractor results in a consolidated DOE position taking into account specific Performance Measures as well as all additional information not otherwise identified via specific Performance Measures. The Site Office shall work closely with each HQ program office or major customer throughout the year in evaluating the Contractor's performance and will provide observations regarding programs and projects as well as other management and operation activities conducted by the Contractor throughout the year.

Section I provides information on how the performance rating (grade) for the Contractor, as well as how the performance-based fee earned (if any) will be determined.

Section II provides the detailed information concerning each Goal, their corresponding Objectives, and Performance Measures of performance identified, along with the weightings assigned to each Goal and Objective and a table for calculating the final score for each Goal.

Letter Grade	Numeric Grade	Definition
		areas within the purview of the Objective. Areas of notable performance have or have the potential to significantly improve the overall mission of the Laboratory. No specific deficiency noted within the purview of the overall Objective being evaluated.
A	4.0 – 3.8	Notably exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance either have or have the potential to improve the overall mission of the Laboratory. Minor deficiencies noted are more than offset by the positive performance within the purview of the overall Objective being evaluated and have no potential to adversely impact the mission of the Laboratory.
A-	3.7 – 3.5	Meets expectations of performance as set within performance measures identified for each Objective with some notable areas of increased performance identified. Deficiencies noted are offset by the positive performance within the purview of the overall Objective being evaluated with little or no potential to adversely impact the mission of the Laboratory.
B+	3.4 – 3.1	Meets expectations of performance as set by the performance measures identified for each Objective with no notable areas of increased or diminished performance identified. Deficiencies identified are offset by positive performance and have little to no potential to adversely impact the mission of the Laboratory.
B	3.0 – 2.8	Most expectations of performance as set by the performance measures identified for each Objective are met and/or other minor deficiencies are identified. Performance measures or other minor deficiencies identified are offset by positive performance within the purview of the Objective and have little to no potential to adversely impact the mission of the Laboratory.
B-	2.7 – 2.5	One or two expectations of performance set by the performance measures are not met and/or other deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C+	2.4 – 2.1	Some expectations of performance set by the performance measures are not met and/or other minor deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C	2.0 – 1.8	A number of expectations as set by the performance measures are not met and/or a number of other deficiencies are identified and although they may be somewhat offset by other positive performance, they have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C-	1.7 – 1.1	Most expectations as set by the performance measures are not met and/or other major deficiencies are identified which have or will negatively impact the Objective or overall Laboratory mission accomplishment if not immediately corrected.

S&T Performance Goal ¹	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
1.0 Mission Accomplishment			TBD%		
2.0 Construction and Operations of User Research Facilities and Equipment			TBD%		
3.0 Science and Technology Research Project/Program Management			TBD%		
Total Score					
M&O Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
4.0 Leadership and Stewardship of the Laboratory			20%		
5.0 Integrated Safety, Health, and Environmental Protection			30%		
6.0 Business Systems			20%		
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio			20%		
8.0 Integrated Safeguards and Security Management and Emergency Management Systems			10%		
Total Score					

Table A. FY 2007 Contractor Evaluation Score Calculation

Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F
Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0

Table B. FY 2007 Contractor Letter Grade Scale

Determining the Amount of Performance-Based Fee Earned:

The percentage of the available performance-based fee that may be earned by the Contractor shall be determined based on the overall weighted score for the S&T Goals (see Table A. above) and then compared to Table C. below. The overall numerical score of the M&O Goals from Table A. above shall then be utilized to determine the final fee multiplier (see Table C.), which shall be utilized to determine the overall amount of performance-based fee earned for FY 2007 as calculated within Table D.

¹ Weights will be determined following the end of the evaluation period based on the sum of each Program Offices weighting for each Goal multiplied by the percentage of FY 2007 Budget Authority for each.

Overall Fee Determination	
Percent S&T Fee Earned from Table C.	
M&O Fee Multiplier from Table C.	X
Overall Earned Performance-Based Fee	

Table D. – Final Percentage of Performance-Based Fee Earned Determination

Adjustment to the Letter Grade and/or Performance-Based Fee Determination:

The lack of performance objectives and measures in this plan do not diminish the need to comply with minimum contractual requirements. Although the performance-based Goals and their corresponding Objectives shall be the primary means utilized in determining the Contractor’s performance grade and/or amount of performance-based fee earned, the Contracting Officer may unilaterally adjust the rating and/or reduce the otherwise earned fee based on the Contractor’s performance against all contract requirements as set forth in the Prime Contract. While reductions may be based on performance against any contract requirement, specific note should be made to contract clauses which address reduction of fee including, Standards of Contractor Performance Evaluation, DEAR 970.5215-1 – Total Available Fee: Base Fee Amount and Performance Fee Amount, and Conditional Payment of Fee, Profit, and Other Incentives – Facility Management Contracts. Data to support rating and/or fee adjustments may be derived from other sources to include, but not limited to, operational awareness (daily oversight) activities; “For Cause” reviews (if any); other outside agency reviews (OIG, GAO, DCAA, etc.), and the annual 2-week review (if needed).

The adjustment of a grade and/or reduction of otherwise earned fee will be determined by the severity of the performance failure and consideration of mitigating factors. DEAR 970.5215-3 Conditional Payment of Fee, Profit, and Other Incentives – Facility Management Contracts is the mechanism used for reduction of fee as it relates to performance failures related to safeguarding of classified information and to adequate protection of environment, health and safety. Its guidance can also serve as an example for reduction of fee in other areas.

The final Contractor performance-based rating and fee earned determination will be contained within a year-end report, documenting the results from the DOE review. The report will identify areas where performance improvement is necessary and, if required, provide the basis for any performance-based rating and/or fee adjustments made from the otherwise earned rating/fee based on Performance Goal achievements.

II. PERFORMANCE GOALS, OBJECTIVES & PERFORMANCE MEASURES

Background

The current performance-based management approach to oversight within DOE has established a new culture within the Department with emphasis on the customer-supplier partnership between DOE and the laboratory contractors. It has also placed a greater focus on mission performance,

weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2007.

- Office of Advanced Scientific Computing Research (ASCR) (TBD%)
- Office of Basic Energy Sciences (BES) (TBD%)
- Office of Biological and Environmental Research (BER) (TBD%)
- Office of Workforce Development for Teachers and Scientists (WDTS) (TBD%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 1.2 below). The overall score earned is then compared to Table 1.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 1.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science Program Offices for which the Laboratory conducts work. Should one or more of the HQ Program Offices choose not to provide an evaluation for this Goal and its corresponding Objectives, the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of BA for FY 2007 as compared to the total BA for those remaining HQ Program Offices.

Objectives:

1.1 Science and Technology Results Provide Meaningful Impact on the Field

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.:

- The impact of publications on the field;
- Publication in journals outside the field indicating broad impact;
- Impact on DOE or other customer mission(s);
- Successful stewardship of mission-relevant research areas;
- Significant awards (R&D 100, FLC, Nobel Prizes, etc.);
- Invited talks, citations, making high-quality data available to the scientific community; and
- Development of tools and techniques that become standards or widely-used in the scientific community.

A to A+	Changes the way the research community thinks about a particular field; resolves critical questions and thus moves research areas forward; results generate huge interest/enthusiasm in the field.
B+	Impacts the community as expected. Strong peer review comments in all relevant areas.
B	Not strong peer review comments in at least one significant research area.
C	One research area just not working out. Peer review reveals that a program isn't going anywhere.
D	Failure of multiple program elements.
F	Gross scientific incompetence and/or scientific fraud.

Pass	Not failing; see below.
Fail	Peer reviewers not satisfied; output not meeting general scientific standards; minimal progress against FWP.

Note: The numerical grade for "Pass" is 3.8 and for "Fail" it is 0.7

1.4 Provide for Effective Delivery of Science and Technology

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Field Work Proposals (FWPs), Approved Financial Plans (AFPs), Program Office reviews/oversight, etc.:

- Efficiency and effectiveness in meeting goals and milestones;
- Efficiency and effectiveness in delivering on promises, and getting instruments to work as promised; and
- Efficiency and effectiveness in transmitting results to the community and responding to DOE or other customer guidance.

Pass	Not failing; (see numerical grades)
Fail	Peer reviewers not satisfied; significant number of milestones not met, results not delivered to community while it matters..

Note: The numerical grade for "Pass" is 3.8 and for "Fail" it is 0.7

Science Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Computing Research					
1.1 Impact			40%		
1.2 Leadership			30%		
1.3 Output			15%		
1.4 Delivery			15%		
Overall ASCR Total					
Office of Biological and Environmental Research					
1.1 Impact			30%		
1.2 Leadership			20%		
1.3 Output			20%		
1.4 Delivery			30%		
Overall BER Total					
Office of Basic Energy Sciences					
1.1 Impact			50%		
1.2 Leadership			20%		
1.3 Output			15%		
1.4 Delivery			15%		
Overall HEP Total					
Office of Workforce Development for					

² A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

2.0 Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities

The Contractor provides effective and efficient strategic planning; fabrication, construction and/or operations of Laboratory research facilities; and is responsive to the user community.

The weight of this Goal is TBD%.

The Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities Goal shall measure the overall effectiveness and performance of the Contractor in planning for and delivering leading-edge specialty research and/or user facilities to ensure the required capabilities are present to meet today's and tomorrow's complex challenges. It also measures the Contractor's innovative operational and programmatic means for implementation of systems that ensures the availability, reliability, and efficiency of these facilities; and the appropriate balance between R&D and user support.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 2.1). Final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority (BA) for FY 2007.

- Office of Basic Energy Sciences (BES) (100%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned to each of the objectives by the weightings identified for each and then summing them (see Table 2.1 below). The overall score earned is then compared to Table 2.2 to determine the overall letter grade for this Goal. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by BES.

Objectives:

2.1 Provide Effective Facility Design(s) as Required to Support Laboratory Programs (i.e., activities leading up to CD-2)

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by scientific/technical workshops developing pre-conceptual R&D, progress reports, Lehman reviews, Program/Staff Office reviews/oversight, etc.:

- Effectiveness of planning of preconceptual R&D and design for life-cycle efficiency;
- Leverage of existing facilities at the site;
- Delivery of accurate and timely information needed to carry out the critical decision and budget formulation process.; and

	DOE and takes the initiative to communicate emerging problems or issues. There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline; Reviews identify environment, safety and health practices to be exemplary.
B+	The project meets CD-2 performance measures; the laboratory provides sustained leadership and commitment to environment, safety and health; reviews regularly recognize the laboratory for being proactive in the management of the execution phase of the project; to a large extent, problems are identified and corrected by the laboratory with little, or no impact on scope, cost or schedule; DOE is kept informed of project status on a regular basis; reviews regularly indicate project is expected to meet its cost/schedule performance baseline.
B	The project fails to meet expectations in one of the areas listed under B+.
C	Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; Laboratory commitment to environment, safety and health issues is adequate; Reports to DOE can vary in degree of completeness; Laboratory commitment to the project appears to be subsiding.
D	Reviews indicate project is likely to breach its cost/schedule performance baseline; and/or Laboratory commitment to environment, safety and health issues is inadequate; reports to DOE are largely incomplete; laboratory commitment to the project has subsided.
F	Laboratory falsifies data during project execution phase; shows disdain for executing the project within minimal standards for environment, safety or health, fails to keep DOE informed of project status; reviews regularly indicate that the project is expected to breach its cost/schedule performance baseline.

2.3 Provide Efficient and Effective Operation of Facilities

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Program/Staff Office reviews/oversight, performance against benchmarks, Approved Financial Plans (AFPs), etc.:

- Availability, reliability, and efficiency of facility(ies);
- Degree the facility is optimally arranged to support community;
- Whether R&D is conducted to develop/expand the capabilities of the facility(ies);
- Effectiveness in balancing resources between facility R&D and user support; and
- Quality of the process used to allocate facility time to users.

A to A+	Performance of the facility exceeds expectations as defined before the start of the year in any of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the laboratory; and /or: the schedule and the costs associated with the ramp-up to steady state operations are less than planned and are acknowledged to be 'leadership caliber' by reviews; Data on ES&H continues to be exemplary and widely regarded as among the 'best in class'.
B+	Performance of the facility meets expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the

	laboratory is still not capitalizing fully on existence of the facility to grow internal capabilities and/or reach out to external users.
C	Reviews state that the laboratory has made satisfactory use of the facility, but has not demonstrated much innovation.
D	Few facility users, with none using it in novel ways; research base is very thin.
F	Laboratory does not know how to operate/use its own facility adequately.

Science Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Basic Energy Sciences					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities			70%		
2.4 Effective Utilization of Facility to Grow and Support the Laboratory's Research Base			30%		
Overall BES Total					

Table 2.1 – 2.0 Program Office Performance Goal Score Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 2.2 – 2.0 Goal Final Letter Grade

⁴ A complete listing of S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

3.1 Provide Effective and Efficient Stewardship of Scientific Capabilities and Program Vision

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, existence and quality of strategic plans as determined by SC and scientific community review, Program Office reviews/oversight, etc.:

- Efficiency and Effectiveness of joint planning (e.g., workshops) with outside community;
- Articulation of scientific vision;
- Development of core competencies, ideas for new facilities and research programs; and
- Ability to attract and retain highly qualified staff.

A to A+	Providing strong programmatic vision that extends past the laboratory and for which the lab is a recognized leader within SC and in the broader research communities; development and maintenance of outstanding core competencies, including achieving superior scientific excellence in both exploratory, high-risk research and research that is vital to the DOE/SC missions; attraction and retention of world-leading scientists; recognition within the community as a world leader in the field.
B+	Coherent programmatic vision within the laboratory with input from and output to external research communities; development and maintenance of strong core competencies that are cognizant of the need for both high-risk research and stewardship for mission-critical research; attracting and retaining scientific staff who are very talented in all programs.
B	Programmatic vision that is only partially coherent and not entirely well connected with external communities; development and maintenance of some, but not all core competencies with attention to, but not always the correct balance between, high-risk and mission-critical research; attraction and retention of scientific staff who talented in most programs.
C	Failure to achieve a coherent programmatic vision with little or no connection with external communities; partial development and maintenance of core competencies (i.e., some are neglected) with imbalance between high-risk and mission-critical research; attracting only mediocre scientists while losing the most talented ones.
D	Minimal attempt to achieve programmatic vision; little ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; minimal success in attracting even reasonably talented scientists.
F	No attempt made to achieve programmatic vision; no demonstrated ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; failure to attract even reasonably talented scientists.

3.2 Provide Effective and Efficient Science and Technology Project/Program Planning and Management

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, existence and quality of strategic plans as determined

B	Evidence of good communications is noted throughout the contractor organization and responses to requests for information provide the minimum requirements to meet HQ needs; with the exception of a few minor instances HQ is alerted to emerging issues.
C	Laboratory representatives recognize the value of sound communication with HQ to the mission of the laboratory. However, laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; laboratory representatives do not take the initiative to alert HQ to emerging issues.
D	Communications from the laboratory are well-intentioned but generally incompetent; the laboratory management does not understand the importance of effective communication and responsiveness to the mission of the laboratory.
F	Contractor representatives are openly hostile and/or non-responsive – emails and phone calls are consistently ignored; communications typically do not address the request; information provided can be incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Science Program Office ⁵	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Basic Energy Sciences					
3.1 Effective and Efficient Stewardship			40%		
3.2 Project/Program Planning and Management			30%		
3.3 Communications and Responsiveness			30%		
Overall BES Total					
Office of Advanced Scientific Computing Research					
3.1 Effective and Efficient Stewardship			35%		
3.2 Project/Program Planning and Management			35%		
3.3 Communications and Responsiveness			30%		
Overall ASCR Total					
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship			20%		
3.2 Project/Program Planning and Management			30%		
3.3 Communications and Responsiveness			50%		
Overall BER Total					
Office of Workforce Development for Teachers and Scientists					

⁵ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

The Contractor's Leadership provides effective and efficient direction in strategic planning to meet the mission and vision of the overall Laboratory; is accountable and responsive to specific issues and needs when required; and corporate office leadership provides appropriate levels of resources and support for the overall success of the Laboratory.

The weight of this Goal is 20%.

The Provide Sound and Competent Leadership and Stewardship of the Laboratory Goal shall measure the Contractor's Leadership capabilities in leading the direction of the overall Laboratory. It also measures the responsiveness of the Contractor to issues and opportunities for continuous improvement and corporate office involvement/commitment to the overall success of the Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 4.1 at the end of this section). The overall score earned is then compared to Table 4.2 to determine the overall Goal letter grade.

4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out Those Plans

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Quality of the Vision developed for the Laboratory and effectiveness in identifying its distinctive characteristics;
- Quality of Strategic/Work Plan for achieving the approved Laboratory vision;
- Quality of required Laboratory Business Plan;
- Ability to establish and maintain long-term partnerships/relationships that advance/expand ongoing Laboratory missions and/or provide new opportunities/capabilities; and
- Effectiveness in developing and implementing commercial research and development opportunities that leverage accomplishment of DOE goals and projects with other federal agencies that advances the utilization of Laboratory technologies and capabilities

4.2.4 The Senior Management will ensure that commitments made during the RFP process (if applicable) and significant contractor commitments made to DOE during the current performance period are successfully accomplished as planned.

4.3 Provide Efficient and Effective Corporate Office Support as Appropriate

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Corporate Office involvement in and support of business and other infrastructure process and procedure improvements;
- The willingness to enter into and effectiveness of joint appointments when appropriate; and
- Where appropriate, the willingness to develop and work with the Department in implementing innovative financing agreements and/or provide private investments into the Laboratory..

The overall effectiveness/performance of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor’s success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

- 4.3.1 The contractor participates in peer reviews of Laboratory science programs and provides for review of Laboratory business management and ES&H systems to feed the development of strategic guidance, refine performance measures and assist with enhancing and improving the Laboratory’s core competencies.
- 4.3.2 The Laboratory Director works with the Contractor/Corporate Office to identify openings that could be filled with split-appointees that would help grow the Laboratory and enhance core competencies, while supporting the mission of both institutions.
- 4.3.3 The contractor exhibits willingness to consider innovative options, such as third party financing, to grow and/or maintain the Laboratory

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
4.0 Effectiveness and Efficiency of Contractor Leadership and Stewardship					
4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans			35%		
4.2 Provide for Responsive and			30%		

5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection

The Contractor sustains and enhances the effectiveness of integrated safety, health and environmental protection through a strong and well deployed system.

The weight of this Goal is 30%.

The Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection Goal shall measure the Contractor's overall success in preventing worker injury and illness; implement ISM down through and across the organization; and provide effective and efficient waste management, minimization, and pollution prevention.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 5.1 at the end of this section). The overall score earned is then compared to Table 5.2 to determine the overall Goal letter grade.

5.1 Provide a Work Environment that Protects Workers and the Environment

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The success in meeting ES&H goals.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

5.1.1 The Contractor's success in reducing serious illnesses and injuries as measured by the days away, restricted or transferred (DART) case rate.

Days Away, Restricted, or Transferred (DART) Case Rate – the number of cases of an injury or illness case where the most serious outcome of the case, as identified on the OSHA Form 300 columns H or I, resulted in days away from work or days of job restriction or transfer x

5.1.5.2 Target

To meet expectations (B+), inspections of 100% of the Laboratory space is completed during FY 2007.

5.2.4.1 Target

To meet the target expectation (B+) repeat findings do not account for more than 7% of all internal and external appraisal findings.

- 5.2.5 The strength of the Laboratory's processes to plan work safely as measured by completion and/or updating of readiness reviews.

5.2.5.1 Target

To meet target (B+), 100% of readiness reviews are completed by the scheduled review date and in all cases prior to work beginning.

5.2.5.2 Target

No work processes are observed that have not been properly reviewed.

- 5.2.6 The Laboratory implements effective systems of reporting ESH concerns and conducting causal analyses.

5.2.6.1 Target

To meet target (B+) all ORPS and PAAA concerns and events are reported consistent with requirements and within the specified time periods.

- 5.2.7 The Laboratory will conduct quarterly forums with safety specialists from Iowa State University's Environment Health and Safety Department and student representatives to discuss safety program improvements and share lessons learned from DOE and The Contractor and other academic institutions.

Table 5.1 – 5.0 Goal Performance Rating Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 5.2 – 5.0 Goal Final Letter Grade

- 6.1.1 Demonstrate an effective financial management system through external reviews, surveys and inspections and routine communication with AMSO and the CH.
- 6.1.2 Control uncosted balances as measured by the percentage of uncosted balances to total available cost (TAC). (Only uncosted balances that exceeded \$3 million at the four-digit B&R level will be included in this evaluation).

6.1.2.1 Target

To meet the target (B+) acceptable range for Operating costs are less than or equal to 13% of TAC and acceptable range of Capital Equipment costs is less than or equal to 50% of TAC.

- 6.1.3 Contractor billings should conform to signed Work For Others agreements in that total billing should not exceed agreement amounts, funding expiration dates should be observed, and closeouts should be initiated promptly upon completion of work.

6.1.3.1 Target

To meet the target (B+) zero billing errors on non-corporate/interoffice invoices.

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

In measuring the performance of this Objective the DOE evaluator shall consider the following:

- Demonstration of efficient and effective acquisition and property management system(s) support;
- The effectiveness of the acquisition and property management system(s) as validated by internal and external audits and reviews;
- The continual improvement of acquisition and property management system(s) through the use of results of audits, review, and other information; and
- The degree of knowledge and appropriate utilization of established system processes/procedures by management and staff.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 10%.

- 6.2.1 Demonstrate effective acquisition and property management systems through mechanisms such as external reviews, surveys, inspections and ongoing communication with the AMSO and the Chicago Office.
- 6.2.2 Perform Procurement Balanced Scorecard evaluation in accordance with the FY 2007 Balanced Scorecard Plan and successfully meet at least 11 of the BSC targets.
- 6.2.3 Perform Property Balanced Scorecard evaluation in accordance with the FY 2007

To meet the target (B+) the level of diversity obtained within recruitment pools for advertised positions will be reviewed by race and gender and will show an increase of at least 25% over the last performance period.

6.3.3.2 Target

To meet the target (B+) At least 85% of hiring managers/supervisors will complete the University's "Invite Diversity" online training module prior to initiating the hiring process at least once every two years.

6.3.4 Increase diversity in the workforce through participation of minorities and women in feeder programs (such as, two year training programs, four year colleges, and graduate level) and increase participation by technical staff in hosting minority and female students in their respective departments.

6.3.4.1 Target

To meet the target (B+) the number of minorities and women in feeder programs will be tracked and participation will increase over the last performance period. The number of technical staff hosting minority and female students will be commensurate to the representation of minorities and women in these feeder programs.

6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective management systems support;
- The effectiveness of the management systems as validated by internal and external audits and reviews;
- The continual improvement of management systems through the use of results of audits, review, and other information; and
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 30%.

6.4.1 Demonstrate effective Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services management systems through reviews, surveys and inspections.

- Selecte 2 science spokespersons and implement a strategy to promote them outside of Iowa.

6.4.9 Laboratory Public Affairs develops and executes integrated communications plans.

6.4.9.1 Target

- Ames develops a management communications plan to inform taxpayers nationwide of its accomplishments;
- Ames prepares a public affairs plan for dealing with a potential pandemic;
- Ames prepares and executes a plan for internal and external communications related to transitioning from the current director to the new management arrangement; and;
- Ames prepares and executes a plan for management communication with the community.

6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The proper stewardship of intellectual assets and Laboratory owned or originated technology;
- The market impacts created/generated as a result of technology transfer and deployment activities; and
- Communication products contributing to the transfer of Laboratory originated knowledge and technology.

The overall performance (outcomes/results) of the following set of key measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 20%.

6.5.1 The Technical Transfer Program satisfies customer's expectations

6.5.1.1 Target

To meet the target (B+) Technical Transfer Performs customer surveys and takes appropriate action to analyze issues and implement improvements where needed.

6.5.2 WFO projects received by the site office are consistent with DOE policies and strategic goals.

Table 6.2 – 6.0 Goal Final Letter Grade

but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 80%.

7.1.1 The Maintenance Investment Index (MII) for the fiscal year associated with the performance period.

The MII, expressed as a percentage, is defined as the Actual OE funded Maintenance and Repair (M&R) Expenditures (at the end of the fiscal year associated with the performance period) divided by the Replacement Plant Value (RPV).

$$MII = \frac{\text{Actual Maintenance Expenditures}}{RPV (\$)}$$

7.1.1.1 MII Target for FY 2007

Target
B+ = 1.8

7.1.2 The Facility Condition Index (FCI).

The FCI, expressed as a percentage, is defined as the Total Needed OE funded Maintenance and Repair (M&R) Deficiencies (at the end of the fiscal year associated with the performance period) divided by the Replacement Plant Value (RPV).

$$FCI = \frac{\text{Total Needed M \& R Deficiencies (\$)}}{RPV (\$)}$$

7.1.2.1 FCI Target for FY 2007

Target
B+ = 1.9 – 2.5

7.1.3 Effective execution of the goals within the Energy Performance Management Agreement.

7.1.3.1 Target

To meet the target (B+) 75% of the Energy requirements scheduled to be accomplished during the Fiscal Year in accordance with the Comprehensive Energy Management Plan (CEMP) are completed.

7.1.3.2 Target

To meet the target (B+) energy use per gross square foot is 2% less than the previous year.

7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Integration and alignment of the Ten Year Site Plan to the Laboratory's comprehensive strategic plan;
- The facility planning, forecasting, and acquisition for effective translation of business needs into comprehensive and integrated facility site plans;
- The effectiveness in producing quality site and facility planning documents as required;
- The involvement of relevant stakeholders in all appropriate aspects of facility planning and preparation of required documentation;
- Overall responsiveness to customer mission needs; and
- Efficiency in meeting Cost and Schedule Performance Index for construction projects (when appropriate).

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 20%.

7.2.1 Establish and maintain a program that provides for planning and acquiring the facilities and infrastructure required to support future laboratory programs.

Meet the B+ Target

- 7.2.1.1 Implement Facility planning, forecasting, and acquisition activities accurately, translate needs and facility condition information into useful strategic plans;
- 7.2.1.2 The Ten Year Site Plan and the IFI Budget are submitted according to the required schedule and demonstrate effective and realistic facility planning; and,
- 7.2.1.3 The management information systems development projects are executed in accordance with acceptable project management practices.

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

The Contractor sustains and enhances the effectiveness of integrated safeguards and security and emergency management through a strong and well deployed system.

The weight of this Goal is 10%.

The Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems Goal shall measure the Contractor's overall success in safeguarding and securing Laboratory assets that supports the mission(s) of the Laboratory in an efficient and effective manner and provides an effective emergency management program.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 8.1 at the end of this section). The overall score earned is then compared to Table 8.2 to determine the overall Goal letter grade.

8.1 Provide an Efficient and Effective Emergency Management System

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting Emergency Management goals and expectations;
- The commitment of leadership to a strong Emergency Management performance is appropriately demonstrated; and
- The maintenance and appropriate utilization of Emergency Management procedures and processes are effectively demonstrated.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 35%.

8.2.2 Establish and maintain a program of system and network configuration management for each defined system enclave.

- Integration of Safeguards into the culture of the organization for effective deployment of the system is demonstrated; and
- The maintenance and appropriate utilization of Safeguards risk identification, prevention, and control processes/activities.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 10%.

Meet the B+ Target

- 8.3.1 Incidents of Safeguards and Security concerns are detected, reported, investigated and resolved promptly.
- 8.3.2 Demonstrate an effective Integrated Safeguards and Security Management System through a thorough annual self-assessment and by positive results from any external reviews surveys and inspections
- 8.3.3 Corrective actions or compensatory measures for deficiencies are promptly implemented and monitored until resolution
- 8.3.4 Employee and Management awareness of their Safeguards responsibilities
- 8.3.5 Vulnerability Assessments accurately address current Laboratory operations.

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

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting protection of classified and sensitive information goals and expectations;
- The commitment of leadership to strong protection of classified and sensitive information performance is appropriately demonstrated;
- Integration of protection of classified and sensitive information into the culture of the organization for effective deployment of the system is demonstrated; and
- The maintenance and appropriate utilization of protection of classified and sensitive information risk identification, prevention, and control processes/activities.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 5%.

**ATTACHMENT I
 OFFICE OF SCIENCE PROGRAM OFFICE GOAL & OBJECTIVE WEIGHTINGS**

	BER	ASCR	BES	WDTS
Goal's weight	Weight	Weight	Weight	Weight
	75	80%	65%	65
1a. Impact (significance)	30	40%	50%	25
1b. Leadership (recognition of S&T accomplishments)	20	30%	20%	30
1c. Output (productivity) (pass/fail)	20	15%	15%	30
1d. Delivery (pass/fail)	30	15%	15%	15
check sum	100	100	100	100
Goal's weight	0	0	5	0
2a. Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)	0	0	0	0
2b. Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)	0	0	0	0
2c. Operation of Facility	0	0	70%	0
2d. Utilization of Facility to Grow and Support Lab's Research Base	0	0	30%	0
check sum	0		100	0
Goal's weight	25	20%	30%	35
3a. Stewardship of Scientific Capabilities and Programmatic Vision	20	30%	40%	20
3b. Program Planning and Management	30	40%	30%	40
3c. Program Management-Communication & Responsiveness (to HQ)	50	30%	30%	40
check sum	100	100	100	100
Goal check sum				