



**Department of Energy**

Fermi Site Office  
Post Office Box 2000  
Batavia, Illinois 60510

*Conk BK*

**OCT 19 2007**

Dr. Piermaria J. Oddone, President  
Fermi Research Alliance, LLC  
P. O. Box 500, MS 105  
Batavia, Illinois 60510

Dear Dr. Oddone:

SUBJECT: MODIFICATION NO. M016 TO CONTRACT NO. DE-ACO2-07CH11359

Enclosed is an executed copy of the subject contract modification. This modification updates Appendix B of the prime contract and revises the statement of work as required by Acquisition Letter 2007-12.

If you have any questions or comments regarding the subject matter, please contact Dennis L. Wilson, of my staff, at (630) 840-5441.

Sincerely,  
*Joanna M. Livengood*

Dr. Joanna M. Livengood  
Site Manager

Enclosure:  
As Stated

- cc: Y.-K. Kim, Fermilab, w/encl.
- B. Chrisman, Fermilab, w/encl.
- D. Carlson, Fermilab, w/encl.
- C. Conger, Fermilab, w/encl.
- C. Trimby, Fermilab, w/encl.
- G. Leonard, Fermilab, w/encl.
- B. Grant, Fermilab, w/encl.

*electronic copy sent 10/19/07, original preserved for FSO contract Book*

2. AMENDMENT/MODIFICATION NO. <b>M016</b>	3. EFFECTIVE DATE <b>October 1, 2007</b>	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. (If applicable)
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ISSUED BY CODE <b>U.S. Department of Energy Chicago Operations Office 9800 South Cass Avenue Argonne, IL 60439</b>	7. ADMINISTERED BY (If other than Item 6) Code <b>Fermi Site Office P. O. Box 2000 Batavia, IL 60510</b>
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8. NAME AND ADDRESS OF CONTRACTOR (No. street, county, State and ZIP Code) <b>Fermi Research Alliance, LLC 355 1<sup>ST</sup> Street Batavia, Illinois 60510</b>	(✓)	9.A. AMENDMENT OF SOLICITATION NO.
	√	9.B. DATED (SEE ITEM 11)
	√	10.A. MODIFICATION OF Contract/Order NO. <b>DE-AC02-07CH11359</b>
	√	10.B. DATED (SEE ITEM 13) <b>November 1, 2007</b>
DUNS 62-639-9831		
CODE	FACILITY CODE	

**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 ACKNOWLEDGMENT 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)

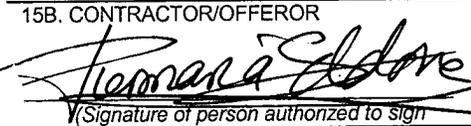
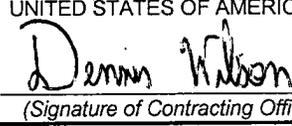
**13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS,  
IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.**

✓	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).
X	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: <b>Mutual Agreement of the Parties</b>
	D. OTHER (Specify type of modification and authority) <b>Part II, Section I, Clause I.119 –DEAR 970. 5232-4</b>

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

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)  
See Page 2 of this modification

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print) <b>Dr. Piermaria Oddone, President Fermi Research Alliance, LLC</b>	16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) <b>Dennis L. Wilson Contracting Officer</b>
15B. CONTRACTOR/OFFEROR  (Signature of person authorized to sign)	15C. DATE SIGNED <b>10-15-07</b>
16B. UNITED STATES OF AMERICA BY  (Signature of Contracting Officer)	16C. DATE SIGNED <b>10/15/07</b>

14. Description of Amendment/Modification:

1. PART I - SECTION C.4, Statement of Work, subsection (c) is hereby revised by incorporating the following item (12):

“(12) Facility Operations and Infrastructure. The contractor shall assist DOE through direct participation and other support in achieving DOE’s energy efficiency goals and objectives in electricity, water, and thermal consumption, conservation, and savings, including goals and objectives contained in Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management. The Contractor shall maintain and update, as appropriate, its Site Plan (as required elsewhere in the contract) to include detailed plans and milestones for achieving site-specific energy efficiency goals and objectives. With respect to this paragraph, the Plan shall consider all potential sources of funds, in the following order: 1) the maximum use of private sector, third-party financing applied on a life-cycle cost effective basis, particularly from Energy Savings Performances Contracts and Utility Energy Services Contracts awarded by DOE; and 2) only after third-party financing options are evaluated, in the event that energy efficiency and water conservation improvements cannot be effectively incorporated into a private sector financing arrangement that is in the best interests of the Government, then DOE funding and funding from overhead accounts can be utilized.”

2. Part III, Section J.2, Appendix B, Performance Evaluation Measurement Plan, attached hereto and made a part hereof, replaces Appendix B, Performance Evaluation Measurement Plan previously incorporated into this agreement under Modification No. M002.



**Contractor Performance Evaluation and Measurement  
Plan of  
Fermi Research Alliance, LLC**

**for the**

**Management and Operations of the  
Fermi National Acceleratory Laboratory**

**FY 2008**



**U.S. DEPARTMENT OF ENERGY**  
FERMI SITE OFFICE



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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 Fermi Research Alliance, LLC (hereafter referred to as "the Contractor") performance regarding the management and operations of the Fermi National Acceleratory Laboratory (hereafter referred to as "the Laboratory") for the evaluation period from October 1, 2007, through September 30, 2008. 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 requirements and 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, "Determining Total Available Performance Fee and Fee Earned," "Conditional Payment of Fee, Profit, or Incentives," 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 evaluation period October 1, 2007, through September 30, 2008 is \$3,550,000.00.

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. As applicable, also provides information on the award term eligibility requirements.

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.





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<b>Letter Grade</b>	<b>Numeric Grade</b>	<b>Definition</b>
A+	4.3 – 4.1	Significantly 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 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.



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Letter Grade	Numeric Grade	Definition
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.
D	1.0 – 0.8	Most or all expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have negatively impacted the Objective and/or overall Laboratory mission accomplishment.
F	0.7 – 0	All expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have significantly impacted both the Objective and the accomplishment of the Laboratory mission.

Figure I-1. Letter Grade and Numerical Score Definitions

Calculating Individual Goal Scores and Letter Grade:

Each Objective is assigned the earned numerical score by the evaluating office as stated above. The Goal rating is then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values are then added together to develop an overall score for each Goal. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. Utilizing Table A, below, the scores for each of the Science and Technology (S&T) Goals and Management and Operations (M&O) Goals are then multiplied by the weight assigned and these are summed to provide an overall score for each.

The raw score from each calculation shall be carried through to the next stage of the calculation process. The raw score for Science and Technology and Management and Operations will be rounded to the nearest tenth of a point for purposes of determining fee as indicated in Table C. A standard rounding convention of x.44 and less rounds down to the nearest tenth (here, x.4), while x.45 and greater rounds up to the nearest tenth (here, x.50).



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S&T Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
1.0 Mission Accomplishment			XX%		
2.0 Construction and Operations of User Research Facilities and Equipment			XX%		
3.0 Science and Technology Research Project/Program Management			XX%		
<b>Total Score</b>					
M&O Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
4.0 Leadership and Stewardship of the Laboratory			30%		
5.0 Integrated Safety, Health, and Environmental Protection			30%		
6.0 Business Systems			15%		
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio			15%		
8.0 Integrated Safeguards and Security Management and Emergency Management Systems			10%		
<b>Total Score</b>					

Table A. FY 2008 Contractor Evaluation Score Calculation

Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F
<b>Total Score</b>	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 2008 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 2008 as calculated within Table D.



Overall Weighted Score from Table A.	Percent S&T Fee Earned	M&O Fee Multiplier
4.3	100%	100%
4.2		
4.1		
4.0	97%	100%
3.9		
3.8		
3.7	94%	100%
3.6		
3.5		
3.4	91%	100%
3.3		
3.2		
3.1		
3.0	88%	95%
2.9		
2.8		
2.7	85%	90%
2.6		
2.5		
2.4	75%	85%
2.3		
2.2		
2.1		
2.0	50%	75%
1.9		
1.8		
1.7	0%	60%
1.6		
1.5		
1.4		
1.3		
1.2		
1.1		
1.0 to 0.8	0%	0%
0.7 to 0.0	0%	0%

Table C. - Performance-Based Fee Earned Scale

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 grades for each Goal 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.

Determining Award Term Eligibility:

The base term of the Prime Contract is five years. The Prime Contract contains a non-monetary performance incentive, in Section F "Deliveries or Performance" at Clause F.2. "Award Term Incentive (Special)", which will allow the contractor to earn up to an additional fifteen years of Prime Contract term for exemplary performance.



## **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, best business practices, cost management, and improved contractor accountability. Under the performance-based management system, the DOE provides clear direction to the laboratories and develops annual performance plans (such as this one) to assess the contractors performance in meeting that direction in accordance with contract requirements. The DOE policy for implementing performance-based management includes the following guiding principles:

- Performance objectives are established in partnership with affected organizations and are directly aligned to the DOE strategic goals;
- Resource decisions and budget requests are tied to results; and
- Results are used for management information, establishing accountability, and driving long-term improvements.

The performance-based approach focuses the evaluation of the Contractor's performance against these Performance Goals. Progress against these Goals is measured through the use of a set of Objectives. The success of each Objective will be measured based on a set of Performance Measures, both objective and subjective, that are to focus primarily on end-results or impact and not on processes or activities. Measures provide specific evidence of performance, and collectively, they provide the body of evidence that indicates performance relative to the corresponding Objectives. On occasion however, it may be necessary to include a process/activity-oriented measure when there is a need for the Contractor to develop a system or process that does not currently exist but will be of significant importance to the DOE and the Laboratory when completed or that lead to the desired outcome/result.

### **Performance Goals, Objectives, and Performance Measures**

The following sections describe the Performance Goals, their supporting Objectives, and associated performance measures for FY 2008.



## 1.0 Provide for Efficient and Effective Mission Accomplishment

**The Contractor produces high-quality, original, and creative results that advance science and technology; demonstrates sustained scientific progress and impact; receives appropriate external recognition of accomplishments; and contributes to overall research and development goals of the Department and its customers.**

The weight of this Goal is TBD%.

The Provide for Efficient and Effective Mission Accomplishment Goal measures the overall effectiveness and performance of the Contractor in delivering science and technology results which contribute to and enhance the DOE's mission of protecting our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge by supporting world-class, peer-reviewed scientific results, which are recognized by others.

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 1.1). Weightings for each office below are preliminary, based upon FY 2007 Budget Authority figures, and are provided here for informational purposes only. 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 for FY 2008.

- Office of Advanced Scientific Research (ASCR) (80% )
- Office of High Energy Physics (HEP) (30% )
- Office of Workforce Development for Teachers and Scientists (WDTS) (65%)

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 2008 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.

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

**1.2 Provide Quality Leadership in 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, Program Office reviews/oversight, etc.:

- Willingness to pursue novel approaches and/or demonstration of innovative solutions to problems;
- Willingness to take on high-risk/high payoff/long-term research problems, evidence that the Contractor “guessed right” in that previous risky decisions proved to be correct and are paying off;
- The uniqueness and challenge of science pursued, recognition for doing the best work in the field;
- Extent of collaborative efforts, quality of the scientists attracted and maintained at the Laboratory;
- Staff members visible in leadership position in the scientific community; and
- Effectiveness in driving the direction and setting the priorities of the community in a research field.



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- A to A+** Laboratory staff lead Academy or equivalent panels; laboratory's work changes the direction of research fields; world-class scientists are attracted to the laboratory, lab is trend-setter in a field.
- B+** Strong research performer in most areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; lab is center for high-quality research and attracts full cadre of researchers; some aspects of programs are world-class.
- B** Strong research performer in many areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; few aspects of programs are world-class.
- C** Working on problems no longer at the forefront of science; stale research; evolutionary, not revolutionary.
- D** Failure of multiple program elements.
- F** Gross scientific incompetence and/or scientific fraud.

**1.3 Provide and Sustain Outputs that Advance Program Objectives and Goals**

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through defined project products, progress reports, statements of work, program management plans, Program Office and/or other reviews/oversight, etc.:

- The quantity and quality of program/project (e.g., technical reports, policy papers, prototype demonstrations, tasks, etc.) output(s) be it policy, R&D, or implementation programs;
- The number of publications in peer-reviewed journals; and
- Demonstrated progress against peer reviewed recommendations, headquarters guidance, etc.

- A to A+** Program offices, clients, end-users, independent experts and/or peers laud work results; output(s) exceeds the amount and/or quality typically expected for an excellent body of work.
- B+** Program office, client, end-user, independent expert and/or peer reviews are universally positive; output(s) meet the amount and/or quality typically expected for the body of work; work demonstrates progress against review recommendations and/or headquarters guidance.
- B** Program office, client, end-user, independent expert and/or peer reviews are largely positive, with only a few minor deficiencies and/or slightly negative responses noted; minor deficiencies and/or negative responses have little to no potential to adversely impact the overall program/project.
- C** A number of outputs have not met the amount and/or quality typically expected for the body of work; program office, client, end-user, independent expert and/or peer reviews identify a number of deficiencies and although they may be somewhat offset by other positive performance, they have the potential to negatively impact the overall program/project if not corrected.
- D** Most outputs have not met the amount and/or quality typically expected for the body of work; program office, client, end-user, independent expert and/or peer reviews identify significant deficiencies which have negatively impacted the overall program/project.



**F** All outputs have not met the amount and/or quality typically expected for the body of work; program office, client, end-user, independent expert and/or peer reviews identify significant deficiencies which have significantly impacted and/or damaged the overall program/project.

#### 1.4 Provide for Effective Delivery of Products

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.:

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

**A to A+** Program/project goals and/or milestones are met well ahead of schedule and/or well under budget; program/project and/or mission objective(s) are fully met and results anticipate HQ guidance.

**B+** Program/project goals and/or milestones are primarily met on schedule and within budget; program/project and/or mission objective(s) are fully met and are fully responsive to HQ guidance.

**B** Most program/project goals and/or milestones are met on schedule and within budget; overall program/project and/or mission objective(s) are met; minor delays, overruns, and/or deficiencies are minimized and/or have little to no adverse impact the overall program/project.

**C** A number of and/or key program/project goals and/or milestones are not met within the scheduled timeframe(s) (e.g. less than 6 months behind) and/or within the agreed upon budget (e.g., less than 15% over); overall program/project and/or mission objective(s) have not been met or have the potential to be missed; delays, overruns, and/or deficiencies are identified which have the potential to adversely impact the overall program/project is not corrected.

**D** Most of and/or key program/project goals and/or milestones are not met within the scheduled timeframe(s) (e.g. more than 6 months behind) and/or within the agreed upon budget (e.g., less than 25% over); overall program/project and/or mission objective(s) have not been met or have the potential to be missed; sizeable delays, overruns, and/or deficiencies are identified which have negatively impacted the overall program/project.

**F** All and/or key program/project goals and/or milestones are not met within the scheduled timeframe(s) (e.g. more than 9 months behind) and/or within the agreed upon budget (e.g., greater than 25% over); overall program/project and/or mission objective(s) have not been met; significant delays, overruns, and/or deficiencies are identified which have negatively impacted the overall program/project.



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Science Program Office <sup>1</sup>	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
<b>Office of Advanced Scientific Computing Research</b>					
1.1 Impact			40%		
1.2 Leadership			30%		
1.3 Output			15%		
1.4 Delivery			15%		
<b>Overall ASCR Total</b>					
<b>Office of High Energy Physics</b>					
1.1 Impact			30%		
1.2 Leadership			30%		
1.3 Output			30%		
1.4 Delivery			10%		
<b>Overall HEP Total</b>					
<b>Office of Workforce Development for Teachers and Scientists</b>					
1.1 Impact			25%		
1.2 Leadership			30%		
1.3 Output			30%		
1.4 Delivery			15%		
<b>Overall WDTs Total</b>					

Table 1.1 – 1.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
<b>Office of Advanced Scientific Computing Research</b>			80%		
<b>Office of High Energy Physics</b>			30%		
<b>Office of Workforce Development for Teachers and Scientists</b>			65%		
<b>Performance Goal 1.0 Total</b>					

Table 1.2 – Overall Performance Goal Score Development<sup>2</sup>

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 1.3 – 1.0 Goal Final Letter Grade

<sup>1</sup> A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

<sup>2</sup> Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY 2007 Budget Authority figures, and are provided for informational purposes only. The 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 for FY 2008.



## **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 50%.

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 for FY 2008.

- Office of High Energy Physics (HEP) (100%)

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 2.2 below). The overall score earned is then compared to Table 2.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 2.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of High Energy Physics.

### **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
- Ability to meet the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets.

<b>A to</b>	In addition to meeting all measures under B <sup>+</sup> , the laboratory is recognized by the research community as the leader for making the science case for the acquisition; Takes the initiative to demonstrate the potential for revolutionary scientific advancement. Identifies, analyzes and champions novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing. Proposed approaches are widely regarded as innovative, novel, comprehensive, and potentially cost-effective. Reviews repeatedly confirm potential for scientific discovery in areas that support the Department's mission, and potential to change a discipline or research area's direction.
<b>A+</b>	
<b>B+</b>	Provides the overall vision for the acquisition. Displays leadership and commitment to achieving the vision within preliminary estimates that are defensible and credible in terms of cost, schedule and performance; develops quality analyses, preliminary designs, and related documentation to support the approval of the mission need (CD-0), the alternative selection and cost range (CD-1) and the performance baseline (CD-2). Solves problems and addresses issues. Keeps DOE apprised of the status, near-term plans and the resolution of problems on a regular basis. Anticipates emerging issues that could impact plans and takes the initiative to inform DOE of possible consequences.
<b>B</b>	Fails to meet expectations in one of the areas listed under B+.
<b>C</b>	The laboratory team develops the required analyses and documentation in a timely manner. However, inputs are mundane and lack innovation and commitment to the vision of the acquisition.
<b>D</b>	The potential exists for credible science and business cases to be made for the acquisition, but the laboratory fails to take advantage of the opportunity.
<b>F</b>	Proposed approaches are based on fraudulent assumptions; the science case is weak to non-existent, the business case is seriously flawed.

## 2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components (execution phase, Post CD-2 to CD-4)

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

- Adherence to DOE Order 413.3 Project Management for the Acquisition of Capital Assets;
- Successful fabrication of facility components;
- Effectiveness in meeting construction schedule and budget; and
- Quality of key staff overseeing the project(s).



- A to A+** Laboratory has identified and implemented practices that would allow the project scope to be increased if such were desirable, without impact on baseline cost or schedule; Laboratory always provides exemplary project status reports on time to 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; and/or: the schedule and the costs associated with the ramp-up to steady state operations occur as planned; Data on ES&H continues to be very good as compared with other projects in the DOE.
- B** The project fails to meet expectations in one of the areas listed under B+.
- C** Performance of the facility fails to meet expectations in several of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low, the number of users is unexpectedly low, beam delivery or luminosity is well below expectations. Facility operates at steady state, on cost and on schedule, but the reliability of performance is somewhat below planned values, or the facility operates at steady state, but the associated schedule and costs exceed planned values. Commitment to ES&H is satisfactory.
- D** Performance of the facility fails to meet expectations in many of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low. Facility operates somewhat below steady state, on cost and on schedule, and the reliability performance is somewhat below planned values, or the facility operates at steady state, but the schedule and costs associated exceed planned values. Commitment to ES&H is satisfactory.
- F** The facility fails to operate; the facility operates well below steady state **and/or** the reliability of the performance is well below planned values.

#### **2.4 Utilization of Facility to Grow and Support Laboratory's Research Base and External User Community**

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, participation in international design teams, Program/Staff Office reviews/oversight, etc.:

- The facility is being used to perform influential science;
- Contractor's efforts to take full advantage of the facility to strengthen the Laboratory's research base;
- Conversely the facility is strengthened by a resident research community that pushes the envelope of what the facility can do and/or are among the scientific leaders of the community;
- Contractor's ability to appropriately balance access by internal and external user communities; and
- There is a healthy program of outreach to the scientific community.



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- A to A+** Reviews document that multiple disciplines are using the facility in new and novel ways, that the facility is being used to pursue influential science, that full advantage has been taken of the facility to enhance external user access, and strengthen the laboratory's research base. A healthy outreach program is in place.
- B+** Reviews state strong and effective approach exists toward establishing a large external and internal user community; that the facility is being used for influential science; the laboratory is capitalizing on existence of facility to grow internal scientific capabilities. A healthy outreach program is in place.
- B** Reviews state that lab is establishing an external and internal user community, but 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
<b>Office of High Energy Physics</b>					
2.1 Provide Effective Facility Design(s)			25%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			25%		
2.3 Provide Efficient and Effective Operation of Facilities			50%		
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community			0%		
<b>Overall HEP Total</b>					

Table 2.1 – 2.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
<b>Office of High Energy Physics</b>			100%		
<b>Overall Program Office Total</b>					

Table 2.2 – Overall Performance Goal Score Development

<b>Total Score</b>	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
<b>Final Grade</b>	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 2.3 – 2.0 Goal Final Letter Grade



### 3.0 Provide Effective and Efficient Science and Technology Program Management

**The Contractor provides effective program vision and leadership; strategic planning and development of initiatives; recruits and retains a quality scientific workforce; and provides outstanding research processes, which improve research productivity.**

The weight of this Goal is TBD%.

The Provide Effective and Efficient Science and Technology Program Management Goal shall measure the Contractor's overall management in executing S&T programs. Dimensions of program management covered include: 1) providing key competencies to support research programs to include key staffing requirements; 2) providing quality research plans that take into account technical risks, identify actions to mitigate risks; and 3) maintaining effective communications with customers to include providing quality responses to customer needs.

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 3.1). Weightings for each office listed below are preliminary, based upon FY 2007 Budget Authority figures, and are provided here fore informational purposes only. The 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 for FY 2008.

- Office of Advanced Scientific Research (ASCR) (20% )
- Office of High Energy Physics (HEP) (20% )
- Office of Workforce Development for Teachers and Scientists (WDTS) (35%)

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 3.2 below). The overall score earned is then compared to Table 3.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 3.1. 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. 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 2008 as compared to the total BA for those remaining HQ Program Offices.



**Objectives:**

**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.

<b>A to A+</b>	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>B+</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>B</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.
<b>C</b>	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.
<b>D</b>	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.
<b>F</b>	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 by SC and scientific community review, Program Office and scientific community review/oversight, etc.:

- Quality of R&D and/or user facility strategic plans;
- Adequacy in considering technical risks;
- Success in identifying/avoiding technical problems;
- Effectiveness in leveraging (synergy with) other areas of research; and
- Demonstration of willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.).

<b>A to A+</b>	Research plans are proactive, not reactive, as evidenced by making hard decisions and taking strong actions; plans are robust against budget fluctuations – multiple contingencies planned for; new initiatives are proposed and funded through reallocation of resources from less effective programs; plans are updated regularly to reflect changing scientific and fiscal conditions; plans include ways to reduce risk, duration of programs.
<b>B+</b>	Plans are reviewed by experts outside of lab management and/or include broadly-based input from within the laboratory; research plans exist for all program areas; plans are consistent with known budgets and well-aligned with DOE interests; work follows the plan.
<b>B</b>	Research plans exist for all program areas; work follows the plan.
<b>C</b>	Research plans exist for most program areas; work does not always follow the plan.
<b>D</b>	Plans do not exist for a significant fraction of the lab's program areas, or significant work is conducted outside those plans.
<b>F</b>	No planning is done.

### 3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by Program Office reviews/oversight, etc.:

- The quality, accuracy and timeliness of response to customer requests for information;
- The extent to which the Contractor keeps the customer informed of both positive and negative events at the Laboratory so that the customer can deal effectively with both internal and external constituencies; and
- The ease of determining the appropriate contact (who is on-point for what).



- A to A+** Communication channels are well-defined and information is effectively conveyed; important or critical information is delivered in real-time; responses to HQ requests for information from laboratory representatives are prompt, thorough, correct and succinct; laboratory representatives *always* initiate a communication with HQ on emerging issues there are no surprises.
- B+** Good communication is valued by all staff throughout the contractor organization; responses to requests for information are thorough and are provided in a timely manner; the integrity of the information provided is never in doubt.
- 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 <sup>1</sup>	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
<b>Office of Advanced Computing Scientific Research</b>					
3.1 Effective and Efficient Stewardship			30%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			30%		
<b>Overall ASCR Total</b>					
<b>Office of High Energy Physics</b>					
3.1 Effective and Efficient Stewardship			40%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			20%		
<b>Overall HEP Total</b>					
<b>Office of Workforce Development for Teachers and Scientists</b>					
3.1 Effective and Efficient Stewardship			20%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			40%		
<b>Overall WDTS Total</b>					

Table 3.1 – 3.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
<b>Office of Advanced Scientific Computing Research</b>			20%		
<b>Office of High Energy Physics</b>			20%		
<b>Office of Workforce Development for Teachers and Scientists</b>			35%		
<b>Overall Program Office Total</b>					

Table 3.2 – Overall Performance Goal Score Development<sup>2</sup>

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 3.3 – 3.0 Goal Final Letter Grade

<sup>1</sup> A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

<sup>2</sup> Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY 2007 Budget Authority figures, and are provided for informational purposes only. The 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 for FY 2008.



#### **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 30%.

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.



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%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 4.1.1 Performance Measure:**

Measure 4.1.1: Effective development and implementation of Laboratory Vision and Business Plans (both strategic and annual).

**LEVEL IV – 4.1.1.1 Performance Target:**

Target 4.1.1.1: Laboratory Vision and Business Plans (strategic and annual) are clearly aligned with the DOE missions and meet all established DOE requirements, including quality of documents, clarity, conciseness, and overall usefulness. Laboratory implementation aligns with the vision and plans.

**LEVEL III – 4.1.2 Performance Measure:**

Measure 4.1.2: Establish strategic partnerships and communications that effectively support the Laboratory vision, plans, and mission accomplishment.

**LEVEL IV – 4.1.2.1 Performance Target:**

Target 4.1.2.1: Strategic partnerships are established that support the Laboratory's scientific leadership, the leveraging of DOE resources, and support collaborative programs with key government, industry, laboratory, and university entities. The Laboratory establishes and fosters effective external communication that builds support for mission accomplishment, such as maintaining appropriate relations with the community to include providing for open and honest communications and establishing and maintaining long-term partnerships/relationships that advance the Laboratory Vision and Strategic Business Plan and help to shape the High Energy Physics community support.

**LEVEL III – 4.1.3 Performance Measure:**

Measure 4.1.3: Develop a baseline for understanding and trending the cost of doing business.



cognizance of corrective action plans, ensuring timely and effective implementation of corrections.

**LEVEL IV – 4.2.2.1 Performance Target:**

Target 4.2.2.1: DOE evaluation of issues that arise within the performance period, with input from reviews and operational awareness activities, indicates that Leadership responses are appropriate, effective, and timely.

**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 30%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 4.3.1 Performance Measure:**

Measure 4.3.1: Corporate Leadership directs independent peer reviews of Laboratory management systems and processes that result in an effective overall assessment of key Laboratory administrative and operations support functions and management systems.

**LEVEL IV – 4.3.1.1 Performance Target:**

Target 4.3.1.1: An independent peer review of Laboratory management systems and processes is conducted annually. Reviews identify strengths/weaknesses, areas of significant risks, and opportunities for improvement. The number of significant issues raised in other non-corporate reviews should be minimal.



**LEVEL III – 4.3.2 Performance Measure:**

Measure 4.3.2: Corporate Leadership provides timely and effective policy guidance and oversight, facilitates corporate reach back and provides vital resources to effectively addressing emerging issues and facilitates a process of continuing improvement.

**LEVEL IV – 4.3.2.1 Performance Target:**

Target 4.3.2.1: DOE evaluation, with input from reviews and operational awareness activities done within the performance period, indicates that important issues are resolved appropriately. Effective Corporate Leadership in resolving important issues and Departmental concerns.

**LEVEL III – 4.3.3 Performance Measure:**

Measure 4.3.3: Corporate Leadership maintains cognizance of significant commitments made and assures their timely accomplishment and acts as an effective advocate for the Laboratory.

**LEVEL IV – 4.3.3.1 Performance Target:**

Target 4.3.3.1: Corporate Leadership ensures that commitments made in the contractor's proposal, and significant corporate commitments made to DOE during the current performance period are successfully accomplished as planned and acts as an effective advocate for the Laboratory.



	<b>Letter Grade</b>	<b>Numerical Score</b>	<b>Objective Weight</b>	<b>Total Points</b>	<b>Total Points</b>
<b>4.0 Effectiveness and Efficiency of Contractor Leadership and Stewardship</b>					
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 Accountable Leadership throughout the Organization			35%		
4.3 Provide Efficient and Effective Corporate Office Support as Appropriate			30%		
<b>Performance Goal 4.0 Total</b>					

Table 4.1 – 4.0 Goal Performance Rating Development

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

Table 4.2 – 4.0 Goal Final Letter Grade



## **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%. Each level IV target within this Objective was developed at the meets expectations (B+) level.



**LEVEL III – 5.1.1 Performance Measure:**

Measure 5.1.1: Combined Days Away, Restricted, Transferred (DART) for Fermilab employees and subcontractor workers for the performance period (October 1, 2007 – September 30, 2008)

**LEVEL IV – 5.1.1.1 Performance Target:**

Target 5.1.1.1: DART rate = 0.25

**LEVEL III – 5.1.2 Performance Measure:**

Measure 5.1.2: Combined Total Recordable Case Rate (TRCR) for Fermilab employees and subcontractor workers for the performance period (October 1, 2007 – September 30, 2008)

**LEVEL IV – 5.1.2.1 Performance Target:**

Target 5.1.2.1: TRC rate = 0.65

**LEVEL III – 5.1.3 Performance Measure:**

Measure 5.1.3: Reporting of non-compliances with 10 CFR 835, 10 CFR 850 and 10 CFR 851 into the ORPS/NTS tracking systems is done in a timely manner including corrective action follow-up and closure tracking.

**LEVEL IV – 5.1.3.1 Performance Target:**

Target 5.1.3.1: 95% of non-compliances that meet the established DOE threshold of 10 CFR 835, 850, 851 are reported within NTS within 20 days of recognition.

**LEVEL IV – 5.1.3.2 Performance Target:**

Target 5.1.3.2: 90% of the corrective actions that result from each non-compliance scheduled for completion during the performance period are completed as scheduled.

**LEVEL III – 5.1.4 Performance Measure:**

Measure 5.1.4: Innovations or improvements that can credibly improve the control of future radiation exposures are documented. One point will be credited for each identification. An additional point will be awarded for implementation of the identified improvement.

**LEVEL IV – 5.1.4.1 Performance Target:**

Target 5.1.4.1: B+ = 5



**LEVEL III – 5.1.5 Performance Measure:**

Measure 5.1.5: All work involving significant potential for radiation exposure to the workforce is subjected to an ALARA Radiological Work Permit review.

**LEVEL IV – 5.1.5.1 Performance Target:**

Target 5.1.5.1: 100% of all jobs for which the projected collective Total Effective Dose Equivalent (TEDE) exceeds 200 person-mrem are reviewed both pre-job and post-job in accordance with the existing ALARA Program.

**LEVEL III – 5.1.6 Performance Measure:**

Measure 5.1.6: Recognizing the recent changes in Fermilab's electrical safety program, all energized electrical work on AC power distribution systems over 50 volts is to be performed under a rigorous review process requiring approval by the Fermilab Chief Operating Officer.

**LEVEL IV – 5.1.6.1 Performance Target:**

Target 5.1.6.1: 100% of all energized electrical work on power distribution systems over 50 volts is reviewed by the Fermilab Chief Operating Officer.

**LEVEL III – 5.1.7 Performance Measure:**

Measure 5.1.7: Analyze OSHA-recordable injuries for human performance issues

**LEVEL IV – 5.1.7.1 Performance Target:**

Target 5.1.7.1: 95% of all OSHA recordable injuries that occur on site to Fermilab employees, subcontractors, and users have a formal causal analysis performed which incorporates Human Performance Improvement tenets, within 30 days of a recordable incident determination.

**LEVEL III – 5.1.8 Performance Measure:**

Measure 5.1.7: Perform a series of division/section assessments on the implementation of the 10 CFR 851 standard for Fermilab and subcontractor staff.

**LEVEL IV – 5.1.8.1 Performance Target:**

Target 5.1.7.1: Establishment of a schedule for a series of implementation assessments completed for a three-year period with one-third of the assessments performed during the review period.



**LEVEL III – 5.1.9 Performance Measure:**

Measure 5.1.8: Enhance the oversight of corrective actions and closure of items from the Fermi Site Office Operational Awareness reviews.

**LEVEL IV – 5.1.9.1 Performance Target:**

Target 5.1.9.1: 95% of the corrective actions that result from each FSO Operational Awareness review, scheduled for completion during the performance period, are completed as scheduled.

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

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

- The commitment of leadership to strong ES&H performance is appropriately demonstrated;
- The maintenance and appropriate utilization of hazard identification, prevention, and control processes/activities; and
- The degree to which scientists and workers are involved and engaged in the ES&H program at the bench level.

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%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 5.2.1 Performance Measure:**

Measure 5.2.1: Safety-related training for line managers and staff is developed, identified in Individual Training Needs Assessments (ITNAs) and implemented.

**LEVEL IV – 5.2.1.1 Performance Target:**

Target 5.2.1.1:  $\geq 90\%$  of required safety-related training identified in ITNAs is completed by Fermilab employees.



**LEVEL III – 5.2.2 Performance Measure:**

Measure 5.2.2: Safety-related training for visiting scientists/users is developed, identified in Individual Training Needs Assessments (ITNAs), and implemented.

**LEVEL IV – 5.2.2.1 Performance Target:**

Target 5.2.2.1:  $\geq 90$  of new Users to whom identification cards are physically issued and current Users whose identification cards have expired and reissued during the performance period are systematically tracked to ensure that ITNAs are completed and also that all new Users have taken the ES&H portion of New Employee Orientation.

**LEVEL III – 5.2.3 Performance Measure:**

Measure 5.2.3: Staff demonstrates cognizance and engagement in the safety program through participation in the Laboratory Safety Committee (LSC) and its various Subcommittees. The LSC meets on a monthly basis to discuss issues of ES&H import. Activity reports from the subcommittees are provided at these meetings to inform and engage the committee members. Minutes are also posted on the ES&H website for all to view.

**LEVEL IV – 5.2.3.1 Performance Target:**

Target 5.2.3.1: 90% of the scheduled LSC meetings are held and the minutes are posted within 10 working days of the meeting.

**LEVEL III – 5.2.4 Performance Measure:**

Measure 5.2.4: An open reporting culture is maintained at the Laboratory while appropriately responding to ESH&Q incidents. FSO and Fermilab will meet on a monthly basis to optimize communication between the two organizations on ESH&Q topics. Agenda items will include:

- New DOE initiatives and status of action items associated with them;
- Current DOE-SC action items and requests;
- Recent non-routine events;
- Lessons Learned from various sources; and
- Opportunities for program improvements.

**LEVEL IV – 5.2.4.1 Performance Target:**

Target 5.2.4.1: 90% of the meetings are conducted, with the end result that communication on key ES&H issues is enhanced.



**LEVEL III – 5.2.5 Performance Measure:**

Measure 5.2.5: Fermilab senior management clearly demonstrates their commitment to strong safety performance.

**LEVEL IV – 5.2.5.1 Performance Target:**

Target 5.2.5.1: Lab Director conducts twelve routine management walkthroughs and/or meetings with division/section staff to discuss the importance of work planning to prevent accidents and injuries.

**LEVEL IV – 5.2.5.2 Performance Target:**

Target 5.2.5.2: Article of communication by senior laboratory management on an environment, safety, or health topic in *Fermilab Today* or a division newsletter on a monthly basis.

**LEVEL III – 5.2.6 Performance Measure:**

Measure 5.2.6: Fermilab divisions and sections maintain their organizational ES&H Plans as a grass-roots foundation to the Fermilab ES&H program.

**LEVEL IV – 5.2.6.1 Performance Target:**

Target 5.2.6.1: All divisions/sections will have updated their organizational ES&H Plans by the end of the review period.

**LEVEL III – 5.2.7 Performance Measure:**

Measure 5.2.7: Fermilab will continue to strongly support the Highly Protected Risk (HPR) Inspection Program as a foundation of the Fermilab safety program.

**LEVEL IV – 5.2.7.1 Performance Target:**

Target 5.2.7.1: 90% of the HPR inspections will be performed on schedule.

**5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention**

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

- ISO 14001 certification; and
- Efficiency and Effectiveness of efforts to minimize the generation of waste.

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%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 5.3.1 Performance Measure:**

Measure 5.3.1: Success in minimizing waste generation from major Fermilab programmatic and support activities.

**LEVEL IV – 5.3.1.1 Performance Target:**

Target 5.3.1.1: 95% of proposed work will incorporate an environmental review through evaluation processes associated with Safety Assessment Documents, National Environmental Policy Act reviews, and Construction Reviews to identify opportunities to reduce hazardous and radioactive waste generation, maximize recycling and reuse, and to mitigate potential adverse environmental effects.

**LEVEL III – 5.3.2 Performance Measure:**

Measure 5.3.2: Successful User involvement in environmental planning, minimizing waste generation and avoiding adverse environmental effects from experimental activities.

**LEVEL IV – 5.3.2.1 Performance Target:**

Target 5.3.2.1: During the performance period, 95% of proposed experimental work involving the Fermilab User community will utilize environmental reviews through implementation of the Particle Physics Division's Operational Readiness Clearance process to identify opportunities to reduce hazardous and radioactive waste generation, to maximize recycling and reuse, to maximize opportunities to purchase products containing recycled materials, and to reduce the potential to create adverse environmental effects.

**LEVEL III – 5.3.3 Performance Measure:**

Measure 5.3.3: Successful lab-wide implementation of an Environmental Management System as demonstrated by performing opportunity assessments that evaluate the potential to improve specific environmental aspects.



**LEVEL IV – 5.3.3.1 Performance Target:**

Target 5.3.3.1: During the performance period, the Contractor develops a plan and schedule to evaluate opportunities to improve specific environmental aspects laboratory-wide, engage participation from each Division and Section in planned assessments and to document the assessments' results.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
<b>5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection</b>					
5.1 Provide a Work Environment that Protects Workers and the Environment			35%		
5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management			35%		
5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention			30%		
<b>Performance Goal 5.0 Total</b>					

Table 5.1 – 5.0 Goal Performance Rating Development

<b>Total Score</b>	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
<b>Final Grade</b>	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 5.2 – 5.0 Goal Final Letter Grade



## **6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)**

**The Contractor sustains and enhances core business systems that provide efficient and effective support to Laboratory programs and its mission(s).**

The weight of this Goal is 15%.

The Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s) Goal shall measure the Contractor's overall success in deploying, implementing, and improving integrated business system that efficiently and effectively support the mission(s) of the Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section 1 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 6.1 at the end of this section). The overall score earned is then compared to Table 6.2 to determine the overall Goal letter grade.

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

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

- Demonstration of efficient and effective financial management system(s) support;
- The effectiveness of the financial management system(s) as validated by internal and external audits and reviews;
- The continual improvement of financial 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 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 25%. Each level IV target within this Objective was developed at the meets expectations (B+) level.



**LEVEL III – 6.1.1 Performance Measure:**

Measure 6.1.1: Effective cash and debt management practices. (Vendors are paid on time.)

**LEVEL IV – 6.1.1.1 Performance Target:**

Target 6.1.1.1: 97% of all vendors will be paid on time.

**LEVEL IV – 6.1.1.2 Performance Target:**

Target 6.1.1.2: 100% of major vendors will be paid on time. (A major vendor is defined as a vendor that provides services in excess of \$5,000,000 or more in a fiscal year or a vendor whose performance is so intricately tied to Fermilab performance that any interruption in service would impair Laboratory Performance.)

**Notes and Assumptions:**

1. Vendor invoices subject to measurement include: Contracts, Agreements and Purchase Orders entered into Fermilab's Purchasing Module of Oracle Public Sector Financials.
2. Definition of "paid on time" is per the terms of individual purchase orders.

**LEVEL III – 6.1.2 Performance Measure:**

The measure will address the formulation of the fiscal year +2 budget for programs funded through the Department. The Department's Chief Financial Officer (CFO) provides annual guidance for Budget Formulation for all programs. Due dates and formats are included in this guidance. In addition, some Department programs require additional information and issue separate guidance. Data submissions with complete information submitted on time can mean the difference between receiving funding or not.

Measure 6.1.2: Effective Budget Management (Budget Formulation).

**LEVEL IV – 6.1.2.1 Performance Target:**

Target 6.1.2.1: The Laboratory's budget submission complies with all DOE guidance and is submitted in a timely fashion. The DOE annual budget validation reports no significant findings.



**LEVEL III – 6.1.3 Performance Measures:**

The measure will address the execution of the fiscal year budget for programs funded through the Department. This includes ensuring costs and commitments are properly reported and within DOE-authorized funding levels, and proper management of uncosted balances. Costs and commitments of all programs, including cost of work for others and work for others including reimbursables are managed properly. Issues arising from budget execution activities may require corrective actions by the laboratory and also by DOE-CH.

Measure 6.1.3:            Effective Budget Management (Budget Execution).

**LEVEL IV – 6.1.3.1 Performance Target:**

Target 6.1.3.1:            Costs are reported at the proper detail: Budget and Reporting Classification account, Work Order, or Project Baseline Summary (PBS) level, as applicable.

**LEVEL IV – 6.1.3.2 Performance Target:**

Target 6.1.3.2:            Costs do not exceed total budget authority provided in the contract.

It is FSO's expectation that the Laboratory's budget execution fully addresses proper reporting of costs, proper management of uncosted balances and convincingly demonstrates those expectations and demonstrates no weaknesses.

**LEVEL III – 6.1.4 Performance Measures:**

Measure 6.1.4.:            Number of material findings resulting from financial audits, reviews, and other assessments or appraisals which highlight weakness in the Laboratory business and management control structure.

(Note: A material finding is a failure or shortcoming which produces an error or misstatement that is sufficiently large as to influence a financial statement reader's judgment of a given situation.)

**LEVEL IV – 6.1.4.1 Performance Target:**

Target 6.1.4.1:            No material findings.

**LEVEL IV – 6.1.4.2 Performance Target:**

Target 6.1.4.2:            Obtain FY 2008 OMB-A123 Certification from DOE-CH CFO.



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

In measuring the performance of this Objective the DOE evaluator(s) 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 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 of the effectiveness/performance of the Contractor in meeting this Objective. The weight of this Objective is 25%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

### **LEVEL III – 6.2.1 Performance Measure:**

As the requirements contained within the DOE Contractor Personal Property Balanced Scorecard effectively highlight the performance objective listed above under Level II, performance will be evaluated based on results of the FY 2008 Property Management Balanced Scorecard. The DOE Contractor Personal Property Management Balanced Scorecard is a functional component of the departmental business systems performance measurement and management program issued by the DOE Procurement Executive. Contractors are expected to achieve the most effective combination of performance results in accordance with Departmental expectations, customer requirements, laws, regulations, good business management practices, and the terms and conditions of their contracts.

Measure 6.2.1: Evaluation of the Property function in accordance with the DOE-approved Procurement Balanced Scorecard.

### **LEVEL IV – 6.2.1.1 Performance Target:**

Target 6.2.1.1: Comprehensive score of 90.



**LEVEL III – 6.2.2 Performance Measure:**

As the requirements contained within the DOE Contractor Procurement Balanced Scorecard effectively highlight the performance objective listed above under Level II, performance will be evaluated based on results of the FY 2008 Procurement Balanced Scorecard. The DOE Contractor Procurement Balanced Scorecard is a functional component of the departmental business systems performance measurement and management program issued by the DOE Procurement Executive. Contractors are expected to achieve the most effective combination of performance results in accordance with Departmental expectations, customer requirements, laws, regulations, good business management practices, and the terms and conditions of their contracts.

Measure 6.2.2: Evaluation of the Procurement function in accordance with the DOE approved Procurement Balanced Scorecard.

**LEVEL IV – 6.2.2.1 Performance Target:**

Target 6.2.2.1: Comprehensive score of 90.

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

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

- Demonstration of efficient and effective human resources management system support;
- The effectiveness of the human resources management system as validated by internal and external audits and reviews;
- The continual improvement of the human resources management system 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 25%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 6.3.1 Performance Measure:**

Measure 6.3.1: Attain certification of compensation system.



**LEVEL IV – 6.3.1.1 Performance Target:**

Target 6.3.1.1: Provide DOE with documents for validation that new practices and protocols instituted under the corrective action plan resolve the findings identified in the Compensation Program Review report dated May 30, 2006. The Lab will submit a request for DOE certification of the compensation system not later than January 31, 2008.

**LEVEL III – 6.3.2 Performance Measure:**

Measure 6.3.2: The Contractor's success in meeting human resource management and diversity program goals and expectations.

**LEVEL IV – 6.3.2.1 Performance Target:**

Target 6.3.2.1: 80% of the goals identified in the HR Balanced Scorecard (including stretch goals) are achieved.

Note: Diversity goals are incorporated into the HR Balanced Scorecard.

**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 25%. Each level IV target within this Objective was developed at the meets expectations (B+) level.



**LEVEL III – 6.4.1 Performance Measure:**

Measure 6.4.1: Demonstrate effective Internal Audit and Oversight (IA) as assessed through external reviews, surveys and inspections of IA.

**LEVEL IV – 6.4.1.1 Performance Target:**

Target 6.4.1.1: Internal Audits are conducted in accordance with applicable auditing standards.

**LEVEL III – 6.4.2 Performance Measure:**

Measure 6.4.2: Contractor's success in meeting Internal Audit and Oversight management goals and expectations.

**LEVEL IV – 6.4.2.1 Performance Target:**

Target 6.4.2.1: Approved Internal Audit Plan and substitutions are accomplished and open Internal Audit findings are effectively tracked and resolved in a timely manner.

**LEVEL III – 6.4.3 Performance Measure:**

Measure 6.4.3: Contractor's success in meeting Information Technology management goals and expectations.

**LEVEL IV – 6.4.3.1 Performance Target:**

Target 6.4.3.1: Information Technology projects in excess of \$500,000 achieve 90% of the schedule, budget and technical milestones contained in the approved project plan.

**LEVEL III – 6.4.4 Performance Measure:**

Measure 6.4.4: The Laboratory provides effective tactical Information Technology planning in support of the Laboratory's missions and goals.

**LEVEL IV – 6.4.4.1 Performance Target:**

Target 6.4.4.1: FY 2008 Information Management plans are in alignment with the Laboratory's Strategic Plan and are in place by September 30, 2008.

**LEVEL III – 6.4.5 Performance Measure:**

Measure 6.4.5: Information Management products and services meet customer requirements.



**LEVEL IV – 6.4.5.1 Performance Target:**

Target 6.4.5.1: Information Management products and services meet customer requirements as demonstrated by 88% of customer feedback.

**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 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 0% because it is not applicable to this contract.

**LEVEL III – 6.5.1 Performance Measure:**

Not Applicable to this contract.

**LEVEL IV – 6.5.1.1 Performance Target:**

Not Applicable to this contract.



ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
<b>6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)</b>					
6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)			25%		
6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s)			25%		
6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program			25%		
6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate			25%		
6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets			0%		
<b>Performance Goal 6.0 Total</b>					

Table 6.1 – 6.0 Goal Performance Rating Development

<b>Total Score</b>	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
<b>Final Grade</b>	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 6.2 – 6.0 Goal Final Letter Grade



## **7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs.**

**The Contractor provides appropriate planning for, construction and management of Laboratory facilities and infrastructures required to efficiently and effectively carry out current and future S&T programs.**

The weight of this Goal is 15%.

The Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs Goal shall measure the overall effectiveness and performance of the Contractor in planning for, delivering, and operations of Laboratory facilities and equipment needed to ensure required capabilities are present to meet today's and tomorrow's complex challenges.

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 7.1 at the end of this section). The overall score earned is then compared to Table 7.2 to determine the overall Goal letter grade.

### **7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs**

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

- The management of real property assets to maintain effective operational safety, worker health, environmental protection and compliance, property preservation, and cost effectiveness while meeting program missions, through effective facility utilization, maintenance and budget execution;
- The day-to-day management and utilization of space in the active portfolio;
- The maintenance and renewal of building systems, structures and components associated with the Laboratory's facility and land assets; and
- The management of energy use and conservation practices.

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 60%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 7.1.1 Performance Measure:**

Measure 7.1.1: Effectiveness and efficiency of maintenance activities to maximize the operational life of facility systems, structures, and components: **(Scheduled hours vs. total hours, measured as a percentage).**

**LEVEL IV – 7.1.1.1 Performance Target:**

Target 7.1.1.1: > 80%

**LEVEL III – 7.1.2 Performance Measure:**

Measure 7.1.2: Level of maintenance investment in real property assets. The MII is calculated by dividing the total annual contractor funded maintenance for active conventional facilities by the Replacement Plant Value (RPV) from FIMS for these same facilities. Multiplying this decimal number by 100 expresses the index as a percentage.

$$\text{MII} = (\text{Annual Contractor Maintenance} / \text{RPV}) \times 100.$$

**LEVEL IV – 7.1.2.1 Performance Target:**

Target 7.1.2.1: 2.0%, amount invested in maintenance expressed as a percentage of RPV.

**LEVEL III – 7.1.3 Performance Measure:**

Measure 7.1.3: For the performance period, the percentage of milestones completed (number of milestones completed/number of milestones planned), as documented in Construction Directives for General Plant Projects, In-House Energy Management and Accelerator Improvement Projects (AIP).

**LEVEL IV – 7.1.3.1 Performance Target:**

Target 7.1.3.1: > 90%

**LEVEL III – 7.1.4 Performance Measure:**

In support of the goals of the Department of Energy's Transformational Energy Action Management (TEAM) initiative, and the goals and objectives contained in Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management, the Contractor shall cooperate with federal Site Office personnel to provide full and open access to the maximum extent practicable to NNSA/DOE-contracted Energy Service Companies



(ESCOs) under Energy Savings Performance Contracts (ESPC), to facilitate on-site assessments of opportunities to improve the Site's energy efficiency, water reduction and renewable energy improvements, and shall provide advisory assistance in reviewing ESCO recommendations as directed by the Contracting Officer. The Contractor shall ensure ESCO personnel are granted access pursuant to contractual requirements; monitor ESCO activities to ensure that site safety and security requirements are adhered to; promptly provide information requested by ESCO personnel to assist them in developing viable recommendations; and, when directed by the Contracting Officer, assist the Site Office in the monitoring and execution of ESPC projects.

Measure 7.1.4: An update to the Ten Year Site Plan is developed and approved by DOE that adequately addresses the site's contribution to meeting the Agency wide goals of the Secretarial Transformational Energy Action Management (TEAM) initiative and the goals set forth in Executive Order 13423.

**LEVEL IV – 7.1.4.1 Performance Target:**

Target 7.1.4.1: An acceptable update to the Laboratory's Ten Year Site Plan which adequately addresses its contribution to meeting the Agency wide goals of the TEAM initiative and the goals of Executive Order 13423 is completed no later than September 30, 2008.

**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 40%. Each level IV target within this Objective was developed at the meets expectations (B+) level.



**LEVEL III – 7.2.5 Performance Measure:**

Measure 7.2.5: Develop a strategy for increasing investment in infrastructure which minimizes increases to the cost of doing business.

**LEVEL IV – 7.2.5.1 Performance Target:**

Target 7.2.5.1: Develop strategy by September 30, 2008.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
<b>7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs</b>					
7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs			60%		
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs			40%		
<b>Performance Goal 7.0 Total</b>					

Table 7.1 – 7.0 Goal Performance Rating Development

<b>Total Score</b>	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
<b>Final Grade</b>	A+	A	A-	B+	B	B-	C+	C	C-	D	F

Table 7.2 – 7.0 Goal Final Letter Grade



## **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 40%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 8.1.1 Performance Measure:**

Measure 8.1.1: Complete corrective actions for reviews in accordance with approved Corrective Action Plans.

**LEVEL IV – 8.1.1.1 Performance Target:**

Target 8.1.1.1: 90% of emergency management findings from approved Tripartite reports and/or drill critiques scheduled for completion during the performance period are completed as scheduled.

**LEVEL III – 8.1.2 Performance Measure:**

Measure 8.1.2: Employee and Management awareness of their Emergency Management responsibilities.

**LEVEL IV – 8.1.2.1 Performance Target:**

Target 8.1.2.1: Annually conduct at least one EOC exercise and two facility drills per occupied building (tornado and fire evacuation).

**LEVEL IV – 8.1.2.2 Performance Target:**

Target 8.1.2.2: 95% of the occupied buildings have the Local Area Emergency Plans available and any necessary revisions are made during the performance period.

**LEVEL IV – 8.1.2.3 Performance Target:**

Target 8.1.2.3: Cooperate with DOE elements as they develop and conduct a planned “No Notice Exercise” at Fermilab.

**8.2 Provide an Efficient and Effective System for Cyber-Security**

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

- The Contractor’s success in meeting Cyber-Security goals and expectations;
- The commitment of leadership to a strong Cyber-Security performance is appropriately demonstrated;
- Integration of Cyber-Security into the culture of the organization for effective deployment of the system is demonstrated; and
- The maintenance and appropriate utilization of Cyber-Security 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 40%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 8.2.1 Performance Measure:**

Measure 8.2.1: Amount of time that the Tevatron does not run, CDF/D0 experiments cannot take data, or business systems are unable to operate that is attributable to a successful cyber attack.

**LEVEL IV – 8.2.1.1 Performance Target:**

Target 8.2.1.1: < 20 hours

**LEVEL III – 8.2.2 Performance Measure:**

Measure 8.2.2: Amount of experiment data that is irrecoverably lost attributable to a successful cyber attack.

**LEVEL IV – 8.2.2.1 Performance Target:**

Target 8.2.2.1:  $\leq 1$  TB

**LEVEL III – 8.2.3 Performance Measure:**

Measure 8.2.3: Ability to complete planned cyber-security actions per established schedule.

**LEVEL IV – 8.2.3.1 Performance Target:**

Target 8.2.3.1: The Laboratory will complete actions in Plans of Actions and Milestones (POA&Ms) on or ahead of schedule.

**LEVEL III – 8.2.4 Performance Measure:**

Measure 8.2.4: Continuous monitoring is performed annual by the Laboratory and reported to the DOE Designated Approval Authority (DAA).

**LEVEL IV – 8.2.4.1 Performance Target:**

Target 8.2.4.1: Each NIST system categorized as having moderate impact will have at least 90% of its moderate level controls assessed each fiscal year.



Summary results will be provided to the DOE Designated Approval Authority (DAA) on an annual basis.

**LEVEL III – 8.2.5 Performance Measure:**

Measure 8.2.5: The Laboratory and Computer Security staff maintains awareness of their Cyber-Security responsibilities.

**LEVEL IV – 8.2.5.1 Performance Target:**

Target 8.2.5.1: 90% of the Computer Security staff, Desktop Administrators, System Administrators, and computer users will complete role-specific computer security training each fiscal year.

**8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property**

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

- The Contractor's success in meeting Safeguard goals and expectations;
- The commitment of leadership to strong Safeguards performance is appropriately demonstrated;
- 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%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 8.3.1 Performance Measure:**

Measure 8.3.1: Radioisotopes are accounted for and controlled in accordance with all relevant procedures.

**LEVEL IV – 8.3.1.1 Performance Target:**

Target 8.3.1.1: 100% compliance with the current Fermilab Nuclear Materials Control and Accountability Program Implementation Plan.



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%. Each level IV target within this Objective was developed at the meets expectations (B+) level.

**LEVEL III – 8.4.1 Performance Measure:**

Measure 8.4.1: Provides an effective system for protection of any sensitive and technology transfer information and export control items.

**LEVEL IV – 8.4.1.1 Performance Target:**

Target 8.4.1.1: Maintains a list of any export control items that are in Fermilab's possession and a list of any sensitive subjects, reports on any events involving protection of sensitive and technology transfer information or export control items, and mitigates these as necessary.

**LEVEL III – 8.4.2 Performance Measure:**

Measure 8.4.2: Provides information to employees regarding their responsibilities in support of the counterintelligence (CI) program.

**LEVEL IV – 8.4.2.1 Performance Target:**

Target 8.4.2.1: All laboratory employees are provided an annual CI reporting requirements briefing and special annual CI presentations are made available for employees to attend.



ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
<b>8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM)</b>					
8.1 Provide an Efficient and Effective Emergency Management System			40%		
8.2 Provide an Efficient and Effective System for Cyber-Security			40%		
8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property			10%		
8.4 Provide an Efficient and Effective CI System for the Protection of Classified and Sensitive Information			10%		
<b>Performance Goal 8.0 Total</b>					

Table 8.1 – 8.0 Goal Performance Rating Development

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

Table 8.2 – 8.0 Goal Final Letter Grade



**OFFICE OF SCIENCE PROGRAM OFFICE GOALS & OBJECTIVE WEIGHTINGS**

	<b>ASCR Weight</b>	<b>HEP Weight</b>	<b>WDTS Weight</b>
<b>Goal 1.0 Mission Accomplishment</b>			
<b>Goal's weight</b>	<b>80%</b>	<b>30%</b>	<b>65%</b>
1.1 Impact (significance)	40%	30%	25%
1.2 Leadership (recognition of S&T accomplishments)	30%	30%	30%
1.3 Output (productivity)	15%	30%	30%
1.4 Delivery	15%	10%	15%
objectives check sum	100%	100%	100%
<b>Goal 2.0 Design, Fabrication, Construction and Operation of Facilities</b>			
<b>Goal's weight</b>	<b>N/A</b>	<b>50%</b>	<b>N/A</b>
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)		25%	
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)		25%	
2.3 Operation of Facility		50%	
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community		0%	
objective check sum	0%	100%	0%
<b>Goal 3.0 Program Management</b>			
<b>Goal's weight</b>	<b>20%</b>	<b>20%</b>	<b>35%</b>
3.1 Stewardship of Scientific Capabilities and Programmatic Vision	30%	40%	20%
3.2 Program Planning and Management	40%	40%	40%
3.3 Program Management-Communication & Responsiveness (to HQ)	30%	20%	40%
objectives check sum	100%	100%	100%
goal check sum	100%	100%	100%



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## ATTACHMENT II. TYPICAL EVALUATION SCHEDULE

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### **Schedule for the evaluation of contractor performance, development of year-end evaluation reports, and their review, approval and final issuance to the contractor:**

April	Site Offices conduct mid-year performance status review/meeting with the contractor with input from HQ Program Offices and other customers as appropriate
Third Week of September	Site Offices issue calls for year-end evaluation input (due to Site Offices by last week of November)
September 30	End of evaluation period
November 15	SC Program Office input on 1.0 – 3.0 due to Office of Laboratory Policy
Third Week of November	SC Program Office meeting with SC-2 to review Laboratory evaluation input for S&T Goals/Objectives (e.g., scores/grades & justifications)
Last Week of November	HQ Program Offices and other customer performance evaluation input due to Site Offices
Last Week of November	SC HQ Management and Program Office performance evaluation input for Goal 4.0 due to Site Office
January (one week prior to SC-1 Meetings)	Site Office Performance Evaluation Presentation for SC-1 due to SC Office of Laboratory Policy
First Week of January	Site Office meeting with SC-3 to review Laboratory evaluation input for M&O Goals/Objectives (e.g., scores/grades & justifications)
Third Week of January	Annual SC Laboratory Appraisal Meetings and Presentations to SC-1
Last Week of January	Site Office adjustments to evaluations finalized as necessary based on results of SC-1 presentation and SC-1 approvals issued
January 31	Approved Performance Evaluation Report and Incentive Determination issued to contractor
February 15	Report Cards published on SC Website