



U.S. DEPARTMENT OF
ENERGY

Office of
Science

The Office of Science Laboratory
Performance Appraisal Process

and the

Performance Evaluation and Measurement Plan
Preparation Guidance

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The Office of Science Laboratory Performance Appraisal Process and Performance Evaluation and Measurement Plan Preparation Guidance

1.0 Purpose

This document explains the process the Department of Energy (DOE) Office of Science (SC) uses each year to evaluate the performance of its ten national laboratories. It also provides instructions and a framework (in the form of templates) that SC uses to prepare the annual Performance Evaluation and Measurement Plans (PEMP) specific to each laboratory.

2.0 Background

The Office of Science is responsible for the effective stewardship of ten Federally Funded Research and Development Centers (FFRDCs), commonly called national laboratories. These institutions are operated by non-federal organizations under performance-based agreements known as management and operating (M&O) contracts. The M&O contracts require, among other things, that DOE annually assess the contractors' scientific, technological, managerial, and operational performance. These evaluations provide the basis for determining the amount of fee earned by the contractors and/or their eligibility for earning additional years on the life of the contract through award term extensions. They also serve to inform the decisions DOE makes regarding whether to compete or extend the M&O contracts for its laboratories when they expire.

SC's performance-based approach provides a common structure and scoring system for all ten of the SC laboratories. Structured around eight Performance Goals, each comprised of a small number of Objectives (see Enclosure 1 for the list), the system emphasizes the importance of delivering the science and technology (S&T) necessary to meet the missions of DOE through Goals 1.0-3.0 and the necessity for operating the laboratories in a safe, secure, responsible and cost-effective way through Goals 5.0-8.0. It also recognizes the leadership, stewardship and value-added provided by the M&O contractor in Goal 4.0. Within each Objective, SC can also identify a small number of notable outcomes that illustrate or amplify important features of a laboratory's performance for the coming year. The Performance Goals, Objectives, and notable outcomes are documented at the beginning of each year in a PEMP that is appended to each respective laboratory contract. The PEMPs serve as the evaluation template for the laboratories at the close of the fiscal year. They are publicly available on the Office of Science Management System (SCMS) website at http://scms.sc.doe.gov/OrbitSearch/LD/LAP/LAP_LD.cfm.

Definitions for each of the measurement levels are as follows:

- **Performance Goal:** A general overarching statement of the desired outcome for each major performance area that is scored and reported annually under the appraisal process.
- **Performance Objective:** A statement of desired results for an organization or activity that is scored and reported annually under the appraisal process.
- **Notable Outcome:** Statements specific to each laboratory that are intended to focus laboratory leadership on the specific items the members of the SC leadership team (Director of the Office of Science, Deputy Director for Science Programs, Deputy Director for Field Operations, Associate Directors and Site Office Managers) believe are the most important initiatives and/or highest risk issues the laboratory must address in the coming fiscal year. Notable outcomes must be clearly linked to an Objective in the annual PEMP, and are either met, or not met.

In addition, the SC appraisal process uses a standard five-point (0-4.3) scoring system with corresponding grades for the Performance Goals and Objectives. The system is modeled on one commonly used by graduate schools to evaluate students' performance, whereby grades of "B+" are awarded for performance that "meets expectations." Hence, in SC's evaluation system, grades of "B+" are awarded for performance at the Objective level that meets SC's high expectations for performance, with correspondingly higher and lower grades awarded for performance above and below the "B+" level.

The following sections describe the procedures SC uses to develop the PEMPs prior to the beginning of a fiscal year, as well as to evaluate the contractors' performance and develop, review, approve, and issue the annual assessment reports following the end of a fiscal year.

3.0 Roles and Responsibilities

This section identifies and describes the roles and responsibilities for execution of the SC laboratory performance appraisal process and shall be carried out as described within this document and any supplemental guidance that may be issued by the Office of Laboratory Policy and Evaluation (SC-32/OLPE).

3.1 Director, Office of Science (SC-1)

- Approves the SC laboratory performance appraisal process, the evaluation criteria and methodology, and any major updates/changes to the process, and ensures its effective implementation across the SC complex.
- Owns the content of the annual PEMPs and approves the notable outcomes, for each laboratory contractor.
- Approves the grades and any incentives to be awarded to the laboratory contractors at the end of a fiscal year.
- Leads, with support from the Deputy Director for Science Programs (SC-2) and the Deputy Director for Field Operations (SC-3), formal evaluation debriefings with the laboratory directors to communicate year-end performance information to them.

3.2 Deputy Director for Science Programs

- Leads a meeting of the SC Associate Directors (ADs) to develop proposed notable outcomes for Goals 1.0-3.0 and provides a recommendation to SC-1 for their approval.
- Coordinates with SC-3 to establish the weights for Goals 4.0 and its corresponding Objectives.
- Coordinates with SC-3 to develop the notable outcomes for Goal 4.0 and to provide a recommendation to SC-1 for their approval.
- Leads a formal meeting of the SC ADs following the end of the fiscal year to normalize their proposed S&T grades for the laboratories, and conducts any necessary subsequent conversations to ensure the grades are developed in a consistent, objective, and fair manner across all ten laboratories. Provides a recommendation to SC-1 for their approval.
- Coordinates with SC-3 to establish the grades for Goal 4.0. Provides a recommendation to SC-1 for their approval.
- Participates in SC-1's formal evaluation debriefings with the laboratory directors to communicate year-end performance information to them.

3.3 Deputy Director for Field Operations

- Coordinates with SC-2 to establish the weights for Goal 4.0 and its corresponding Objectives.
- Coordinates with SC-2 to develop the notable outcomes for Goal 4.0 and to provide a recommendation to SC-1 for their approval.
- Leads a meeting of the SC Site Office Managers (SOMs) to develop proposed notable outcomes for Goals 5.0-8.0 and provides a recommendation to SC-1 for their approval.
- Coordinates with SC-2 to establish the grades for Goal 4.0. Provides a recommendation to SC-1 for their approval.
- Leads a meeting of the SOMs, the SC Integrated Support Center (ISC) Managers, and other SC Headquarters Staff Offices under the purview of SC-3 following the end of the fiscal year to normalize the grades for Goals 5.0-8.0 proposed by the SOMs for the laboratories, and conducts any necessary subsequent conversations to ensure the grades are developed in a consistent, objective, and fair manner across all ten laboratories. Provides a recommendation to SC-1 for their approval.
- Participates in SC-1's formal evaluation debriefings with the laboratory directors to communicate year-end performance information to them.

3.4 SC Associate Directors

- Establish the weights for Goals 1.0-3.0 and their Objectives.
- Work with SC-2 to develop proposed notable outcomes for Goals 1.0-3.0. Provide input on notable outcomes for Goal 4.0 to SC-2.
- Explain the notable outcomes for Goals 1.0-3.0 to the laboratories, as necessary.
- Provide oversight of contractor performance during the evaluation period.
- Provide contractor mid-year performance input to SC-32, as requested.
- Provide input and proposed grades for performance in the Goals 1.0-4.0 Objectives and to SC-2.

3.5 Site Office Managers

- Establish the weights for Goals 5.0-8.0 and their Objectives.
- Work with SC-3 to develop proposed notable outcomes for Goals 5.0-8.0. Provide input on notable outcomes for Goal 4.0 to SC-3.
- Explain the notable outcomes for Goals 4.0-8.0 to the laboratories, as necessary.
- Finalize the entire PEMP and submit it to the SC-32 for review and approval.
- Incorporate the approved PEMP into the respective laboratory M&O contract.
- Provide overall oversight of contractor performance during the evaluation period.
- Provide mid-year performance input to SC-32 as requested. Coordinate and provide the final mid-year feedback to the contractor.
- Provide input on contractor performance in the Goal 4.0 Objectives to SC-3.
- Provide proposed grades for performance in the Goals 5.0-8.0 Objectives to SC-3.
- Coordinate year-end evaluation of contractor performance, prepare a contractor performance evaluation presentation/briefing package for SC-1, and develop year-end evaluation report.
- Participate in SC-1's formal year-end evaluation debriefings with the laboratory directors.
- Issue final year-end evaluation report to contractor.

3.6 Other Departmental Program Offices and Customers

- Develop weights for Goals 1.0-3.0 and their Objectives.
- Provide oversight of contractor performance during the evaluation period.
- Develop and provide year-end evaluation of Goals 1.0-3.0.

3.7 SC Integrated Support Center and HQ Staff Offices

- Assist SOMs with the development of weights for Goals 5.0-8.0 and their Objectives, as appropriate.
- Assist the SOMs in the development of notable outcomes for Goals 5.0-8.0, as appropriate.
- Assist the SOMs in oversight of contractor performance throughout the evaluation period, as assigned.
- Provide contractor mid-year performance input to SOMs, as requested.
- Review and/or assist in develop of year-end evaluations of Goals 5.0-8.0, as requested by the SOMs.

3.8 SC Office of Laboratory Policy and Evaluation

- Develops, interprets, and oversees the efficient and effective implementation of the laboratory performance appraisal process policies and procedures on behalf of SC-1.
- Coordinates the development and issuance of supplemental guidance for the SC Laboratory Performance Appraisal Process, as needed.
- Conducts a quality review of the PEMP's submitted by the site offices to ensure they are consistent with the SC guidance and thus common across all ten laboratories. Provides approval of the PEMP's after SC-1 approves the notable outcomes.
- Coordinates the request for mid-year performance input and provides collected input to the site offices.
- Participates in SC-1's formal year-end evaluation debriefings with the laboratory directors.
- Coordinates the rollout of the results of the annual performance evaluations.

4.0 Development of the Performance Evaluation and Measurement Plan

This section describes the processes SC uses to develop, review and approve the annual PEMP's, including information about their structure and format. SC site offices shall develop the PEMP's in accordance with the guidance in this document and all required templates (see Enclosures 2-6). As necessary, SC-32 will provide the site offices, ISC, and all relevant HQ program and staff offices with supplemental guidance that identifies changes to: the Performance Goals and/or Objectives; the grade and/or scoring methodology; fee or other incentive determination methodology; and any other changes to the process.

4.1 PEMP Introduction Section

Each SC laboratory PEMP includes a standard introduction section (see Enclosure 2) that captures the following information:

- The definitions of the three measurement levels of the PEMP (i.e., Performance Goals, Performance Objectives, and notable outcomes);

- The methodology SC shall use to evaluate the contractor’s performance against the Performance Goals, Performance Objectives, and notable outcomes at the end of the performance period;
- The amount of performance-based fee available to the contractor for the performance period, if applicable; and
- The methodology SC shall use to determine the grades and the amount of fee and/or other incentives earned by the contractor; and for the Contracting Officer (CO) to make unilateral adjustments to the determinations thereof.

4.2 Performance Goals, Objectives, and Notable Outcomes Section

Each SC laboratory PEMP shall include a “Performance Goals, Objectives, and Notable Outcomes” section that describes the Performance Goals, their supporting Objectives, and provides the associated notable outcomes. Each SC laboratory PEMP shall utilize the standard set of Performance Goals and corresponding Objectives exactly as provided within Enclosure 1, unless otherwise modified by SC-1.

Suggestions for adjustments or changes to the Performance Goals and Performance Objectives for the next fiscal year are to be provided to SC-32. SC-32 will coordinate the review/approval of suggested changes, to include distribution to SC-1, SC-2, SC-3, the site offices and SC program offices, as appropriate. Changes to the list of Performance Goals and/or Objectives shall be communicated to the site offices via supplemental guidance to be issued by SC-32.

4.3 Performance Goal and Performance Objective Weightings

Each Performance Goal and Performance Objective shall be weighted:

- Weightings for each of the S&T Performance Goals and Objectives shall be established by the appropriate SC Program Office and/or other customers.
- Weightings for Goal 4.0 and its Objectives shall be established by SC-2 and SC-3.
- Weightings for each of Goals 5.0-8.0 and their corresponding Performance Objectives shall be established by the cognizant SOM with assistance, as needed, from HQ and/or ISC staff.

4.4 Notable Outcomes

Each laboratory PEMP shall include a set of notable outcomes approved by SC-1. Notable outcomes are intended to focus the laboratory leadership team on the specific items that the members of the SC leadership team (SC-1, SC-2 and ADs, SC-3 and the SOMs) believe are the most important initiatives and/or highest risk issues the laboratory must address in the coming year. In working to develop notable outcomes, DOE managers should consider critical priorities and commitments made in the most recent annual SC laboratory plans and/or other high-priority site documents and plans.

Notable outcomes must be clearly linked to an Objective in the annual PEMP, but they are not required for every Objective; notable outcomes shall not be weighted. The wording of the notable outcomes should be objective, measurable, and results-oriented to allow for a definitive determination at the end of the year of whether or not the specific outcome was achieved. Notable outcomes should not re-state general expectations already described in the Objective and subjective wording should be avoided. As

appropriate, DOE managers should work with the laboratory and/or the contractor in the determination of what is measurable, appropriate, and achievable as a notable outcome.

Notable outcomes are either met, or not met; they are not given a numerical score or a letter grade at the end of a fiscal year. Achievement of a notable outcome is a prerequisite for meeting the Department's expectations (i.e., if the contractor fails to meet expectations against a notable outcome tied to an Objective under Goal 1.0, 2.0, or 3.0, the SC program office that assigned the notable outcome shall award a grade less than "B+" for the Objective(s) to which the notable outcome is linked; and if the contractor fails to meet expectations against a notable outcome tied to an Objective under Goal 4.0, 5.0, 6.0, 7.0 or 8.0, SC shall award a grade less than "B+" for the Objective(s) to which the notable outcome is linked).

The responsibilities associated with identifying, normalizing, and approving notable outcomes are as follows:

- Goals 1.0-3.0 notable outcomes are developed by SC-2 and the ADs.
- Goal 4.0 notable outcomes are defined by SC-1, SC-2, and SC-3 and coordinated by SC-32. Communication between SC-1, SC-2, and SC-3 and the SOMs is important to ensure a clear and consistent message is communicated to the laboratories about SC's expectations with respect to these notable outcomes.
- Goals 5.0-8.0 notable outcomes are developed by SC-3 and the SOMs.
- SC-1 approves all of the notable outcomes for final inclusion in the PEMP.

The process and preliminary schedule¹ for the development of the notable outcomes is as follows:

- All owners (SC-1, SC-2, SC-3, ADs and SOMs) develop draft notable outcomes in June/July after the annual SC laboratory planning meetings. In developing draft notable outcomes for Goal 4.0, SC-2 will communicate with and incorporate, as appropriate, perspectives of the ADs, and SC-3 will communicate with and incorporate, as appropriate, perspectives of the SOMs.
- In early/mid July, all owners submit draft notable outcomes for Goals 1.0-8.0 to SC-32 to facilitate communication and normalization meetings across the SC program offices and site offices.
- SC-2 and SC-3 normalization meetings should occur in July/August. Based on feedback, ADs and SOMs make any needed adjustments in August in advance of final approval of the notable outcomes by SC-1 in early September.

4.5 Determining Whether a Laboratory Customer Provides Input on the PEMP and Performance

The primary method used by the SOMs to determine if a laboratory customer (program office) will provide input on the PEMP and evaluate the laboratory's performance at the end of the year is based on each customer's estimated cost at the laboratory for the prior fiscal year (e.g., for the development of the FY 2013 PEMPs, use the estimated total cost

¹ See also Enclosure 12, *Integrated Schedule for the Office of Science Laboratory Appraisal Process*.

for FY 2012)². Any customer whose cost is equal to or greater than 1% of the laboratory's operating cost, or \$5 million, whichever is higher, should be considered for inclusion in the PEMP. These numbers are provided as general guidelines. The SOM should also consider the overall importance/impact of a particular program/project to the laboratory and/or DOE's mission in making a final determination as to whether or not the customer is asked to provide input on the PEMP and the laboratory's performance.

4.6 PEMP Review and Approval

In accordance with the Acquisition Guide Chapter 71.2, "Performance Based Incentives and Related Approvals," SC submitted a request for waiver of HQ Office of Procurement and Assistance Management review and approval of the performance objectives and associated incentives for SC's laboratory M&O contracts. SC's request was approved by the Office of Procurement and Assistance Management on August 23, 2005 (see Enclosure 7 for a copy of the waiver), based on the approach SC uses to develop performance objectives, measures, and incentives and to evaluate the contractor's performance, which is described below.

SC-32 shall conduct a quality review of all draft SC laboratory PEMPs for completeness and conformance with SC guidance and relevant templates. More specifically, SC-32 shall ensure the following criteria are met with respect to each of the draft PEMPs:

- Introduction Section
 - Provides sufficient information in line with SC guidance for determining contractor performance ratings and incentives (e.g., fee) earned
 - Provides sufficient information for making adjustments to evaluation grades and/or incentive(s) determinations
 - Follows the standard template provided by SC (see Enclosure 2)
- Science and Technology Goals and Objectives (Goals 1.0-3.0)
 - Provides Goal/Objective weightings for each Customer with correct and appropriate accounting for the weights
 - Follows the standard template provided by SC (for SC single-program laboratories, see Enclosure 3; for multi-program laboratories, see Enclosure 4)
 - Includes the SC-1-approved notable outcomes
- Leadership and Stewardship of the Laboratory Goal and Objectives (Goal 4.0)
 - Provides Objective weightings with correct and appropriate accounting for the weights
 - Follows the standard template provided by SC (see Enclosure 5)
 - Includes the SC-1-approved notable outcomes
- Management and Operations Goals and Objectives (Goals 5.0-8.0)
 - Provides Goal/Objective weightings with correct and appropriate accounting for the weights
 - Follows the standard template provided by SC (see Enclosure 6)
 - Includes the SC-1-approved notable outcomes

² For the purpose of this guidance the word "customer" means the DOE Assistant Secretary-level Office (e.g., SC, the National Nuclear Security Administration (NNSA), the Office of Energy Efficiency and Renewable Energy (EERE), the Office of Fossil Energy (FE), and etcetera), and the Department of Homeland Security (DHS).

SC-32 shall provide approval of the PEMP's to the SOMs after SC-1 approves the notable outcomes and SC-32 completes its review of the draft PEMP's.

4.7 Making Changes/Modifications to an Approved PEMP

Although not recommended, changes/modifications to an approved PEMP may be necessary from time to time. Proposed changes/modification to assigned weightings for a Performance Goal or Objective shall be coordinated with SC-32 prior to being executed. A proposed change/modification to an assigned notable outcome shall be coordinated by SC-32 and approved by SC-1.

5.0 Evaluating Performance, Developing the Annual Assessment Report, and Final Review/Approval of Grades and Performance Fee to be Awarded

The SC performance-based appraisal process for evaluating its contractors' success in managing and operating the SC laboratories utilizes the standardized PEMP discussed in Section 4.0 above, and comprises an evaluation by the SC leadership team, as well as all other relevant customers. This cooperative review methodology will ensure that the overall evaluation of the contractor results in a consolidated DOE position on the contractors' performance. The responsibilities of those with roles in the evaluation process are identified and described in Section 3.0, above, and the preliminary schedule for the evaluation process is provided in Enclosure 12.

The following sub-sections provide general guidance for the evaluation of contractor performance in accordance with the approved PEMP, the development of the annual laboratory contractor performance evaluation report and review and approval process.

5.1 Performance Evaluation Methodology

A numerical score and corresponding letter grade for each Performance Objective and Goal shall be determined by the office(s) responsible for evaluating the contractor's performance in those areas and in accordance with Figure 1, below. The numerical scores and corresponding letter grades represent the degree of effectiveness and performance of the laboratory contractor in meeting the Performance Goals and Objectives.

Achievement of a notable outcome is a prerequisite for meeting the Department's expectations (i.e., if the contractor fails to meet expectations against a notable outcome tied to an Objective under Goal 1.0, 2.0, or 3.0, the SC program office that assigned the notable outcome shall award a grade less than "B+" for the Objective(s) to which the notable outcome is linked; and if the contractor fails to meet expectations against a notable outcome tied to an Objective under Goal 4.0, 5.0, 6.0, 7.0 or 8.0, SC shall award a grade less than "B+" for the Objective(s) to which the notable outcome is linked). Thus, evaluators shall consider the contractors' performance against their notable outcomes as one indicator of the contractors' success in meeting the Performance Objectives. All other performance information available to the evaluating office from other sources to include, but not limited to, the contractor's self-evaluation report, operational awareness (daily oversight) activities, "For Cause" reviews (if any), and other

outside agency reviews (OIG, GAO, DCAA, and etcetera), may be used in determining the laboratory’s overall success in meeting a Performance Objective³.

The SC-1-approved grades for each Performance Goal will be posted on the SC website in the form of a report card for each laboratory contractor (Enclosure 9 provides the template for these report cards). The grades for the Performance Goals shall not be combined to provide an overall grade for the laboratory contractor.

The web-based Laboratory Rating Tool (LRT) shall be used by the program evaluators (SC and other customers) to provide scores/grades and narrative input on the contractors’ performance in Goals 1.0-3.0 and, similarly, by the site offices to provide scores/grades and narrative input on the contractors’ performance in Goals 5.0-8.0. The LRT shall also be used to calculate the overall scores/grades earned by the contractors. The LRT may be accessed at the following link: <https://cpsweb.ee.doe.gov/labratingtool/Login.aspx>.

Program evaluators and site offices that wish to provide suggested scores/grades and narrative input on the contractors’ performance in Goal 4.0 may do so by completing the score/grade template provided in Enclosure 10 and submitting it via email to SC-32. SC-32 shall input the final scores/grades and narrative for the contractor performance evaluation report with respect to Goal 4.0 into the LRT in accordance with the process described in sub-section 5.8 of this guidance document.

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

Figure 1. Score/Letter Grade Scale

5.2 Calculating Individual Performance Goal Scores and Letter Grades

Each Performance Objective is assigned a numerical score of 0-4.3 by the evaluating office according to the scale provided in Figure 1, above. Performance Goal ratings are calculated by multiplying the numerical score by the weight assigned to each Performance Objective, and then adding them to develop an overall score for the Performance Goal. Raw scores from each calculation are to be carried through to the next stage of the calculation process. The raw score for each Performance Goal will then be rounded to the nearest tenth of a point for purposes of identifying the overall letter grade as indicated in Figure 1. 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.5) is to be utilized. The eight Performance Goal grades shall be depicted in the final report given to the contractor utilizing the laboratory report card format provided in Figure 2, below.

³ If used, performance information identified within the contractors’ self-evaluation reports shall be verified/validated by the appropriate DOE office.

Performance Goal	Grade
1.0 Mission Accomplishment	
2.0 Design, Fabrication, Construction and Operations of Research Facilities	
3.0 Science and Technology Program Management	
4.0 Sound and Competent Leadership and Stewardship of the Laboratory	
5.0 Integrated Safety, Health, and Environmental Protection	
6.0 Business Systems	
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio	
8.0 Integrated Safeguards and Security Management and Emergency Management Systems	

Figure 2. Laboratory Report Card

5.3 Performance Evaluation Normalization Meetings

SC-32 shall convene three meetings following the end of each fiscal year to normalize evaluators' proposed scores/grades and to assist in assuring the techniques and methodologies for determining contractor performance scores/grades are consistent across the SC complex. Two of these meetings are to provide the lead evaluators for the S&T and M&O sections of the contractor performance evaluation reports (i.e., SC-2 and the SC ADs, and SC-3 and the SOMs, respectively) an opportunity to review the Goal and Objective scores/grades that are proposed for each laboratory contractor and to help normalize the methodologies being utilized in reaching appropriate scores/grades based on performance results. A third meeting of SC-2, SC-3, a representative of SC-1's office, and the SC-32 AD will provide the opportunity for these individuals to review the Goal 4.0 scores/grades proposed by the ADs and SOMs, normalize them, and provide a recommendation to SC-1 for their approval.

5.4 Determining the Amount of Performance-Based Fee Earned

SC uses the following process to determine the amount of performance-based fee earned by the contractor. The S&T score from each evaluator shall be used to determine an initial numerical score for S&T (see Table A, below), and the rollup of the scores for each M&O Performance Goal shall be used to determine an initial numerical M&O score (see Table B, below).

Program	Numerical Score	Weight ¹	Weighted Score	Total Score
ASCR				
BES				
BER				
FES				
HEP				
NP				
WDTS				
NNSA				
DHS				
EM				
EERE				
FE				
IN				
Initial S&T Score				

Table A. Fiscal Year Contractor Evaluation Initial S&T Score Calculation

¹ Weight = Program cost divided by total cost

M&O Performance Goal	Numerical Score	Weight	Weighted Score	
5.0 Integrated Safety, Health, and Environmental Protection				
6.0 Business Systems				
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio				
8.0 Integrated Safeguards and Security Management and Emergency Management Systems				
Initial M&O Score				

Table B. Fiscal Year Contractor Evaluation Initial M&O Score Calculation

These initial scores will then be adjusted based on the numerical score for Goal 4.0 (see Table C, below).

	Numerical Score	Weight		
Initial S&T Score		0.75		
Goal 4.0		0.25		
Final S&T Score				
Initial M&O Score		0.75		
Goal 4.0		0.25		
Final M&O Score				

Table C. FY Fiscal Year Final S&T and M&O Score Calculation

The final S&T score will then be used to determine the amount of available fee that may be earned (see Figure 3) and the final M&O score will be used to determine the multiplier to be applied (see Figure 3) to the S&T fee earned to determine the final amount of fee earned for the year (in accordance with Table D). No overall grade will be provided.

Overall Final Score for either S&T or M&O from Table B.	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%

Overall Final Score for either S&T or M&O from Table B.	Percent S&T Fee Earned	M&O Fee Multiplier
2.6		
2.5		
2.4		
2.3	75%	85%
2.2		
2.1		
2.0		
1.9	50%	75%
1.8		
1.7		
1.6	0%	60%
1.5		
1.4		
1.3		
1.2		
1.1		
1.0 to 0.8	0%	0%
0.7 to 0.0	0%	0%

Figure 3. Performance-Based Fee Earned Scale

Overall Fee Determination	
Percent S&T Fee Earned	
M&O Fee Multiplier	x
Overall Earned Performance-Based Fee	

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

The Federal Acquisition Regulations (FAR) requirements for using and administering cost-plus-award-fee contracts were recently modified to provide for a five-level adjectival grading system with associated levels of available fee.⁴ SC has addressed the new FAR 16 language by mapping its standard numerical scores and associated fee determinations to the FAR Adjectival Rating System, as noted in Table 4 on the next page.

⁴ See Policy Flash 2010-05, *Federal Acquisition Circular 2005-37*.

Range of Overall Final Score for S&T from Table B.	FAR Adjectival Rating	Maximum Performance-Fee Pool Available to be Earned
3.1 to 4.3	Excellent	100%
2.5 to 3.0	Very Good	88%
2.1 to 2.4	Good	75%
1.8 to 2.0	Satisfactory	50%
0.0 to 1.7	Unsatisfactory	0%

Figure 4. Crosswalk of SC Numerical Scores and the FAR 16 Adjectival Rating System

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

The Performance Goals and their corresponding Performance Objectives are to be the primary means used by evaluators to determine the contractor’s performance grades and/or the amount of performance-based fee earned. However, COs may unilaterally make a recommendation to adjust the ratings and/or reduce the otherwise earned fee based on the contractor’s performance against all contract requirements. Such a decision is based on the severity of the performance failure and consideration of mitigating factors. Examples of severity of performance and mitigating factors may be found within the policies described in DEAR 970.5215-3, *Conditional Payment of Fee, Profit, and Other Incentives – Facility Management Contracts*. Data to support rating and/or fee adjustments may be derived from sources to include, but not limited to, operational awareness activities (i.e., daily oversight), “For Cause” reviews (if any), and/or other outside agency reviews (e.g., OIG, GAO, DCAA, and etcetera).

SC-1 is responsible for making the final determinations about the contractor’s performance grades and any fee to be earned based on performance.

5.6 Determining Award Term Eligibility

The process SC uses to determine a contractor’s eligibility to earn contract award term extensions depends on the results of the SC laboratory appraisal process unless other requirements for earning the award term have been identified in the PEMP.

The CO shall prepare a one page Award Term Decision Document in accordance with Procedure 1, *Performing an Award Term Evaluation and Recommendation*, of the M&O

Contract Extension Subject Area of the Office of Science Management System (SCMS) (see Enclosure 11 for an Award Term Decision Document template). The completed document is to be submitted to SC-32 along with the annual contractor performance evaluation presentation for SC-1 (see Enclosure 8). SC-1, acting in his/her capacity as the Award Term Determining Official, is responsible for making the final determination regarding whether a contractor has earned the award term extension.

If a determination is made to grant an award term extension, the CO shall use the steps prescribed in Procedure 2, *Effecting an Award Term Extension*, within the SCMS M&O Contract Extension Subject Area to initiate the process to extend the contract.

5.7 Contractor Performance Evaluation Presentation for SC-1

An annual SC performance evaluation meeting of SC-1, SC-2, SC-3, SC-4, and SC-32 will be scheduled and held following the end of each evaluation period. This meeting will be used to review the contractors' performance within each Performance Goal/Objective and to gain consensus on the grades and incentives to be awarded.

Each SOM shall prepare a presentation detailing the performance of the contractor they oversee in accordance with the template provided in Enclosure 8. *This template is subject to change and any modifications to its content or format will be provided to the site offices as a later date by SC-32.* These presentations will be used to brief SC-1 on the performance of each contractor, and are to be provided to SC-32 in advance of the meeting (due dates for presentation packages will be provided by SC-32 each year).

SC-32 will schedule the annual performance evaluation meeting in accordance with the general schedule set forth in Enclosure 12. The outcome of these meetings is the final approval by SC-1 for the recommended grades and incentives to be awarded to the contractor, and a set of talking points for use by SC-1 in the formal evaluation debriefings with the laboratory directors to communicate year-end performance information to them.

5.8 Contractor Performance Evaluation Report

The site offices shall prepare a contractor performance evaluation report using the Laboratory Rating Tool (which may be accessed at the following link: <https://cpsweb.ee.doe.gov/labratingtool/Login.aspx>). The report shall follow the outline of the PEMP and, at a minimum, provide the following information:

1. An overall summary grade/fee section providing a short description of the basis utilized for the evaluation and how the scores/grades were determined. This section should also include the Report Card with the grades assigned for the eight Goals, as well as an indication of the total performance-based fee earned, to include the "Performance-Based Fee Earned Scale" table from the PEMP with the appropriate score and corresponding percentage highlighted and the "Final Percentage of Performance-Based Fee Earned Determination" table filled in as appropriate.
2. An adjustment to the letter grade and/or performance-based fee determination section providing the rationale for any adjustment(s) to the otherwise earned grade and/or fee if necessary. This section shall include the basis utilized for such a determination as stated within the corresponding section of the PEMP.

3. A Goals and Objectives Performance section which describes the contractor's performance in meeting each Performance Objective. The description for each Objective must contain sufficient information to justify the score/grade assigned to each. A summary of the overall performance at the Goal level should also be provided with the overall score/grade for the Goal. The Performance Goal Score Development tables included within the PEMP shall be included to graphically show each Objectives score, weighting, and overall Goal score. Each Performance Objective justification and Performance Goal summary should identify, as appropriate, any areas of strength or weakness and/or where performance improvement is necessary. Names of individual personnel (e.g., laboratory employees, managers, researchers) shall be omitted from the performance report.
4. Each of the HQ program office evaluations shall be appended to the report in their entirety. In doing so each program office's evaluation can be summarized under the appropriate S&T Goal(s) within the section described in number 3 above, while still affording the contractor the benefit of the overall HQ evaluation. Names of individual personnel (e.g., laboratory employees, managers, researchers) shall be omitted from the performance report.

Scores, grades, and any other relevant performance evaluation material, including the performance evaluation report, shall not be shared with the contractor prior to final approval by SC-1, or before the date and time for release of the reports set by SC-32.

SOMs shall develop and sign a cover letter that summarizes the results of the evaluation and provide it to the contractor along with the final evaluation report. The cover letter should be written at a level that will support effective communications of the results to contractor management and staff, as well as to key stakeholders and the public.

5.9 Evaluation Debriefings with the Laboratories

Following the completion of SC's evaluation of the laboratories' performance, and prior to the evaluation rollout, SC-1 shall chair individual meetings with the SC laboratory directors to debrief them on the results of their respective evaluations. SC-32 shall coordinate with SC-1's office to prepare the feedback that will be presented to the laboratory leadership team during these meetings.

5.10 Evaluation Rollout

The site offices are responsible for issuing the final performance evaluation reports to the contractors. All reports will be issued to the contractors on the same day. This activity shall be coordinated by SC-32.

Each year, SC-32 shall review the need for issuance of a formal DOE press release. If a determination is made to issue a press release, the activity will be coordinated among the site offices, SC-32, the SC Communications Director, the DOE HQ Offices of Public Affairs (PA) and Congressional and Intergovernmental Affairs (CI). The final performance evaluation reports and cover letters are to be issued to the contractors at least 24 hours prior to the issuance of any DOE press release.

Contractors may also issue press releases; however, if DOE is issuing a press release, the contractors' press releases must be issued subsequent to the DOE announcement.

The report cards for each laboratory contractor will be posted on the SC website within one week following the formal issuance of the reports to the contractors. A fact sheet explaining the rating system and how it is implemented will also be posted to the website.

DOE CI will provide advance notice to Congressional offices of the release of rating information and any announcements to be made, as appropriate. The DOE PA will handle media inquiries in response to the release of performance evaluation reports about SC's performance assessment system, how it is implemented, comparative information about laboratories, and any policy issues that may arise. SC will identify the lead spokesperson to address these questions.

Media inquiries regarding specific laboratory evaluations will be handled by the responsible site office, with public affairs support from either on-site public affairs officers or the ISC, as appropriate. Copies of individual laboratory evaluation reports shall be provided upon request by the cognizant site office. Questions posed to site offices regarding other laboratories, SC policy, detailed program questions, and etcetera, will be referred to HQ for response.

6.0 Schedule

Enclosure 12 provides the major steps and schedule for the SC laboratory performance appraisal process, including those for the development, review, and approval of the fiscal year PEMP, the evaluation of contractor performance, and the development, review, approval, and final issuance of the evaluation reports to the contractors. SC-32 will identify and provide final dates as part of the annual supplemental guidance.

Enclosure 1. PEMP Goals & Objectives

The Performance Goals and Performance Objectives indicated below shall be used as provided unless otherwise changed by the Office of Science (SC) Office of Laboratory Policy and Evaluation and approved by the Director of the Office of Science. Changes to the Goals and/or Objectives shall be incorporated into this enclosure via formal, written changes to the SC procedures and guidance for the SC laboratory performance appraisal process.

PEMP Goals & Objectives:

- 1.0 Provide for Efficient and Effective Mission Accomplishment
 - 1.1 Provide Science and Technology Results with Meaningful Impact on the Field
 - 1.2 Provide Quality Leadership in Science and Technology that Advances Community Goals and DOE Mission Goals

 - 2.0 Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities
 - 2.1 Provide Effective Facility Design(s) as Required to Support Laboratory Programs (i.e., activities leading up to CD-2)
 - 2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components (execution phase, Post CD-2 to CD-4)
 - 2.3 Provide Efficient and Effective Operation of Facilities
 - 2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities

 - 3.0 Provide Effective and Efficient Science and Technology Program Management
 - 3.1 Provide Effective and Efficient Strategic Planning and Stewardship of Scientific Capabilities and Program Vision
 - 3.2 Provide Effective and Efficient Science and Technology Project/Program/Facilities Management
 - 3.3 Provide Efficient and Effective Communications and Responsiveness to Headquarters Needs

 - 4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory
 - 4.1 Leadership and Stewardship of the Laboratory
 - 4.2 Management and Operation of the Laboratory
 - 4.3 Contractor Value-Added

 - 5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection
 - 5.1 Provide an Efficient Worker Health and Safety Program
 - 5.2 Provide Efficient and Effective Environmental Management System

 - 6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)
 - 6.1 Provide an Efficient, Effective, and Responsive Financial Management System
 - 6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System and Property Management System
 - 6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program
-

- 6.4 Provide Efficient, Effective, and Responsive Contractor Assurance Systems, including Internal Audit and Quality
- 6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets

- 7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs
 - 7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs
 - 7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support the Continuation and Growth of Laboratory Missions and Programs

- 8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems
 - 8.1 Provide an Efficient and Effective Emergency Management System
 - 8.2 Provide an Efficient and Effective Cyber Security System for the Protection of Classified and Unclassified Information
 - 8.3 Provide an Efficient and Effective Physical Security Program for the Protection of Special Nuclear Materials, Classified Matter, Classified Information, Sensitive Information, and Property

Enclosure 2. PEMP Introduction Template

Site offices are to use this template for the introduction section of the PEMP. It shall be incorporated as provided herein into the final draft PEMPs, with the exception of the following items which shall be adjusted as appropriate:

1. The highlighted S&T Goal **TBD%** or weighting percentages should be incorporated dependent upon whether or not you choose to include preliminary cost percentages for informational purposes.
 2. The highlighted sentence within the Table A footnote should remain or be deleted in accordance with the decision to provide preliminary cost percentages as discussed in item 1, above.
 3. The section entitled “Determining Award Term Eligibility” should be included if the laboratory contract contains an award term provision. This section should provide sufficient information to summarize the provision and provide references to contract clauses and information regarding the process for determination of award term eligibility (e.g., SCMS, site office procedures). If no award term provision exists in the contract, this section should be deleted.
-

INTRODUCTION

This document, the Performance Evaluation and Measurement Plan (PEMP), primarily serves as DOE's Quality Assurance/Surveillance Plan (QASP) for the evaluation of *Name of Contractor* (hereafter referred to as "the Contractor") performance regarding the management and operations of the *Name of National Laboratory* (hereafter referred to as "the Laboratory") for the evaluation period from October 1, *YEAR*, through September 30, *YEAR*. 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 requirement 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 Performance Goals (hereafter referred to as Goals), Performance Objectives (hereafter referred to as Objectives) and set of notable outcomes discussed herein were developed in accordance with contract expectations set forth within the contract. The notable outcomes 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 notable outcomes, shall be evaluated jointly by the appropriate HQ office, major customer and/or the Site Office as appropriate. This cooperative review methodology will ensure that the overall evaluation of the Contractor results in a consolidated DOE position taking into account specific notable outcomes as well as all additional information available to the evaluating office. 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 incentives 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 notable outcomes identified, along with the weightings assigned to each Goal and Objective and a table for calculating the final grade for each Goal.

I. DETERMINING THE CONTRACTOR'S PERFORMANCE RATING, PERFORMANCE-BASED FEE AND AWARD TERM ELIGIBILITY (as applicable)

The FY *YEAR* Contractor performance grades for each Goal will be determined based on the weighted sum of the individual scores earned for each of the Objectives described within this document for Science and Technology (S&T) and for Management and Operations (M&O). Each Goal is composed of two or more weighted Objectives. Additionally, a set of notable outcomes has been identified to highlight key aspects/areas of performance deserving special attention by the Contractor for the upcoming fiscal year.

Each notable outcome is linked to one or more Objectives, and failure to meet expectations against any notable outcome will result in a grade less than B+ for that Objective(s) (i.e., if the contractor fails to meet expectations against a notable outcome tied to an Objective under Goal 1.0, 2.0, or 3.0, the SC program office that assigned the notable outcome shall award a grade less than “B+” for the Objective(s) to which the notable outcome is linked; and if the contractor fails to meet expectations against a notable outcome tied to an Objective under Goal 4.0, 5.0, 6.0, 7.0 or 8.0, SC shall award a grade less than “B+” for the Objective(s) to which the notable outcome is linked). Performance above expectations against a notable outcome will be considered in the context of the Contractor’s entire performance with respect to the relevant Objective. The following section describes SC’s methodology for determining the Contractor’s grades at the Objective level.

Performance Evaluation Methodology:

The purpose of this section is to establish a methodology to develop grades at the Objective level. Each evaluating office shall provide a proposed grade and corresponding numerical score for each Objective (see Figure 1 for SC’s scale). Each evaluation will measure the degree of effectiveness and performance of the Contractor in meeting the corresponding Objectives.

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

Figure 1. FY YEAR Contractor Letter Grade Scale

For the three S&T Goals (1.0 – 3.0) the Contractor shall be evaluated against the defined levels of performance provided for each Objective under the S&T Goals. The Contractor performance under Goal 4.0 will also be evaluated using the defined levels of performance described for the three Objectives under Goal 4.0. The descriptions for these defined levels of performance are included in Section II.

It is the DOE’s expectation that the Contractor provides for and maintains management and operational (M&O) systems that efficiently and effectively support the current mission(s) of the Laboratory and assure the Laboratory’s ability to deliver against DOE’s future needs. In evaluating the Contractor’s performance DOE shall assess the degree of effectiveness and performance in meeting each of the Objectives provided under each of the Goals. For the four M&O Goals (5.0 – 8.0) DOE will rely on a combination of the information through the Contractor’s own assurance systems, the ability of the Contractor to demonstrate the validity of this information, and DOE’s own independent assessment of the Contractor’s performance across the spectrum of its responsibilities. The latter might include, but is not limited to operational awareness (daily oversight) activities; formal assessments conducted; “For Cause” reviews (if any); and other outside agency reviews (OIG, GAO, DCAA, etc.).

The mission of the Laboratory is to deliver the science and technology needed to support Departmental missions and other sponsor’s needs. Operational performance at the Laboratory meets DOE’s expectations (defined as the grade of B+) for each Objective if the Contractor is performing at a level that fully supports the Laboratory’s current and future science and technology mission(s). Performance that has, or has the potential to, 1) adversely impact the delivery of the current and/or future DOE/Laboratory mission(s), 2) adversely impact the DOE and or the Laboratory’s reputation, or 3) does not provide the competent people, necessary facilities and robust systems necessary to ensure sustainable performance, shall be graded below expectations as defined in Figure 3, below.

The Department sets our expectations high, and expects performance at that level to optimize the efficient and effective operation of the Laboratory. Thus, the Department does not expect routine Contractor performance above expectations against the M&O Goals (5.0 – 8.0). Performance that might merit grades

above B+ would need to reflect a Contractor’s significant contributions to the management and operations at the system of Laboratories, or recognition by external, independent entities as exemplary performance.

Definitions for the grading scale for the Goal 5.0 – 8.0 Objectives are provided in Figure I-1, below:

Letter Grade	Numerical Grade	Definition
A+	4.3-4.1	Significantly exceeds expectations of performance against all aspects of the Objective in question. The Contractor’s systems function at a level that fully supports the Laboratory’s current and future science and technology mission(s). Performance is notable for its significant contributions to the management and operations across the SC system of laboratories, and/or has been recognized by external, independent entities as exemplary.
A	4.0-3.8	Notably exceeds expectations of performance against all aspects of the Objective in question. The Contractor’s systems function at a level that fully supports the Laboratory’s current and future science and technology mission(s). Performance is notable for its contributions to the management and operations across the SC system of laboratories, and/or as been recognized by external, independent entities as exemplary.
A-	3.7-3.5	Exceeds expectations of performance against all aspects of the Objective in question. The Contractor’s systems function at a level that fully supports the Laboratory’s current and future science and technology mission(s).
B+	3.4-3.1	Meets expectations of performance against all aspects of the Objective in question. The Contractor’s systems function at a level that fully supports the Laboratory’s current and future science and technology mission(s). No performance has, or has the potential to, adversely impact 1) the delivery of the current and/or future DOE/Laboratory mission(s), 2) the DOE and/or the Laboratory’s reputation, or does not 3) provide a sustainable performance platform.
B	3.0 -2.8	Just misses meeting expectations of performance against a few aspects of the Objective in question. In a few minor instances, the Contractor’s systems function at a level that does not fully support the Laboratory’s current and future science and technology mission, or provide a sustainable performance platform.
B-	2.7-2.5	Misses meeting expectations of performance against several aspects of the Objective in question. In several areas, the Contractor’s systems function at a level that does not fully support the Laboratory’s current and future science and technology mission, or provide a sustainable performance platform.
C+	2.4-2.1	Misses meeting expectations of performance against many aspects of the Objective in question. In several notable areas, the Contractor’s systems function at a level that does not fully support the Laboratory’s current and future science and technology mission or provide a sustainable performance platform, and/or have affected the reputation of the Laboratory or DOE.
C	2.0-1.8	Significantly misses meeting expectations of performance against many aspects of the Objective in question. In many notable areas, the Contractor’s systems do not support the Laboratory’s current and future science and technology mission, nor provide a sustainable performance platform and may affect the reputation of the Laboratory or DOE.
C-	1.7- 1.1	Significantly misses meeting expectations of performance against most aspects of the Objective in question. In many notable areas, the Contractor’s systems demonstrably hinder the Laboratory’s ability to deliver on current and future science and technology mission, and have harmed the reputation of the Laboratory or DOE.
D	1.0-0.8	Most or all expectations of performance against the Objective in question are missed. Performance failures in this area have affected all parts of the Laboratory; DOE leadership engagement is required to deal with the situation and help the Contractor.
F	0.7-0	All expectations of performance against the Objective in question are missed. Performance failures in this area are not recoverable by the Contractor or DOE.

Figure I-1. Letter Grade and Numerical Grade Definitions

Calculating Individual Goal Scores and Letter Grades:

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 numerical score for each Goal. For the purpose of determining the final Goal grade, the raw numerical score for each Goal will be rounded to the nearest tenth of a point using the standard rounding convention discussed below and then compared to Figure 2. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective numerical scores to the Goal grade. No overall rollup grade shall be provided.

As stated above the raw numerical score from each calculation shall be carried through to the next stage of the calculation process. The raw numerical score for S&T and M&O will be rounded to the nearest tenth of a point for purposes of determining fee. 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.5).

The eight Performance Goal grades shall be used to create a report card for the laboratory (see Figure 2, below).

Performance Goal	Grade
1.0 Mission Accomplishment	
2.0 Design, Fabrication, Construction and Operations of Research Facilities	
3.0 Science and Technology Program Management	
4.0 Sound and Competent Leadership and Stewardship of the Laboratory	
5.0 Integrated Safety, Health, and Environmental Protection	
6.0 Business Systems	
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio	
8.0 Integrated Safeguards and Security Management and Emergency Management Systems	

Figure 2. Laboratory Report Card

Determining the Amount of Performance-Based Fee Earned:

SC uses the following process to determine the amount of performance-based fee earned by the contractor. The S&T score from each evaluator shall be used to determine an initial numerical score for S&T (see Table A, below), and the rollup of the scores for each M&O Performance Goal shall be used to determine an initial numerical M&O score (see Table B, below).

Program	Numerical Score	Weight¹	Weighted Score	Total Score
ASCR				
BES				
BER				
FES				
HEP				
NP				
WDTS				
NNSA				
DHS				
EM				
EERE				
FE				
IN				
Initial S&T Score				

Table A. Fiscal Year Contractor Evaluation Initial S&T Score Calculation

¹ Weight = Program cost divided by total cost

M&O Performance Goal	Numerical Score	Weight	Weighted Score	
5.0 Integrated Safety, Health, and Environmental Protection				
6.0 Business Systems				
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio				
8.0 Integrated Safeguards and Security Management and Emergency Management Systems				
Initial M&O Score				

Table B. Fiscal Year Contractor Evaluation Initial M&O Score Calculation

These initial scores will then be adjusted based on the numerical score for Goal 4.0 (see Table C, below).

	Numerical Score	Weight		
Initial S&T Score		0.75		
Goal 4.0		0.25		
Final S&T Score				
Initial M&O Score		0.75		
Goal 4.0		0.25		
Final M&O Score				

Table C. FY Fiscal Year Final S&T and M&O Score Calculation

The percentage of the available performance-based fee that may be earned by the Contractor shall be determined based on the final score for S&T (see Table C) and then compared to Figure 3, below. The final score for M&O from Table C shall then be utilized to determine the final fee multiplier (see Figure 3), which shall be utilized to determine the overall amount of performance-based fee earned for FY YEAR as calculated within Table D.

Overall Final Score for either S&T or M&O from Table B.	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		

Overall Final Score for either S&T or M&O from Table B.	Percent S&T Fee Earned	M&O Fee Multiplier
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%

Figure 3. Performance-Based Fee Earned Scale

Overall Fee Determination	
Percent S&T Fee Earned	
M&O Fee Multiplier	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 notable outcomes 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); and other outside agency reviews (OIG, GAO, DCAA, etc.), as 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: (Provide information as applicable)

II. PERFORMANCE GOALS, OBJECTIVES & NOTABLE OUTCOMES

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 demonstrated performance by the laboratory, and on a set of notable outcomes that focus laboratory leadership on the specific items that are the most important initiatives and highest risk issues the laboratory must address during the year. These notable outcomes should be objective, measurable, and results-oriented to allow for a definitive determination of whether or not the specific outcome was achieved at the end of the year.

Performance Goals, Objectives, and Notable Outcomes

The following sections describe the Performance Goals, their supporting Objectives, and associated notable outcomes for FY YEAR.

Enclosure 3. Generic Science and Technology Goals and Objectives (Goals 1.0-3.0) – Single-Program Labs

This enclosure provides the generic Science and Technology Goals and Objectives (Goals 1.0-3.0) for all single-program laboratory PEMPs. This is a generic template that shall be incorporated as provided herein into the final draft PEMPs, with the exception of the following items which shall be adjusted as appropriate:

1. The listing of SC Program Offices providing evaluations (bullets under each Goal).
2. The highlighted sentence in the second paragraph of each Goal will either remain or be deleted dependent upon whether or not you choose to include preliminary cost percentages for informational purposes. If preliminary percentages are not included, this sentence should be removed and the (TBD%) following each Program Office bullet should remain. If you choose to provide this information the highlighted sentence would remain and the appropriate percentages should be included for each Program Office.
3. Each of the tables at the end of each Goal section must be modified to match the listing of SC Program Offices providing evaluations (same as for item number 1, above).
4. The highlighted TBD% weightings and sentence within the second footnote, following each of the SC Program Office tables, should remain or be deleted in accordance with the decision to provide preliminary cost percentages as discussed in item 2, above.
5. Update the figure within Attachment I as appropriate to match the listing of SC Program Offices providing evaluations and fill in weightings assigned.
6. The “Notable Outcomes” section is to incorporate any notable outcomes approved by the Director of the Office of Science (SC-1), as appropriate. Each notable outcome must be linked to one or more Objectives. If no notable outcomes are provided for the Goal, the section should be deleted.

All other aspects of the attached S&T Goals/Objectives should be incorporated into the laboratory PEMP without modification. Remember when calculating the cost weights (either preliminary or actual) you should utilize the cost from each of the evaluating offices only, not the overall laboratory cost.

GOAL 1.0 Provide for Efficient and Effective Mission Accomplishment

The science and technology programs at the Laboratory produce high-quality, original, and creative results that advance science and technology; demonstrate sustained scientific progress and impact; receive appropriate external recognition of accomplishments; and contribute 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 listed below are preliminary, based upon FY [Year] cost figures, and are provided here 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 cost for FY [Year].

- Office of Advanced Scientific Computing Research (ASCR) **(TBD%)**
- Office of Basic Energy Sciences (BES) **(TBD%)**
- Office of Biological and Environmental Research (BER) **(TBD%)**
- Office of Fusion Energy Sciences (FES) **(TBD%)**
- Office of High Energy Physics (HEP) **(TBD%)**
- Office of Nuclear Physics (NP) **(TBD%)**
- Office of Workforce Development for Teachers and Scientists (WDTS) **(TBD%)**

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 1.2 below). The overall score earned is then compared to Table 1.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 1.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science Program, with input provided by each of the 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 cost for FY [Year] as compared to the total cost for those remaining HQ Program Offices.

Objectives

1.1 Provide Science and Technology Results with Meaningful Impact on the Field

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- Performance of the Laboratory with respect to proposed research plans;

- Performance of the Laboratory with respect to community impact and peer review; and
- Performance of the Laboratory with respect to impact to DOE mission needs.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Impact of publications on the field, as measured primarily by peer review;
- Impact of S&T results on the field, as measured primarily by peer review;
- Impact of S&T results outside the field indicating broader interest;
- Impact of S&T results on DOE or other customer mission(s);
- Successful stewardship of mission-relevant research areas;
- Delivery on proposed S&T plans;
- Significant awards (Nobel Prizes, R&D 100, FLC, 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.

Letter Grade	Definition
A+	In addition to satisfying the conditions for B+ <ul style="list-style-type: none"> • There are <i>significant research areas</i> for which the Laboratory has exceeded the expectations of the proposed research plans in significant ways through creative, new, or unconventional methods that allow greater scientific reach than expected. • S&T conducted at the Laboratory has resolved one of the most critical questions in the field, or has changed the way the research community thinks about a particular field through paradigm shifting discoveries that would be considered the most influential discovery of the decade for that field. • S&T conducted at the Laboratory provided major advances that significantly accelerate DOE or other customer mission(s).
A	In addition to satisfying the conditions for B+ <ul style="list-style-type: none"> • There are <i>important examples</i> where the Laboratory exceeded the expectations of the proposed research plans in significant ways through creative, new, or unconventional methods that allow greater scientific reach than expected. • All areas of S&T conducted at the Laboratory are of exceptional or outstanding merit and quality. • S&T conducted at the Laboratory has significant positive impact to DOE or other customer missions.
A-	In addition to satisfying the conditions for B+ <ul style="list-style-type: none"> • There are <i>important examples</i> where the Laboratory exceeded the expectations of the proposed research plans. • Significant areas of S&T conducted at the Laboratory are of exceptional or outstanding merit and quality. • S&T conducted at the Laboratory significantly impact DOE or other customer missions.
B+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • The Laboratory has successfully executed proposed research plans. • S&T conducted at the Laboratory are of high scientific merit and quality • S&T conducted at the Laboratory advance DOE or other customer missions.
B	<ul style="list-style-type: none"> • The Laboratory has successfully executed proposed research plans. • S&T conducted at the Laboratory advance DOE or other customer missions. BUT the Laboratory fails to meet the conditions for B+ for at least one of the following reasons: <ul style="list-style-type: none"> • S&T conducted at the Laboratory are not uniformly of high merit and quality OR some areas of research, previously supported, have become uncompetitive OR the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.

Letter Grade	Definition
B-	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • The Laboratory has <i>failed to successfully execute</i> proposed research plans <i>but contingencies were in place such that no funding was or will be terminated</i>. OR S&T conducted at the Laboratory <i>does little to advance</i> DOE or other customer missions. • <i>Significant areas of S&T</i> conducted at the Laboratory are <i>not of high merit and quality</i> OR <i>some areas of research, previously supported, have become uncompetitive</i> OR <i>the Laboratory do not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities</i>.
C	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>In several significant aspects, the Laboratory failed to deliver</i> on proposed research plans <i>using available resources such that some funding was or will be terminated</i> OR S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions • <i>Significant areas of S&T</i> conducted at the Laboratory are <i>of poor merit and quality</i> OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities</i>.
D	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>Multiple program elements at the Laboratory failed to deliver</i> on proposed research plans <i>using available resources such that significant funding was or will be terminated</i>. • <i>Multiple significant areas of S&T</i> conducted at the Laboratory are <i>of poor merit and quality</i> OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities</i>. • S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions.
F	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>Multiple program elements at the Laboratory failed to deliver</i> on proposed research plans <i>using available resources resulting in total termination of funding</i>. • <i>Multiple significant areas of S&T</i> conducted at the Laboratory are <i>of poor merit and quality</i> OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities</i> OR <i>the Laboratory has been found to have engaged in gross scientific incompetence and/or scientific fraud</i>. • S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions.

1.2 Provide Quality Leadership in Science and Technology that Advances Community Goals and DOE Mission Goals.

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- Innovativeness / Novelty of research ideas put forward by the Laboratory;
- Extent to which Laboratory staff members take on substantive or formal leadership roles in their community;
- Extent to which Laboratory staff members take on formal leadership roles in DOE and SC activities; and
- Extent to which Laboratory staff members contribute thoughtful and thorough peer reviews and other research assessments as requested by DOE and SC.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), 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 previous risky decisions by the PI/research staff have 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 and quality of collaborative efforts;
- Staff members visible in leadership positions in the scientific community;
- Involvement in professional organizations, National Academies panels and workshops,
- Effectiveness in driving the direction and setting the priorities of the community in a research field; and
- Success in competition for resources.

Letter Grade	Definition
A+	<p>In addition to satisfying the conditions for B+, the following conditions hold for ALL Laboratory staff:</p> <ul style="list-style-type: none"> • Laboratory staff members have <i>leadership positions</i> in professional organizations AND <i>in National Academy or equivalent panels to discuss and determine further research directions</i>; • Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities, for example, Laboratory staff members chair or co-chair DOE-sponsored workshops and strategic planning activities. • The Laboratory program consistently produces and submits competitive proposals that challenge convention and open <i>significant new fields</i> for research that are well aligned with DOE mission needs and <i>the Laboratory has a strong recognized role in setting priorities and driving the direction in key research areas and are internationally recognized leaders in the field</i>. • Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.
A	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> • Laboratory staff members have <i>leadership positions</i> in professional organizations AND <i>staff has contributing role in National Academy or equivalent panels to discuss further research directions</i>; • Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities. • The Laboratory program consistently produces and submits competitive proposals that challenge convention and open <i>significant new fields</i> for research that are well aligned with DOE mission needs and <i>the Laboratory has a strong recognized role in setting priorities and driving the direction in key research areas</i>. • Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.
A-	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> • Laboratory staff members have <i>leadership positions</i> in professional organizations OR <i>staff has contributing role in National Academy or equivalent panels to discuss further research directions</i>; • Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities. • The Laboratory program consistently submits competitive proposals that challenge convention and open <i>significant new avenues</i> for research that are well aligned with DOE mission needs. • Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • Laboratory staff members are <i>active participants</i> in professional organizations, committees, and activities, and take on leadership responsibilities commensurate with experience and expertise. • Laboratory staff members are <i>active participants</i> in DOE sponsored workshops and strategic planning activities. • Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. • The Laboratory program consistently provides competitive proposals that challenge convention and open new avenues for research that are well aligned with DOE mission needs. • Laboratory staff are <i>active participants</i> in multi-institutional research collaborations

Letter Grade	Definition
B	<ul style="list-style-type: none"> • Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. • The Laboratory program consistently provides competitive proposals that challenge convention and open new avenues for research that are well aligned with DOE mission needs. <p>BUT the Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • Although <i>regular participants</i> in professional organizations, committees, and activities, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Although <i>regular participants</i> in DOE sponsored workshops and strategic planning activities, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Although <i>active members of multi-institutional research collaborations</i>, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>
B-	<ul style="list-style-type: none"> • Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. <p>BUT the Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • The Laboratory program submits competitive proposals <i>but these either lack innovation or are not well aligned with DOE mission needs.</i> • Laboratory staff are <i>infrequent participants</i> in professional organizations, committees, and activities, and <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Laboratory staff are <i>infrequent participants</i> in DOE sponsored workshops and strategic planning activities, and <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Although <i>active members of multi-institutional research collaborations</i>, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>
C	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • Laboratory staff members <i>do not reliably</i> contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. • <i>Some areas of research, previously supported, are no longer competitive.</i> • Laboratory staff members are <i>infrequent participants</i> in professional organizations, committees, and activities, AND <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Laboratory staff members are <i>infrequent participants</i> in DOE sponsored workshops and strategic planning activities, and <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> • Although Laboratory staff members are <i>active members of multi-institutional research collaborations</i>, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>
D	<p>The Laboratory fails to meet the conditions for B+ because <i>the Laboratory staff are working on problems that are no longer at the forefront of science and are considered mundane.</i></p>
F	<p>Review has found the Laboratory staff to be <i>guilty of gross scientific incompetence and/or scientific fraud.</i></p>

Notable Outcomes

- ***[List the notable outcomes provided by the Office of Science programs. Each notable outcome shall be linked to one or more Objectives.]***

Science Program Office ¹	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall ASCR Total				
Office of Basic Energy Sciences				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall BES Total				
Office of Biological and Environmental Research				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall BER Total				
Office of Fusion Energy Sciences				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall FES Total				
Office of High Energy Physics				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall HEP Total				
Office of Nuclear Physics				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall NP Total				
Office of Workforce Development for Teachers and Scientists				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall WDTS Total				

Table 1.1 – SC Program Office Performance Goal 1.0 Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Advanced Scientific Research			TBD%	
Office of Basic Energy Sciences			TBD%	
Office of Biological and Environmental Research			TBD%	
Office of Fusion Energy Sciences			TBD%	
Office of High Energy Physics			TBD%	
Office of Nuclear Physics			TBD%	
Office of Workforce Development for Teachers and Scientists			TBD%	
Performance Goal 1.0 Total				

Table 1.2 – Overall Performance Goal 1.0 Score Development²

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

² Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY [Year] cost 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 cost for FY [Year].

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 –Goal 1.0 Final Letter Grade

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

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

The weight of this Goal is **TBD%**.

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

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 2.1). **Weightings for each office listed below are preliminary, based upon FY [Year] cost 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 cost for FY [Year].

- Office of Advanced Scientific Computing Research (ASCR) **(TBD%)**
- Office of Basic Energy Sciences (BES) **(TBD%)**
- Office of Biological and Environmental Research (BER) **(TBD%)**
- Office of Fusion Energy Sciences (FES) **(TBD%)**
- Office of High Energy Physics (HEP) **(TBD%)**
- Office of Nuclear Physics (NP) **(TBD%)**
- Office of Workforce Development for Teachers and Scientists (WDTS) **(TBD%)**

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 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 DOE HQ Office of Science's (SC) 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 cost for FY [Year] as compared to the total cost for those remaining HQ Program Offices.

Objectives

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

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The Laboratory’s delivery of accurate and timely information required to carry out the critical decision and budget formulation process;
- The Laboratory’s ability to meet the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets;
- The extent to which the Laboratory appropriately assesses risks and contingency needs; and
- The extent to which the Laboratory is effective in its unique management role and partnership with HQ.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- The quality of the scientific justification for proposed facilities resulting from preconceptual R&D;
- The technical quality of conceptual and preliminary designs and the credibility of the associated cost estimates
- The credibility of plans for the full life cycle of proposed facilities including financing options;
- The leveraging of existing facilities and capabilities of the DOE Laboratory complex in plans for proposed facilities; and
- The novelty and potential impact of new technologies embodied in proposed facilities.

Letter Grade	Definition
A+	<p>In addition to satisfying all conditions for B+; the Laboratory <i>exceeds expectations</i> in <i>all</i> of these categories:</p> <ul style="list-style-type: none"> • The Laboratory is recognized by the research community as the leader for making the science case for the acquisition; • The Laboratory takes the initiative to demonstrate and thoroughly document the potential for transformational scientific advancement. • Approaches proposed by the Laboratory are widely regarded as innovative, novel, comprehensive, and potentially cost-effective. • Reviews repeatedly confirm strong potential for scientific discovery in areas that support the Department’s mission, and potential to change a discipline or research area’s direction. • The Laboratory identifies, analyzes and champions novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing and these efforts result in significant cost estimate and/or risk reductions without loss or, or while enhancing capability.
A	<p>In addition to satisfying all conditions for B+, <i>all</i> of the following conditions are also met:</p> <ul style="list-style-type: none"> • The Laboratory is recognized by the research community as a leader for making the science case for the acquisition; • The Laboratory takes the initiative to demonstrate the potential for revolutionary scientific advancement working in partnership with HQ • The Laboratory identifies, analyzes, and champions, to HQ and Site office, novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing.
A-	<p>In addition to satisfying all conditions for B+, <i>all</i> of the following conditions are also met:</p> <ul style="list-style-type: none"> • The approaches proposed by the Laboratory 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.

Letter Grade	Definition
B+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> The Laboratory displays leadership and commitment in the development of 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). Documentation requested by the programs is provided in a timely and thorough manner. The Laboratory 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. The Laboratory solves problems and addresses issues to avoid adverse impacts to the project.
B	The Laboratory fails to meet expectations in one of the areas listed under B+.
B-	The Laboratory fails to meet expectations in several of the areas listed under B+
C	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the required analyses and documentation developed by the Laboratory are EITHER not innovative, OR reflect a lack of commitment and leadership.
D	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the Laboratory fails to provide a compelling justification for the acquisition.
F	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the approaches proposed by the Laboratory are based on fraudulent assumptions; the science case is weak to non-existent, and 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 assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The Laboratory's adherence to DOE Order 413.3 Project Management for the Acquisition of Capital Assets;
- Successful fabrication of facility components by the Laboratory;
- The Laboratory's effectiveness in meeting construction schedule and budget;
- The quality of key Laboratory staff overseeing the project(s); and
- The extent to which the Laboratory maintains open, effective, and timely communication with HQ regarding issues and risks.

Letter Grade	Definition
A+	In addition to satisfying all conditions for A, <ul style="list-style-type: none"> There is high confidence throughout the execution phase that the project will be completed <i>significantly</i> under budget and/or ahead of schedule while meeting or exceeding all performance baselines;
A	In addition to satisfying all conditions for B+, <ul style="list-style-type: none"> The Laboratory has identified and implemented practices that would allow the project scope to be <i>significantly expanded</i> if such were desirable, without impact on baseline cost or schedule; The Laboratory <i>always</i> provides <i>exemplary</i> project status reports on time to DOE and takes the initiative to communicate emerging problems or issues. Reviews identify environment, safety and health practices to be <i>exemplary</i>. There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline;

Letter Grade	Definition
A-	In addition to satisfying all conditions for B+, <ul style="list-style-type: none"> • The Laboratory has identified practices that would allow for the project scope to be expanded if such were desirable, without impact on baseline cost or schedule; • Problems are identified and corrected by the Laboratory promptly, with no impact on scope, cost or schedule • The Laboratory provides <i>particularly useful</i> project status reports on time to DOE and regularly takes the initiative to communicate emerging problems or issues. • Reviews identify environment, safety and health practices to <i>exceed expectations</i>. • There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline;
B+	The Laboratory has achieved each of the following objectives <ul style="list-style-type: none"> • 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 Laboratory provides sustained leadership and commitment to environment, safety and health BUT <ul style="list-style-type: none"> • The project fails to meet expectations in <i>one</i> of the remaining areas listed under B+.
B-	The Laboratory provides sustained leadership and commitment to environment, safety and health BUT <ul style="list-style-type: none"> • The project fails to meet expectations in <i>several</i> of the areas listed under B+
C	The Laboratory provides sustained leadership and commitment to environment, safety and health BUT The project fails to meet expectations in <i>several</i> of the areas listed under B+ AND <ul style="list-style-type: none"> • Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; • Reports to DOE can vary in degree of completeness
D	The project fails to meet conditions for B+ in at least one of the following areas: <ul style="list-style-type: none"> • Reviews indicate project is likely to breach its cost/schedule performance baseline; • Laboratory commitment to environment, safety and health issues is inadequate; • Reports to DOE are largely incomplete; Laboratory commitment to the project has subsided.
F	The project fails to meet conditions for B+ in at least one of the following areas: <ul style="list-style-type: none"> • 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; • Recent reviews indicate that the project is expected to breach its cost/schedule performance baseline.

2.3 Provide Efficient and Effective Operation of Facilities

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The availability, reliability, performance, and efficiency of Laboratory facility(ies);
- The degree to which the facility is optimally arranged to support the user community;
- The extent to which Laboratory R&D is conducted to develop/expand the capabilities of the facility(ies);
- The Laboratory's effectiveness in balancing resources between facility R&D and user support; and
- The quality of the process used to allocate facility time to users.

Letter Grade	Definition
A+	<p>In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are also met</p> <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>significantly less</i> than planned and are acknowledged to be ‘leadership caliber’ by reviews; • Data on environment, safety, and health continues to be exemplary and widely regarded as among the ‘best in class’ • The Laboratory took extraordinary means to deliver an extraordinary result for the users and the program in the performance/ review period.
A	<p>In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are also met</p> <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in most of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>less</i> than planned and are acknowledged to be ‘leadership caliber’ by reviews; • Data on environment, safety, and health continues to be <i>exemplary</i> and widely regarded as among the ‘best in class.’
A-	<p>In addition to satisfying all conditions for B+, <i>one</i> of the following conditions is met:</p> <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in any of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>less</i> than planned and are acknowledged to be among the best by reviews;
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • Performance of the facility <i>meets</i> expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, capability (for example, beam delivery, luminosity, peak performance, etc), • The schedule and the costs associated with the ramp-up to steady state operations occur as planned; • Data on environment, safety, and health continues to be very good as compared with other projects in the DOE. • User surveys meet program expectations and reflect that the Laboratory is responsive to user needs.
B	The project fails to meet expectations in <i>one</i> of the areas listed under B+.
B-	The project fails to meet expectations in <i>more than one</i> of the areas listed under B+.
C	<p>Performance of the facility fails to meet expectations in <i>many</i> of the areas listed under B+; for example,</p> <ul style="list-style-type: none"> • The cost of operations is unexpectedly high and availability of the facility is unexpectedly low, the number of users is unexpectedly low, capability is well below expectations. • The 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 environment, safety, and health is satisfactory.
D	<p>Performance of the facility fails to meet expectations in <i>many</i> of the areas listed under B+; for example,</p> <ul style="list-style-type: none"> • The cost of operations is unexpectedly high and availability of the facility is unexpectedly low; capability is well below expectations. • The facility operates somewhat below steady state, on cost and on schedule, and 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 environment, safety, and health is inadequate.
F	<ul style="list-style-type: none"> • The facility fails to operate; the facility operates well below steady state and/or the reliability of the performance is well below planned values. • Laboratory commitment to environment, safety, and health issues is inadequate.

2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The extent to which the facility is being used to perform influential science;
- The Laboratory’s efforts to take full advantage of the facility to generate impactful S&T results;
- The extent to which the facility is strengthened by a resident Laboratory research community that pushes the envelope of what the facility can do and/or are among the scientific leaders of the community;
- The Laboratory’s ability to appropriately balance access by internal and external user communities; and
- The extent to which there is a healthy program of outreach to the scientific community.

Letter Grade	Definition
A+	In addition to meeting all measures under A, <ul style="list-style-type: none"> • The Laboratory took extraordinary means to deliver an extraordinary result for a new user community.
A	In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are met <ul style="list-style-type: none"> • An <i>aggressive</i> outreach programs is in place and has been documented as attracting new communities to the facility; • Reviews consistently find that the facility capability or scope of research potential <i>significantly</i> exceeds expectations for example, due to newly discovered capabilities or exposure to new research communities; OR Reviews find that multiple disciplines are using the facility in new and novel ways that the facility is being used to pursue influential science.
A-	In addition to satisfying all conditions for B+, <i>all</i> of the following conditions are met <ul style="list-style-type: none"> • A <i>strong</i> outreach program is in place; • Reviews find that the facility capability or scope of research potential exceeds expectations for example, due to newly discovered capabilities or exposure to new research communities; OR Reviews document how multiple disciplines are using the facility in new and novel ways and/or that the facility is being used to pursue important science.
B+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • Reviews find / validate that the facility is being used for influential science; • The scope of facility capabilities is challenged and broadened by resident users; • The Laboratory effectively manages user allocations; • The Laboratory effectively maintains the facility to required performance standards (for example, runtime, luminosity, etc) • A healthy outreach program is in place.
B	The Laboratory fails to meet expectations in <i>one</i> of the areas listed under B+
B-	The Laboratory fails to meet expectations in <i>several</i> of the areas listed under B+
C	The Laboratory fails to meet expectations in <i>many</i> of the areas listed under B+
D	Reviews find that there are few facility users, few of whom are using the facility in novel ways to produce impactful science; research base is very thin.
F	Laboratory staff does not possess capabilities to operate and/or use the facility adequately.

Notable Outcomes

- *[List the notable outcomes provided by the Office of Science programs. Each notable outcome shall be linked to one or more Objectives.]*

Science Program Office ³	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall ASCR Total				
Office of Basic Energy Sciences				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall BES Total				
Office of Biological and Environmental Research				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall BER Total				
Office of Fusion Energy Sciences				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall FES Total				
Office of High Energy Physics				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall HEP Total				
Office of Nuclear Physics				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall NP Total				
Office of Workforce Development for Teachers and Scientists				

³ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

Science Program Office ³	Letter Grade	Numerical Score	Weight	Overall Score
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall WDTS Total				

Table 2.1 – SC Program Office Performance Goal 2.0 Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Advanced Scientific Research			TBD%	
Office of Basic Energy Sciences			TBD%	
Office of Biological and Environmental Research			TBD%	
Office of Fusion Energy Sciences			TBD%	
Office of High Energy Physics			TBD%	
Office of Nuclear Physics			TBD%	
Office of Workforce Development for Teachers and Scientists			TBD%	
Performance Goal 2.0 Total				

Table 2.2 – Overall Performance Goal 2.0 Score Development⁴

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

Table 2.3 –Goal 2.0 Final Letter Grade

⁴ Weightings for each Customer listed within Table 2.2 are preliminary, based upon FY [Year] cost 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 cost for FY [Year].

GOAL 3.0 Provide Effective and Efficient Science and Technology Program Management

The Laboratory 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 [Year] cost figures, and are provided here 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 cost for FY [Year].

- Office of Advanced Scientific Computing Research (ASCR) **(TBD%)**
- Office of Basic Energy Sciences (BES) **(TBD%)**
- Office of Biological and Environmental Research (BER) **(TBD%)**
- Office of Fusion Energy Sciences (FES) **(TBD%)**
- Office of High Energy Physics (HEP) **(TBD%)**
- Office of Nuclear Physics (NP) **(TBD%)**
- Office of Workforce Development for Teachers and Scientists (WDTS) **(TBD%)**

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 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 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 cost for FY [Year] as compared to the total cost for those remaining HQ Program Offices.

Objectives

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

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The quality of the Laboratory’s strategic plan;
- The extent to which the Laboratory shows strategic vision for research
- The extent to which programs of research take advantage of Laboratory capabilities—research programs are more than the sum of their individual project parts;
- The extent to which the Laboratory undertakes research for which it is uniquely qualified;
- The extent to which lab plans are aligned with DOE mission goals;
- The extent to which the Laboratory programs are balanced between high-/low- risk research for a sustainable program; and
- The extent to which the Laboratory is able to retain and recruit staff for a sustainable program

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Articulation of scientific vision;
- Development and maintenance of core competencies,
- Ability to attract and retain highly qualified staff;
- Efficiency and effectiveness of joint planning (e.g., workshops) with outside community;
- Creativity and robustness of ideas for new facilities and research programs; and
- Willingness to take on high-risk/high payoff/long-term research problems, evidence that the Laboratory “guessed right” in that previous risky decisions proved to be correct and are paying off.
- The depth and breadth of Laboratory research portfolio and its potential for growth.

Letter Grade	Definition
A+	In addition to satisfying the conditions for B+, the execution of the Laboratory’s strategic plan has enabled the Laboratory to achieve each of the following: <ul style="list-style-type: none"> • <i>Most</i> of the Laboratory’s core competencies are recognized as world leading; • The Laboratory has attracted and retained world-leading scientists in <i>most</i> programs; • There is evidence that previous decisions to pursue high-risk/high-payoff research proved to be correct and are paying off; • The Laboratory has succeeded in developing new core competencies of <i>outstanding</i> quality in areas both exploratory, high-risk research and research that is vital to the DOE/SC missions;
A	In addition to satisfying the conditions for B+, the execution of the Laboratory’s strategic plan has enabled the Laboratory to achieve the following: <ul style="list-style-type: none"> • <i>Several</i> of the Laboratory’s core competencies are recognized as world leading; • The Laboratory has attracted and retained world-leading scientists in <i>several</i> programs; • There is evidence that previous decisions to pursue high-risk/high-payoff research proved to be correct and are paying off • The Laboratory has succeeded in developing <i>new</i> core competencies of <i>high</i> quality in areas both exploratory, high-risk research and research that is vital to the DOE/SC missions
A-	In addition to satisfying the conditions for B+, the execution of the Laboratory’s strategic plan has enabled the Laboratory to achieve at least one of the following: <ul style="list-style-type: none"> • At least one of the Laboratory’s core competencies is recognized as <i>world-leading</i>; • The Laboratory has attracted and retained <i>world-leading</i> scientists in one or more programs; • The Laboratory has a coherent plan for addressing future workforce challenges.

Letter Grade	Definition
B+	<p>The execution of the Laboratory's strategic plan has enabled the Laboratory to achieve each of the following objectives:</p> <ul style="list-style-type: none"> The Laboratory has articulated a coherent and compelling strategic plan that has been developed with input from external research communities and headquarters guidance, which, where appropriate, includes a coherent plan for building smaller research programs into new core competencies; and reallocates resources away from less effective programs. The Laboratory has demonstrated the ability to attract and retain professional scientific staff in support of its strategic vision. The portfolio of Laboratory research balances the needs for both high-risk/ high-payoff research and stewardship of mission-critical research. The Laboratory's research portfolio takes advantage of unique capabilities at the Laboratory. The Laboratory's research portfolio includes activities for which the Laboratory is uniquely capable.
B	<p>The Laboratory fails to satisfy one of the conditions for B+; for example</p> <ul style="list-style-type: none"> The Laboratory's strategic plan is only <i>partially</i> coherent and is not entirely well-connected with external communities; The portfolio of Laboratory research does <i>not</i> appropriately balance high-risk/ high-payoff research and stewardship of mission-critical research; The Laboratory has developed and maintained <i>some, but not all</i>, of its core competencies. The plan to attract and retain professional scientific staff is <i>lacking</i> strategic vision.
B-	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, including at least one of the following:</p> <ul style="list-style-type: none"> Weak programmatic vision insufficiently connected with external communities; Development and maintenance of only a few core competencies little attention to maintaining the correct balance between high-risk and mission-critical research; <u>inability to attract and retain talented scientists in some programs.</u>
C	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, including at least one of the following reasons:</p> <ul style="list-style-type: none"> The Laboratory's strategic plan lacks strategic vision and lacks appropriate coordination with appropriate stakeholders including external research groups. The Laboratory's strategic plan does not provide for sufficient maintenance of core competencies Plan to attract and retain professional scientific staff is unlikely to be successful or does not focus on strategic capabilities.
D	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, and specifically</p> <ul style="list-style-type: none"> The Laboratory has demonstrated little effort in developing a strategic plan. The Laboratory has done little to develop and maintain core competencies The Laboratory has had minimal success in attracting and retaining professional scientific staff.
F	<p>The Laboratory has:</p> <ul style="list-style-type: none"> Made limited or ineffective attempts to develop a strategic plan; Not demonstrated the ability to develop and maintain core competencies, has failed to propose high-risk/high-reward research and has failed to steward mission-critical areas; Failed to attract even reasonably competent scientists and technical staff.

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

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The Laboratory's management of R&D programs and facilities according to proposed plans;
- The extent to which the Laboratory's management of projects/programs/facilities supports the Laboratory strategic plan

- Adequacy of the Laboratory’s consideration of technical risks;
- The extent to which the Laboratory is successful in identifying/avoiding technical problems;
- Effectiveness in leveraging across multiple areas of research and between research and facility capabilities;
- The extent to which the Laboratory demonstrates a willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.); and
- The use of LDRD and other Laboratory investments and overhead funds to improve the competitiveness of the Laboratory.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Laboratory plans that are reviewed by experts outside of lab management and/or include broadly-based input from within the Laboratory.

Letter Grade	Definition
A+	In addition to meeting the all expectations under A, <ul style="list-style-type: none"> • The Laboratory has taken extraordinary measures to deliver an extraordinary result of critical importance to DOE missions, which could include the delivery of a critical technology or insight in response to a National emergency
A	In addition to satisfying the conditions for B+, <ul style="list-style-type: none"> • The Laboratory’s implementation of project/program/facility plans has led directly to effective R&D programs/facility operations that exceed program expectations in <i>several</i> programmatic areas. Examples are listed under A-.
A-	In addition to satisfying the conditions for B+, <ul style="list-style-type: none"> • The Laboratory’s implementation of project/program/facility plans has led directly to effective R&D programs/facility operations that exceed program expectations in <i>more than one</i> programmatic area. Examples of performance that exceeds expectations include: • The Laboratory’s implementation of project/program/facility plans has led directly to significant cost savings and/or significantly higher productivity than expected; • Project/program/facility plans prove to be robust against changing scientific and fiscal conditions through contingency planning; • The Laboratory has demonstrated creativity and forceful leadership in development and/or proactive management of its project/program/facility plans to reduce or eliminate risk; • The Laboratory’s proposals for new initiatives are funded through reallocation of resources from less effective programs. • Research plans and management actions are proactive, not reactive, as evidenced by making hard decisions and taking strong actions; and • Management is prepared for budget fluctuations and changes in DOE program priorities – multiple contingencies are planned for; and • LDRD investments, overhead funds, and other Laboratory funds are used to strengthen lab plans and fill critical gaps in the Laboratory portfolio enabling it to respond to future DOE initiatives and/or national emergencies;

Letter Grade	Definition
B ⁺	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • Project/program/facility plans are consistent with known budgets, are based on reasonable assessments of technical risk, are well-aligned with DOE interests, provide sufficient flexibility to respond to unforeseen directives and opportunities, and effectively leverage other Laboratory resources and expertise. • The Laboratory has implemented the project/program/facility plans and has effective methods of tracking progress. • The Laboratory demonstrates willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.). • The Laboratory's implementation of project/program/facility plans has led directly to effective R&D programs/facility operations. • LDRD investments and other overhead funds are managed appropriately.
B	<ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • The Laboratory has implemented the project/program/facility plans. <p>BUT the Laboratory fails to meet <i>at least one of</i> the conditions for B+.</p>
B-	<ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • The Laboratory has implemented the project/program/facility plans. <p>BUT the Laboratory fails to meet <i>several of</i> the conditions for B+.</p>
C	<ul style="list-style-type: none"> • Project/program/facility plans exist for most major projects/programs/facilities. <p>BUT the Laboratory has failed to implement the project/program/facility plans AND the Laboratory fails to meet <i>several of</i> the conditions for B+.</p>
D	<ul style="list-style-type: none"> • Project/program/facility plans do not exist for a significant fraction of the Laboratory's major projects/programs/facilities; <p>OR</p> <ul style="list-style-type: none"> • Significant work at the Laboratory is not in alignment with the project/program/facility plans
F	The Laboratory has failed to conduct project/program/facility planning activities.

3.3 Provide Efficient and Effective Communications and Responsiveness to Headquarters Needs

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The quality, accuracy and timeliness of the Laboratory's response to customer requests for information;
- The extent to which the Laboratory provides point-of-contact resources and maintains effective internal communications hierarchies to facilitate efficient determination of the appropriate point-of-contact for a given issue or program element;
- The effectiveness of the Laboratory's communications and depth of responsiveness under extraordinary or critical circumstances; and
- The effectiveness of Laboratory management in accentuating the importance of communication and responsiveness.

Letter Grade	Definition
A+	<p>In addition to meeting the all expectations under A,</p> <ul style="list-style-type: none"> • The Laboratory's effective communication and extraordinary responsiveness in the face of extreme situations or a national emergency had a materially positive impact on the outcome of the event and/or DOE mission objectives

Letter Grade	Definition
A	<p>In addition to satisfying the conditions for B+, the Laboratory also meets all of the following:</p> <ul style="list-style-type: none"> • Laboratory management has instilled a culture throughout the lab that emphasizes good communication practices; • Communication channels are well-defined and information is effectively conveyed; • Responses to HQ requests for information from all Laboratory representatives are prompt, thorough, correct and succinct; important or critical information is delivered in real-time; • Laboratory representatives <i>always</i> initiate a communication with HQ on emerging Laboratory issues; headquarters is never surprised to learn of emerging Laboratory issues through outside channels.
A-	<p>In addition to satisfying the conditions for B+,</p> <ul style="list-style-type: none"> • Laboratory management has instilled a culture throughout the lab that emphasizes good communication practices; and • Responses to requests for information are prompt, thorough, and economical/succinct at all levels of interaction; • Laboratory representatives <i>often</i> initiate communication with HQ on emerging Laboratory issues; • under critical circumstances, essential information is delivered in real-time
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • Staff throughout the Laboratory organization engage in good communication practices; • Responses to requests for information are prompt and thorough; • The accuracy and integrity of the information provided is never in doubt; • Up-to-date point-of-contact information is widely available for all programmatic areas; • Headquarters is always and promptly informed of both positive and negative events at the Laboratory
B	<p>The Laboratory failed to meet the conditions for B+ <i>in a few instances</i></p>
B-	<p>The Laboratory fails to meet the conditions for B+ for <i>one</i> of the following reasons:</p> <ul style="list-style-type: none"> • Responses to requests for information do not provide the minimum requirements to meet HQ needs; <p>While the integrity of the information provided is never in doubt, its accuracy sometimes is;</p> <ul style="list-style-type: none"> • Laboratory representatives do not take the initiative to alert HQ to emerging Laboratory issues.
C	<p>The Laboratory fails to meet the conditions for B+ for <i>one or more</i> of the following reasons:</p> <ul style="list-style-type: none"> • Responses to requests for information frequently fail to provide the minimum requirements to meet HQ needs • The Laboratory used outside channels or circumvented HQ in conveying critical information; • The integrity and/or accuracy of information provided is sometimes in doubt; • Laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; • Laboratory representatives failed to alert HQ to emerging Laboratory issues.
D	<p>The Laboratory fails to meet the conditions for B+ for one of the following reasons:</p> <ul style="list-style-type: none"> • Laboratory staff are generally well-intentioned in communication but consistently ineffective and/or incompetent; • The Laboratory management fails to emphasize the importance of effective communication and responsiveness
F	<p>The Laboratory fails to meet the conditions for B+ for one of the following reasons</p> <ul style="list-style-type: none"> • Laboratory staff are openly hostile and/or non-responsive to requests for information – emails and phone calls are consistently ignored; • Responses to requests for information are consistently incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Notable Outcomes

- [List the notable outcomes provided by the Office of Science programs. Each notable outcome shall be linked to one or more Objectives.]

Science Program Office ⁵	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall ASCR Total				
Office of Basic Energy Sciences				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall BES Total				
Office of Biological and Environmental Research				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall BER Total				
Office of Fusion Energy Sciences				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall FES Total				
Office of High Energy Physics				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall HEP Total				
Office of Nuclear Physics				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall NP Total				
Office of Workforce Development for Teachers and Scientists				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall WDTS Total				

Table 3.1 – SC Program Office Performance Goal 3.0 Score Development

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

Science Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Advanced Scientific Research			TBD%	
Office of Basic Energy Sciences			TBD%	
Office of Biological and Environmental Research			TBD%	
Office of Fusion Energy Sciences			TBD%	
Office of High Energy Physics			TBD%	
Office of Nuclear Physics			TBD%	
Office of Workforce Development for Teachers and Scientists			TBD%	
Performance Goal 3.0 Total				

Table 3.2 –Office Overall Performance Goal 3.0 Score Development⁶

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 –Goal 3.0 Final Letter Grade

⁶ Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY [Year] cost 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 cost for FY [Year].

Attachment I.

**Program Office Goal and Objective Weightings
Office of Science**

		ASCR	BER	BES	FES	HEP	NP	WDTS
		Weight						
Goal 1.0 Mission Accomplishment								
	<i>Goal Weight</i>							
1.1 Impact								
1.2 Leadership								
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities								
	<i>Goal Weight</i>							
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)								
2.2 Construction of Facility / Fabrication of Components (execution phase, Post CD-2 to CD-4)								
2.3 Operation of Facility								
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community								
Goal 3.0 Program Management								
	<i>Goal Weight</i>							
3.1 Effective and Efficient Strategic Planning and Stewardship								
3.2 Project/Program/Facilities Management								
3.3 Communications and Responsiveness								

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Enclosure 4. Generic Science and Technology Goals and Objectives (Goals 1.0-3.0) – Multi-Program Labs

This enclosure provides the generic Science and Technology Goals and Objectives (Goals 1.0-3.0) for all multi-program laboratory PEMP. This is a generic template that shall be incorporated as provided herein into the final draft PEMP, with the exception of the following items which shall be adjusted as appropriate:

1. The listing of HQ program offices and other customers providing evaluations (bullets under each Goal).
2. The highlighted sentence in the second paragraph of each Goal will either remain or be deleted dependent upon whether or not you choose to include preliminary cost percentages for informational purposes. If preliminary percentages are not included this sentence should be removed and the (TBD%) following each HQ program office or other customer bullet should remain. If you choose to provide this information, the highlighted sentence would remain and the appropriate percentages should be included for each program office.
3. Each of the tables at the end of each Goal section must be modified to match the listing of HQ program offices and other customers providing evaluations (same as for item number 1, above).
4. The highlighted TBD% weightings and sentence within the second footnote, following each of the HQ program office and other customer tables, should remain or be deleted in accordance with the decision to provide preliminary cost percentages as discussed in item 2, above.
5. Update the figure within Attachment I as appropriate to match the listing of HQ program offices and other customers providing evaluations and fill in weightings assigned.
6. Adjust or delete the footnote for the “All Other Customer” table (Attachment I) to indicate which HQ program office(s) have not determined/finalized the Goal and Objective weightings for the fiscal year. Note weightings for each Goal and Objective are to be indicated for each program office whether determined by the program office or the site office. It should also be noted that a deadline of the end of the first quarter of the fiscal year has been established for HQ program offices to provide their final Goal and Objective weightings. If final weightings are not received before the end of the first quarter of the performance evaluation period the preliminary weightings set by the site office shall become final. This deadline should be communicated to any HQ program office from which final weightings have not been received prior to SC approval of the PEMP.
7. The “Notable Outcomes” section is to incorporate any notable outcomes approved by the Director of the Office of Science (SC-1), as appropriate. Each notable outcome must be linked to one or more Objectives. If no notable outcomes are provided for the Goal, the section should be deleted.

All other aspects of the attached S&T Goals/Objectives should be incorporated into the laboratory PEMP without modification. Remember when calculating the cost funding weights (either preliminary or actual) you should utilize the cost from each of the evaluating offices only, not the overall laboratory cost.

GOAL 1.0 Provide for Efficient and Effective Mission Accomplishment

The science and technology programs at the Laboratory produce high-quality, original, and creative results that advance science and technology; demonstrate sustained scientific progress and impact; receive appropriate external recognition of accomplishments; and contribute 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, other cognizant HQ Program Offices, and other customers as identified below. The overall Goal score from each HQ Program Office and/or customer is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 1.1). Weightings for each Customer listed below are preliminary, based upon FY [Year] cost figures, and are provided here 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 cost for FY [Year].

- Office of Advanced Scientific Computing Research (ASCR) (TBD%)
- Office of Basic Energy Sciences (BES) (TBD%)
- Office of Biological and Environmental Research (BER) (TBD%)
- Office of Fusion Energy Sciences (FES) (TBD%)
- Office of High Energy Physics (HEP) (TBD%)
- Office of Nuclear Physics (NP) (TBD%)
- Office of Workforce Development for Teachers and Scientists (WDTS) (TBD%)
- Office of Defense Nuclear Nonproliferation (DNN) (TBD%)
- Office of Electricity Delivery and Energy Reliability (OE) (TBD%)
- Office of Energy Efficiency and Renewable Energy (EERE) (TBD%)
- Office of Environmental Management (EM) (TBD%)
- Office of Fossil Energy (FE) (TBD%)
- Office of Intelligence (IN) (TBD%)
- Office of Nuclear Energy (NE) (TBD%)
- Department of Homeland Security (DHS) (TBD%)

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 1.2, below). The overall score earned is then compared to Table 1.3 to determine the overall letter grade for this Goal. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science, other cognizant HQ Program Offices, and other customers 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 cost for FY [Year] as compared to the total cost for those remaining HQ Program Offices.

Objectives

1.1 Provide Science and Technology Results with Meaningful Impact on the Field

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- Performance of the Laboratory with respect to proposed research plans;
- Performance of the Laboratory with respect to community impact and peer review; and
- Performance of the Laboratory with respect to impact to DOE mission needs.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Impact of publications on the field, as measured primarily by peer review;
- Impact of S&T results on the field, as measured primarily by peer review;
- Impact of S&T results outside the field indicating broader interest;
- Impact of S&T results on DOE or other customer mission(s);
- Successful stewardship of mission-relevant research areas;
- Delivery on proposed S&T plans;
- Significant awards (Nobel Prizes, R&D 100, FLC, 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.

Letter Grade	Definition
A+	In addition to satisfying the conditions for B+ <ul style="list-style-type: none">• There are <i>significant research areas</i> for which the Laboratory has exceeded the expectations of the proposed research plans in significant ways through creative, new, or unconventional methods that allow greater scientific reach than expected.• S&T conducted at the Laboratory has resolved one of the most critical questions in the field, or has changed the way the research community thinks about a particular field through paradigm shifting discoveries that would be considered the most influential discovery of the decade for that field.• S&T conducted at the Laboratory provided major advances that significantly accelerate DOE or other customer mission(s).
A	In addition to satisfying the conditions for B+ <ul style="list-style-type: none">• There are <i>important examples</i> where the Laboratory exceeded the expectations of the proposed research plans in significant ways through creative, new, or unconventional methods that allow greater scientific reach than expected.• All areas of S&T conducted at the Laboratory are of exceptional or outstanding merit and quality.• S&T conducted at the Laboratory has significant positive impact to DOE or other customer missions.
A-	In addition to satisfying the conditions for B+ <ul style="list-style-type: none">• There are <i>important examples</i> where the Laboratory exceeded the expectations of the proposed research plans.• Significant areas of S&T conducted at the Laboratory are of exceptional or outstanding merit and quality.• S&T conducted at the Laboratory significantly impact DOE or other customer missions.

Letter Grade	Definition
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • The Laboratory has successfully executed proposed research plans. • S&T conducted at the Laboratory are of <i>high</i> scientific merit and quality • S&T conducted at the Laboratory <i>advance</i> DOE or other customer missions.
B	<ul style="list-style-type: none"> • The Laboratory has successfully executed proposed research plans. • S&T conducted at the Laboratory <i>advance</i> DOE or other customer missions. <p>BUT the Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • S&T conducted at the Laboratory are <i>not uniformly of high</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> OR <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.</i>
B-	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • The Laboratory has <i>failed to successfully execute</i> proposed research plans <i>but contingencies were in place such that no funding was or will be terminated.</i> OR S&T conducted at the Laboratory <i>does little to advance</i> DOE or other customer missions. • <i>Significant areas of</i> S&T conducted at the Laboratory are <i>not of high</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> OR <i>the Laboratory do not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.</i>
C	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>In several significant aspects, the Laboratory failed to deliver</i> on proposed research plans <i>using available resources such that some funding was or will be terminated</i> OR S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions • <i>Significant areas of</i> S&T conducted at the Laboratory are <i>of poor</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.</i>
D	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>Multiple program elements at the Laboratory failed to deliver</i> on proposed research plans <i>using available resources such that significant funding was or will be terminated.</i> • <i>Multiple significant areas of</i> S&T conducted at the Laboratory are <i>of poor</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities.</i> • S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions.
F	<p>The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> • <i>Multiple program elements at the Laboratory failed to deliver</i> on proposed research plans <i>using available resources resulting in total termination of funding.</i> • <i>Multiple significant areas of</i> S&T conducted at the Laboratory are <i>of poor</i> merit and quality OR <i>some areas of research, previously supported, have become uncompetitive</i> AND <i>the Laboratory does not produce sufficiently competitive proposals to receive program support at a level commensurate with its unique capabilities</i> OR <i>the Laboratory has been found to have engaged in gross scientific incompetence and/or scientific fraud.</i> • S&T conducted at the Laboratory <i>failed to contribute to</i> DOE or other customer missions.

1.2 Provide Quality Leadership in Science and Technology that Advances Community Goals and DOE Mission Goals.

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- Innovativeness / Novelty of research ideas put forward by the Laboratory;
- Extent to which Laboratory staff members take on substantive or formal leadership roles in their community;
- Extent to which Laboratory staff members take on formal leadership roles in DOE and SC activities; and
- Extent to which Laboratory staff members contribute thoughtful and thorough peer reviews and other research assessments as requested by DOE and SC.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), 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 previous risky decisions by the PI/research staff have 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 and quality of collaborative efforts;
- Staff members visible in leadership positions in the scientific community;
- Involvement in professional organizations, National Academies panels and workshops,
- Effectiveness in driving the direction and setting the priorities of the community in a research field; and
- Success in competition for resources.

Letter Grade	Definition
A+	<p>In addition to satisfying the conditions for B+, the following conditions hold for ALL Laboratory staff:</p> <ul style="list-style-type: none"> • Laboratory staff members have <i>leadership positions</i> in professional organizations AND <i>in National Academy or equivalent panels to discuss and determine further research directions</i>; • Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities, for example, Laboratory staff members chair or co-chair DOE-sponsored workshops and strategic planning activities. • The Laboratory program consistently produces and submits competitive proposals that challenge convention and open <i>significant new fields</i> for research that are well aligned with DOE mission needs and <i>the Laboratory has a strong recognized role in setting priorities and driving the direction in key research areas and are internationally recognized leaders in the field.</i> • Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.
A	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> • Laboratory staff members have <i>leadership positions</i> in professional organizations AND <i>staff has contributing role in National Academy or equivalent panels to discuss further research directions</i>; • Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities. • The Laboratory program consistently produces and submits competitive proposals that challenge convention and open <i>significant new fields</i> for research that are well aligned with DOE mission needs and <i>the Laboratory has a strong recognized role in setting priorities and driving the direction in key research areas.</i> • Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.

Letter Grade	Definition
A-	<p>In addition to satisfying the conditions for B+</p> <ul style="list-style-type: none"> Laboratory staff members have <i>leadership positions</i> in professional organizations OR <i>staff has contributing role in National Academy or equivalent panels to discuss further research directions</i>; Laboratory staff members have <i>leadership positions</i> in DOE sponsored workshops and strategic planning activities. The Laboratory program consistently submits competitive proposals that challenge convention and open <i>significant</i> new avenues for research that are well aligned with DOE mission needs. Laboratory staff hold <i>leadership positions</i> in multi-institutional research collaborations.
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> Laboratory staff members are <i>active participants</i> in professional organizations, committees, and activities, and take on leadership responsibilities commensurate with experience and expertise. Laboratory staff members are <i>active participants</i> in DOE sponsored workshops and strategic planning activities. Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. The Laboratory program consistently provides competitive proposals that challenge convention and open new avenues for research that are well aligned with DOE mission needs. Laboratory staff are <i>active participants</i> in multi-institutional research collaborations
B	<ul style="list-style-type: none"> Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. The Laboratory program consistently provides competitive proposals that challenge convention and open new avenues for research that are well aligned with DOE mission needs. <p>BUT the Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> Although <i>regular participants</i> in professional organizations, committees, and activities, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> Although <i>regular participants</i> in DOE sponsored workshops and strategic planning activities, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> Although <i>active members of multi-institutional research collaborations</i>, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>
B-	<ul style="list-style-type: none"> Laboratory staff members contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. <p>BUT the Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons:</p> <ul style="list-style-type: none"> The Laboratory program submits competitive proposals <i>but these either lack innovation or are not well aligned with DOE mission needs.</i> Laboratory staff are <i>infrequent participants</i> in professional organizations, committees, and activities, and <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> Laboratory staff are <i>infrequent participants</i> in DOE sponsored workshops and strategic planning activities, and <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> Although <i>active members of multi-institutional research collaborations</i>, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>

Letter Grade	Definition
C	The Laboratory fails to meet the conditions for B+ for <i>at least one</i> of the following reasons: <ul style="list-style-type: none"> Laboratory staff members <i>do not reliably</i> contribute thoughtful and thorough peer review in a timely manner, when requested by DOE. <i>Some areas of research, previously supported, are no longer competitive.</i> Laboratory staff members are <i>infrequent participants</i> in professional organizations, committees, and activities, AND <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> Laboratory staff members are <i>infrequent participants</i> in DOE sponsored workshops and strategic planning activities, and <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i> Although Laboratory staff members are <i>active members of</i> multi-institutional research collaborations, <i>the extent to which staff take on leadership roles falls short of what would be expected, given the level of experience and expertise of the staff.</i>
D	The Laboratory fails to meet the conditions for B+ because <i>the Laboratory staff are working on problems that are no longer at the forefront of science and are considered mundane.</i>
F	Review has found the Laboratory staff to be <i>guilty of gross scientific incompetence and/or scientific fraud.</i>

Notable Outcomes

- [List the notable outcomes provided by the Office of Science programs. Each notable outcome shall be linked to one or more Objectives.]*

Program Office ¹	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall ASCR Total				
Office of Basic Energy Sciences				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall BES Total				
Office of Biological and Environmental Research				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall BER Total				
Office of Fusion Energy Sciences				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall FES Total				
Office of High Energy Physics				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall HEP Total				
Office of Nuclear Physics				
1.1 Impact			TBD%	

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

1.2 Leadership			TBD%	
Overall NP Total				
Office of Workforce Development for Teachers and Scientists				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall WDTS Total				
Office of Defense Nuclear Nonproliferation				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall DNN Total				
Office of Electricity Delivery and Energy Reliability				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall OE Total				
Office of Energy Efficiency and Renewable Energy				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall EERE Total				
Office of Environmental Management				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall EM Total				
Office of Fossil Energy				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall FE Total				
Office of Intelligence				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall IN Total				
Office of Nuclear Energy				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall NE Total				
Department of Homeland Security				
1.1 Impact			TBD%	
1.2 Leadership			TBD%	
Overall DHS Total				

Table 1.1 – Program Performance Goal 1.0 Score Development

Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Advanced Scientific Research			TBD%	
Office of Basic Energy Sciences			TBD%	
Office of Biological and Environmental Research			TBD%	
Office of Fusion Energy Sciences			TBD%	
Office of High Energy Physics			TBD%	
Office of Nuclear Physics			TBD%	
Office of Workforce Development for Teachers and Scientists			TBD%	

Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Defense Nuclear Nonproliferation			TBD%	
Office of Electricity Delivery and Energy Reliability			TBD%	
Office of Energy Efficiency and Renewable Energy			TBD%	
Office of Environmental Management			TBD%	
Office of Fossil Energy			TBD%	
Office of Intelligence			TBD%	
Office of Nuclear Energy			TBD%	
Department of Homeland Security			TBD%	
Performance Goal 1.0 Total				

Table 1.2 – Overall Performance Goal 1.0 Score Development²

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 – Goal 1.0 Final Letter Grade

² Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY [Year] cost 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 cost for FY [Year].

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

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

The weight of this Goal is **TBD%**.

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

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 2.1). **Weightings for each office listed below are preliminary, based upon FY [Year] cost 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 cost for FY [Year].

- Office of Advanced Scientific Computing Research (ASCR) **(TBD%)**
- Office of Basic Energy Sciences (BES) **(TBD%)**
- Office of Biological and Environmental Research (BER) **(TBD%)**
- Office of Fusion Energy Sciences (FES) **(TBD%)**
- Office of High Energy Physics (HEP) **(TBD%)**
- Office of Nuclear Physics (NP) **(TBD%)**
- Office of Workforce Development for Teachers and Scientists (WDTS) **(TBD%)**
- Office of Defense Nuclear Nonproliferation (DNN) **(TBD%)**
- Office of Electricity Delivery and Energy Reliability (OE) **(TBD%)**
- Office of Energy Efficiency and Renewable Energy (EERE) **(TBD%)**
- Office of Environmental Management (EM) **(TBD%)**
- Office of Fossil Energy (FE) **(TBD%)**
- Office of Intelligence (IN) **(TBD%)**
- Office of Nuclear Energy (NE) **(TBD%)**
- Department of Homeland Security (DHS) **(TBD%)**

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 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 DOE HQ Office of Science's (SC) 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 cost for FY [Year] as compared to the total cost for those remaining HQ Program Offices.

Objectives

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

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The Laboratory’s delivery of accurate and timely information required to carry out the critical decision and budget formulation process;
- The Laboratory’s ability to meet the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets;
- The extent to which the Laboratory appropriately assesses risks and contingency needs; and
- The extent to which the Laboratory is effective in its unique management role and partnership with HQ.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- The quality of the scientific justification for proposed facilities resulting from preconceptual R&D;
- The technical quality of conceptual and preliminary designs and the credibility of the associated cost estimates
- The credibility of plans for the full life cycle of proposed facilities including financing options;
- The leveraging of existing facilities and capabilities of the DOE Laboratory complex in plans for proposed facilities; and
- The novelty and potential impact of new technologies embodied in proposed facilities.

Letter Grade	Definition
A+	<p>In addition to satisfying all conditions for B+; the Laboratory <i>exceeds expectations</i> in <i>all</i> of these categories:</p> <ul style="list-style-type: none"> • The Laboratory is recognized by the research community as the leader for making the science case for the acquisition; • The Laboratory takes the initiative to demonstrate and thoroughly document the potential for transformational scientific advancement. • Approaches proposed by the Laboratory are widely regarded as innovative, novel, comprehensive, and potentially cost-effective. • Reviews repeatedly confirm strong potential for scientific discovery in areas that support the Department’s mission, and potential to change a discipline or research area’s direction. • The Laboratory identifies, analyzes and champions novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing and these efforts result in significant cost estimate and/or risk reductions without loss or, or while enhancing capability.

Letter Grade	Definition
A	In addition to satisfying all conditions for B+, <i>all</i> of the following conditions are also met: <ul style="list-style-type: none"> • The Laboratory is recognized by the research community as a leader for making the science case for the acquisition; • The Laboratory takes the initiative to demonstrate the potential for revolutionary scientific advancement working in partnership with HQ • The Laboratory identifies, analyzes, and champions, to HQ and Site office, novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing.
A-	In addition to satisfying all conditions for B+, <i>all</i> of the following conditions are also met: <ul style="list-style-type: none"> • The approaches proposed by the Laboratory 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+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • The Laboratory displays leadership and commitment in the development of 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). • Documentation requested by the programs is provided in a timely and thorough manner. • The Laboratory 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. • The Laboratory solves problems and addresses issues to avoid adverse impacts to the project.
B	The Laboratory fails to meet expectations in one of the areas listed under B+.
B-	The Laboratory fails to meet expectations in several of the areas listed under B+
C	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the required analyses and documentation developed by the Laboratory are EITHER not innovative, OR reflect a lack of commitment and leadership.
D	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the Laboratory fails to provide a compelling justification for the acquisition.
F	The Laboratory fails to meet the expectations in several of the areas listed under B+ AND the approaches proposed by the Laboratory are based on fraudulent assumptions; the science case is weak to non-existent, and 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 assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The Laboratory's adherence to DOE Order 413.3 Project Management for the Acquisition of Capital Assets;
- Successful fabrication of facility components by the Laboratory;
- The Laboratory's effectiveness in meeting construction schedule and budget;
- The quality of key Laboratory staff overseeing the project(s); and
- The extent to which the Laboratory maintains open, effective, and timely communication with HQ regarding issues and risks.

Letter Grade	Definition
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Letter Grade	Definition
A+	<p>In addition to satisfying all conditions for A,</p> <ul style="list-style-type: none"> • There is high confidence throughout the execution phase that the project will be completed <i>significantly</i> under budget and/or ahead of schedule while meeting or exceeding all performance baselines;
A	<p>In addition to satisfying all conditions for B+,</p> <ul style="list-style-type: none"> • The Laboratory has identified and implemented practices that would allow the project scope to be <i>significantly expanded</i> if such were desirable, without impact on baseline cost or schedule; • The Laboratory <i>always</i> provides <i>exemplary</i> project status reports on time to DOE and takes the initiative to communicate emerging problems or issues. • Reviews identify environment, safety and health practices to be <i>exemplary</i>. • There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline;
A-	<p>In addition to satisfying all conditions for B+,</p> <ul style="list-style-type: none"> • The Laboratory has identified practices that would allow for the project scope to be expanded if such were desirable, without impact on baseline cost or schedule; • Problems are identified and corrected by the Laboratory promptly, with no impact on scope, cost or schedule • The Laboratory provides <i>particularly useful</i> project status reports on time to DOE and regularly takes the initiative to communicate emerging problems or issues. • Reviews identify environment, safety and health practices to <i>exceed expectations</i>. • There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline;
B+	<p>The Laboratory has achieved each of the following objectives</p> <ul style="list-style-type: none"> • 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	<p>The Laboratory provides sustained leadership and commitment to environment, safety and health BUT</p> <ul style="list-style-type: none"> • The project fails to meet expectations in <i>one</i> of the remaining areas listed under B+.
B-	<p>The Laboratory provides sustained leadership and commitment to environment, safety and health BUT</p> <ul style="list-style-type: none"> • The project fails to meet expectations in <i>several</i> of the areas listed under B+
C	<p>The Laboratory provides sustained leadership and commitment to environment, safety and health BUT The project fails to meet expectations in <i>several</i> of the areas listed under B+ AND</p> <ul style="list-style-type: none"> • Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; • Reports to DOE can vary in degree of completeness
D	<p>The project fails to meet conditions for B+ in at least one of the following areas:</p> <ul style="list-style-type: none"> • Reviews indicate project is likely to breach its cost/schedule performance baseline; • Laboratory commitment to environment, safety and health issues is inadequate; • Reports to DOE are largely incomplete; Laboratory commitment to the project has subsided.
F	<p>The project fails to meet conditions for B+ in at least one of the following areas:</p> <ul style="list-style-type: none"> • 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; • Recent reviews indicate that the project is expected to breach its cost/schedule performance baseline.

2.3 Provide Efficient and Effective Operation of Facilities

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The availability, reliability, performance, and efficiency of Laboratory facility(ies);
- The degree to which the facility is optimally arranged to support the user community;
- The extent to which Laboratory R&D is conducted to develop/expand the capabilities of the facility(ies);
- The Laboratory’s effectiveness in balancing resources between facility R&D and user support; and
- The quality of the process used to allocate facility time to users.

Letter Grade	Definition
A+	In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are also met <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>significantly less</i> than planned and are acknowledged to be ‘leadership caliber’ by reviews; • Data on environment, safety, and health continues to be exemplary and widely regarded as among the ‘best in class’ • The Laboratory took extraordinary means to deliver an extraordinary result for the users and the program in the performance/ review period.
A	In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are also met <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in most of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>less</i> than planned and are acknowledged to be ‘leadership caliber’ by reviews; • Data on environment, safety, and health continues to be <i>exemplary</i> and widely regarded as among the ‘best in class.’
A-	In addition to satisfying all conditions for B+, <i>one</i> of the following conditions is met: <ul style="list-style-type: none"> • Performance of the facility <i>exceeds</i> expectations as defined before the start of the year in any of these categories: cost of operations, users served, availability, and capability; • The schedule and the costs associated with the ramp-up to steady state operations are <i>less</i> than planned and are acknowledged to be among the best by reviews;
B+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • Performance of the facility <i>meets</i> expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, capability (for example, beam delivery, luminosity, peak performance, etc), • The schedule and the costs associated with the ramp-up to steady state operations occur as planned; • Data on environment, safety, and health continues to be very good as compared with other projects in the DOE. • User surveys meet program expectations and reflect that the Laboratory is responsive to user needs.
B	The project fails to meet expectations in <i>one</i> of the areas listed under B+.
B-	The project fails to meet expectations in <i>more than one</i> of the areas listed under B+.

Letter Grade	Definition
C	Performance of the facility fails to meet expectations in <i>many</i> of the areas listed under B+; for example, <ul style="list-style-type: none"> The cost of operations is unexpectedly high and availability of the facility is unexpectedly low, the number of users is unexpectedly low, capability is well below expectations. The 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 environment, safety, and health is satisfactory.
D	Performance of the facility fails to meet expectations in <i>many</i> of the areas listed under B+; for example, <ul style="list-style-type: none"> The cost of operations is unexpectedly high and availability of the facility is unexpectedly low; capability is well below expectations. The facility operates somewhat below steady state, on cost and on schedule, and 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 environment, safety, and health is inadequate.
F	<ul style="list-style-type: none"> The facility fails to operate; the facility operates well below steady state and/or the reliability of the performance is well below planned values. Laboratory commitment to environment, safety, and health issues is inadequate.

2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The extent to which the facility is being used to perform influential science;
- The Laboratory's efforts to take full advantage of the facility to generate impactful S&T results;
- The extent to which the facility is strengthened by a resident Laboratory research community that pushes the envelope of what the facility can do and/or are among the scientific leaders of the community;
- The Laboratory's ability to appropriately balance access by internal and external user communities; and
- The extent to which there is a healthy program of outreach to the scientific community.

Letter Grade	Definition
A+	In addition to meeting all measures under A, <ul style="list-style-type: none"> The Laboratory took extraordinary means to deliver an extraordinary result for a new user community.
A	In addition to satisfying all conditions for B+; <i>all</i> of the following conditions are met <ul style="list-style-type: none"> An <i>aggressive</i> outreach programs is in place and has been documented as attracting new communities to the facility; Reviews consistently find that the facility capability or scope of research potential <i>significantly</i> exceeds expectations for example, due to newly discovered capabilities or exposure to new research communities; OR Reviews find that multiple disciplines are using the facility in new and novel ways that the facility is being used to pursue influential science.

Letter Grade	Definition
A-	In addition to satisfying all conditions for B+, all of the following conditions are met <ul style="list-style-type: none"> • A <i>strong</i> outreach program is in place; • Reviews find that the facility capability or scope of research potential exceeds expectations for example, due to newly discovered capabilities or exposure to new research communities; OR Reviews document how multiple disciplines are using the facility in new and novel ways and/or that the facility is being used to pursue important science.
B+	The Laboratory has achieved each of the following objectives: <ul style="list-style-type: none"> • Reviews find / validate that the facility is being used for influential science; • The scope of facility capabilities is challenged and broadened by resident users; • The Laboratory effectively manages user allocations; • The Laboratory effectively maintains the facility to required performance standards (for example, runtime, luminosity, etc) • A healthy outreach program is in place.
B	The Laboratory fails to meet expectations in <i>one</i> of the areas listed under B+
B-	The Laboratory fails to meet expectations in <i>several</i> of the areas listed under B+
C	The Laboratory fails to meet expectations in <i>many</i> of the areas listed under B+
D	Reviews find that there are few facility users, few of whom are using the facility in novel ways to produce impactful science; research base is very thin.
F	Laboratory staff does not possess capabilities to operate and/or use the facility adequately.

Notable Outcomes

- *[List the notable outcomes provided by the Office of Science programs. Each notable outcome shall be linked to one or more Objectives.]*

Program Office ³	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall ASCR Total				
Office of Basic Energy Sciences				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall BES Total				
Office of Biological and Environmental Research				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of			TBD%	

³ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I to this plan.

Program Office³	Letter Grade	Numerical Score	Weight	Overall Score
Facilities and/or Fabrication of Components				
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall BER Total				
Office of Fusion Energy Sciences				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall FES Total				
Office of High Energy Physics				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall HEP Total				
Office of Nuclear Physics				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall NP Total				
Office of Workforce Development for Teachers and Scientists				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall WDTS Total				
Office of Defense Nuclear Nonproliferation				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall DNN Total				
Office of Electricity Delivery and Energy Reliability				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T			TBD%	

Program Office³	Letter Grade	Numerical Score	Weight	Overall Score
Results and Benefits to External User Communities				
Overall OE Total				
Office of Energy Efficiency and Renewable Energy				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall EERE Total				
Office of Environmental Management				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall EM Total				
Office of Fossil Energy				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall FE Total				
Office of Intelligence				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall IN Total				
Office of Nuclear Energy				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall NE Total				
Department of Homeland Security				
2.1 Provide Effective Facility Design(s)			TBD%	
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%	
2.3 Provide Efficient and Effective Operation of Facilities			TBD%	
2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities			TBD%	
Overall DHS Total				

Table 2.1 – Program Performance Goal 2.0 Score Development

Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Advanced Scientific Research			TBD%	
Office of Basic Energy Sciences			TBD%	
Office of Biological and Environmental Research			TBD%	
Office of Fusion Energy Sciences			TBD%	
Office of High Energy Physics			TBD%	
Office of Nuclear Physics			TBD%	
Office of Workforce Development for Teachers and Scientists			TBD%	
Office of Defense Nuclear Nonproliferation			TBD%	
Office of Electricity Delivery and Energy Reliability			TBD%	
Office of Energy Efficiency and Renewable Energy			TBD%	
Office of Environmental Management			TBD%	
Office of Fossil Energy			TBD%	
Office of Intelligence			TBD%	
Office of Nuclear Energy			TBD%	
Department of Homeland Security			TBD%	
Performance Goal 2.0 Total				

Table 2.2 – Overall Performance Goal 2.0 Score Development⁴

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

Table 2.3 – Goal 2.0 Final Letter Grade

⁴ Weightings for each Customer listed within Table 2.2 are preliminary, based upon FY [Year] cost 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 cost for FY [Year].

GOAL 3.0 Provide Effective and Efficient Science and Technology Program Management

The Laboratory 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, other cognizant HQ Program Offices, and other customers as identified below. The overall Goal score from each HQ Program Office and/or customer is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 3.1). **Weightings for each Customer listed below are preliminary, based upon FY [Year] cost figures, and are provided here 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 cost for FY [Year] provided by the Program Offices listed below.

- Office of Advanced Scientific Computing Research (ASCR) **(TBD%)**
- Office of Basic Energy Sciences (BES) **(TBD%)**
- Office of Biological and Environmental Research (BER) **(TBD%)**
- Office of Fusion Energy Sciences (FES) **(TBD%)**
- Office of High Energy Physics (HEP) **(TBD%)**
- Office of Nuclear Physics (NP) **(TBD%)**
- Office of Workforce Development for Teachers and Scientists (WDTS) **(TBD%)**
- Office of Defense Nuclear Nonproliferation (DNN) **(TBD%)**
- Office of Electricity Delivery and Energy Reliability (OE) **(TBD%)**
- Office of Energy Efficiency and Renewable Energy (EERE) **(TBD%)**
- Office of Environmental Management (EM) **(TBD%)**
- Office of Fossil Energy (FE) **(TBD%)**
- Office of Intelligence (IN) **(TBD%)**
- Office of Nuclear Energy (NE) **(TBD%)**
- Department of Homeland Security (DHS) **(TBD%)**

The overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see Table 3.2 below). The overall score earned is then compared to Table 3.3 to determine the overall letter grade for this Goal. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science, other cognizant HQ Program Offices, and other customers 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 cost for FY [Year] as compared to the total cost for those remaining HQ Program Offices.

Objectives

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

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The quality of the Laboratory’s strategic plan;
- The extent to which the Laboratory shows strategic vision for research
- The extent to which programs of research take advantage of Laboratory capabilities—research programs are more than the sum of their individual project parts;
- The extent to which the Laboratory undertakes research for which it is uniquely qualified;
- The extent to which lab plans are aligned with DOE mission goals;
- The extent to which the Laboratory programs are balanced between high-/low- risk research for a sustainable program; and
- The extent to which the Laboratory is able to retain and recruit staff for a sustainable program

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Articulation of scientific vision;
- Development and maintenance of core competencies,
- Ability to attract and retain highly qualified staff;
- Efficiency and effectiveness of joint planning (e.g., workshops) with outside community;
- Creativity and robustness of ideas for new facilities and research programs; and
- Willingness to take on high-risk/high payoff/long-term research problems, evidence that the Laboratory “guessed right” in that previous risky decisions proved to be correct and are paying off.
- The depth and breadth of Laboratory research portfolio and its potential for growth.

Letter Grade	Definition
A+	In addition to satisfying the conditions for B+, the execution of the Laboratory’s strategic plan has enabled the Laboratory to achieve each of the following: <ul style="list-style-type: none"> • <i>Most</i> of the Laboratory’s core competencies are recognized as world leading; • The Laboratory has attracted and retained world-leading scientists in <i>most</i> programs; • There is evidence that previous decisions to pursue high-risk/high-payoff research proved to be correct and are paying off; • The Laboratory has succeeded in developing new core competencies of <i>outstanding</i> quality in areas both exploratory, high-risk research and research that is vital to the DOE/SC missions;
A	In addition to satisfying the conditions for B+, the execution of the Laboratory’s strategic plan has enabled the Laboratory to achieve the following: <ul style="list-style-type: none"> • <i>Several</i> of the Laboratory’s core competencies are recognized as world leading; • The Laboratory has attracted and retained world-leading scientists in <i>several</i> programs; • There is evidence that previous decisions to pursue high-risk/high-payoff research proved to be correct and are paying off • The Laboratory has succeeded in developing <i>new</i> core competencies of <i>high</i> quality in areas both exploratory, high-risk research and research that is vital to the DOE/SC missions

Letter Grade	Definition
A-	<p>In addition to satisfying the conditions for B+, the execution of the Laboratory's strategic plan has enabled the Laboratory to achieve at least one of the following:</p> <ul style="list-style-type: none"> • At least one of the Laboratory's core competencies is recognized as <i>world-leading</i>; • The Laboratory has attracted and retained <i>world-leading</i> scientists in one or more programs; • The Laboratory has a coherent plan for addressing future workforce challenges.
B+	<p>The execution of the Laboratory's strategic plan has enabled the Laboratory to achieve each of the following objectives:</p> <ul style="list-style-type: none"> • The Laboratory has articulated a coherent and compelling strategic plan that has been developed with input from external research communities and headquarters guidance, which, where appropriate, includes a coherent plan for building smaller research programs into new core competencies; and reallocates resources away from less effective programs. • The Laboratory has demonstrated the ability to attract and retain professional scientific staff in support of its strategic vision. • The portfolio of Laboratory research balances the needs for both high-risk/ high-payoff research and stewardship of mission-critical research. • The Laboratory's research portfolio takes advantage of unique capabilities at the Laboratory. • The Laboratory's research portfolio includes activities for which the Laboratory is uniquely capable.
B	<p>The Laboratory fails to satisfy one of the conditions for B+; for example</p> <ul style="list-style-type: none"> • The Laboratory's strategic plan is only <i>partially</i> coherent and is not entirely well-connected with external communities; • The portfolio of Laboratory research does <i>not</i> appropriately balance high-risk/ high-payoff research and stewardship of mission-critical research; • The Laboratory has developed and maintained <i>some, but not all</i>, of its core competencies. • The plan to attract and retain professional scientific staff is <i>lacking</i> strategic vision.
B-	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, including at least one of the following:</p> <ul style="list-style-type: none"> • Weak programmatic vision insufficiently connected with external communities; • Development and maintenance of only a few core competencies • little attention to maintaining the correct balance between high-risk and mission-critical research; • inability to attract and retain talented scientists in some programs.
C	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, including at least one of the following reasons:</p> <ul style="list-style-type: none"> • The Laboratory's strategic plan lacks strategic vision and lacks appropriate coordination with appropriate stakeholders including external research groups. • The Laboratory's strategic plan does not provide for sufficient maintenance of core competencies • Plan to attract and retain professional scientific staff is unlikely to be successful or does not focus on strategic capabilities.
D	<p>The Laboratory fails to satisfy <i>several</i> of the conditions for B+, and specifically</p> <ul style="list-style-type: none"> • The Laboratory has demonstrated little effort in developing a strategic plan. • The Laboratory has done little to develop and maintain core competencies • The Laboratory has had minimal success in attracting and retaining professional scientific staff.
F	<p>The Laboratory has:</p> <ul style="list-style-type: none"> • Made limited or ineffective attempts to develop a strategic plan; • Not demonstrated the ability to develop and maintain core competencies, has failed to propose high-risk/high-reward research and has failed to steward mission-critical areas; • Failed to attract even reasonably competent scientists and technical staff.

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

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The Laboratory’s management of R&D programs and facilities according to proposed plans;
- The extent to which the Laboratory’s management of projects/programs/facilities supports the Laboratory strategic plan
- Adequacy of the Laboratory’s consideration of technical risks;
- The extent to which the Laboratory is successful in identifying/avoiding technical problems;
- Effectiveness in leveraging across multiple areas of research and between research and facility capabilities;
- The extent to which the Laboratory demonstrates a willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.); and
- The use of LDRD and other Laboratory investments and overhead funds to improve the competitiveness of the Laboratory.

The following is a sampling of factors to be considered in determining the level of performance for the Laboratory against this Objective. The evaluator(s) may consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- Laboratory plans that are reviewed by experts outside of lab management and/or include broadly-based input from within the Laboratory.

Letter Grade	Definition
A+	In addition to meeting the all expectations under A, <ul style="list-style-type: none"> • The Laboratory has taken extraordinary measures to deliver an extraordinary result of critical importance to DOE missions, which could include the delivery of a critical technology or insight in response to a National emergency
A	In addition to satisfying the conditions for B+, <ul style="list-style-type: none"> • The Laboratory’s implementation of project/program/facility plans has led directly to effective R&D programs/facility operations that exceed program expectations in <i>several</i> programmatic areas. Examples are listed under A-.
A-	In addition to satisfying the conditions for B+, <ul style="list-style-type: none"> • The Laboratory’s implementation of project/program/facility plans has led directly to effective R&D programs/facility operations that exceed program expectations in <i>more than one</i> programmatic area. Examples of performance that exceeds expectations include: • The Laboratory’s implementation of project/program/facility plans has led directly to significant cost savings and/or significantly higher productivity than expected; • Project/program/facility plans prove to be robust against changing scientific and fiscal conditions through contingency planning; • The Laboratory has demonstrated creativity and forceful leadership in development and/or proactive management of its project/program/facility plans to reduce or eliminate risk; • The Laboratory’s proposals for new initiatives are funded through reallocation of resources from less effective programs. • Research plans and management actions are proactive, not reactive, as evidenced by making hard decisions and taking strong actions; and • Management is prepared for budget fluctuations and changes in DOE program priorities – multiple contingencies are planned for; and • LDRD investments, overhead funds, and other Laboratory funds are used to strengthen lab plans and fill critical gaps in the Laboratory portfolio enabling it to respond to future DOE initiatives and/or national emergencies;

Letter Grade	Definition
B ⁺	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • Project/program/facility plans are consistent with known budgets, are based on reasonable assessments of technical risk, are well-aligned with DOE interests, provide sufficient flexibility to respond to unforeseen directives and opportunities, and effectively leverage other Laboratory resources and expertise. • The Laboratory has implemented the project/program/facility plans and has effective methods of tracking progress. • The Laboratory demonstrates willingness to make tough decisions (i.e., cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.). • The Laboratory's implementation of project/program/facility plans has led directly to effective R&D programs/facility operations. • LDRD investments and other overhead funds are managed appropriately.
B	<ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • The Laboratory has implemented the project/program/facility plans. <p>BUT the Laboratory fails to meet <i>at least one of</i> the conditions for B+.</p>
B-	<ul style="list-style-type: none"> • Project/program/facility plans exist for all major projects/programs/facilities. • The Laboratory has implemented the project/program/facility plans. <p>BUT the Laboratory fails to meet <i>several of</i> the conditions for B+.</p>
C	<ul style="list-style-type: none"> • Project/program/facility plans exist for most major projects/programs/facilities. <p>BUT the Laboratory has failed to implement the project/program/facility plans AND the Laboratory fails to meet <i>several of</i> the conditions for B+.</p>
D	<ul style="list-style-type: none"> • Project/program/facility plans do not exist for a significant fraction of the Laboratory's major projects/programs/facilities; <p>OR</p> <ul style="list-style-type: none"> • Significant work at the Laboratory is not in alignment with the project/program/facility plans
F	The Laboratory has failed to conduct project/program/facility planning activities.

3.3 Provide Efficient and Effective Communications and Responsiveness to Headquarters Needs

In assessing the performance of the Laboratory against this Objective, the following assessment elements should be considered:

- The quality, accuracy and timeliness of the Laboratory's response to customer requests for information;
- The extent to which the Laboratory provides point-of-contact resources and maintains effective internal communications hierarchies to facilitate efficient determination of the appropriate point-of-contact for a given issue or program element;
- The effectiveness of the Laboratory's communications and depth of responsiveness under extraordinary or critical circumstances; and
- The effectiveness of Laboratory management in accentuating the importance of communication and responsiveness.

Letter Grade	Definition
A ⁺	<p>In addition to meeting the all expectations under A,</p> <ul style="list-style-type: none"> • The Laboratory's effective communication and extraordinary responsiveness in the face of extreme situations or a national emergency had a materially positive impact on the outcome of the event and/or DOE mission objectives

Letter Grade	Definition
A	<p>In addition to satisfying the conditions for B+, the Laboratory also meets all of the following:</p> <ul style="list-style-type: none"> • Laboratory management has instilled a culture throughout the lab that emphasizes good communication practices; • Communication channels are well-defined and information is effectively conveyed; • Responses to HQ requests for information from all Laboratory representatives are prompt, thorough, correct and succinct; important or critical information is delivered in real-time; • Laboratory representatives <i>always</i> initiate a communication with HQ on emerging Laboratory issues; headquarters is never surprised to learn of emerging Laboratory issues through outside channels.
A-	<p>In addition to satisfying the conditions for B+,</p> <ul style="list-style-type: none"> • Laboratory management has instilled a culture throughout the lab that emphasizes good communication practices; and • Responses to requests for information are prompt, thorough, and economical/succinct at all levels of interaction; • Laboratory representatives <i>often</i> initiate communication with HQ on emerging Laboratory issues; • under critical circumstances, essential information is delivered in real-time
B+	<p>The Laboratory has achieved each of the following objectives:</p> <ul style="list-style-type: none"> • Staff throughout the Laboratory organization engage in good communication practices; • Responses to requests for information are prompt and thorough; • The accuracy and integrity of the information provided is never in doubt; • Up-to-date point-of-contact information is widely available for all programmatic areas; • Headquarters is always and promptly informed of both positive and negative events at the Laboratory
B	<p>The Laboratory failed to meet the conditions for B+ <i>in a few instances</i></p>
B-	<p>The Laboratory fails to meet the conditions for B+ for <i>one</i> of the following reasons:</p> <ul style="list-style-type: none"> • Responses to requests for information do not provide the minimum requirements to meet HQ needs; <p>While the integrity of the information provided is never in doubt, its accuracy sometimes is;</p> <ul style="list-style-type: none"> • Laboratory representatives do not take the initiative to alert HQ to emerging Laboratory issues.
C	<p>The Laboratory fails to meet the conditions for B+ for <i>one or more</i> of the following reasons:</p> <ul style="list-style-type: none"> • Responses to requests for information frequently fail to provide the minimum requirements to meet HQ needs • The Laboratory used outside channels or circumvented HQ in conveying critical information; • The integrity and/or accuracy of information provided is sometimes in doubt; • Laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; • Laboratory representatives failed to alert HQ to emerging Laboratory issues.
D	<p>The Laboratory fails to meet the conditions for B+ for one of the following reasons:</p> <ul style="list-style-type: none"> • Laboratory staff are generally well-intentioned in communication but consistently ineffective and/or incompetent; • The Laboratory management fails to emphasize the importance of effective communication and responsiveness
F	<p>The Laboratory fails to meet the conditions for B+ for one of the following reasons</p> <ul style="list-style-type: none"> • Laboratory staff are openly hostile and/or non-responsive to requests for information – emails and phone calls are consistently ignored; • Responses to requests for information are consistently incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Notable Outcomes

- [List the Notable Outcomes provided by the Office of Science programs. Each notable outcome shall be linked to one or more Objectives.]

Program Office ⁵	Letter Grade	Numerical Score	Weight	Overall Score
Office of Advanced Scientific Research				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall ASCR Total				
Office of Basic Energy Sciences				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall BES Total				
Office of Biological and Environmental Research				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall BER Total				
Office of Fusion Energy Sciences				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall FES Total				
Office of High Energy Physics				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall HEP Total				
Office of Nuclear Physics				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall NP Total				
Office of Workforce Development for Teachers and Scientists				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall WDTS Total				
Office of Defense Nuclear Nonproliferation				

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

Program Office⁵	Letter Grade	Numerical Score	Weight	Overall Score
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall DNN Total				
Office of Electricity Delivery and Energy Reliability				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall OE Total				
Office of Energy Efficiency and Renewable Energy				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall EERE Total				
Office of Environmental Management				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall EM Total				
Office of Fossil Energy				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall FE Total				
Office of Intelligence				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall IN Total				
Office of Nuclear Energy				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall NE Total				
Department of Homeland Security				
3.1 Effective and Efficient Strategic Planning and Stewardship			TBD%	
3.2 Project/Program /Facilities Management			TBD%	
3.3 Communications and Responsiveness			TBD%	
Overall DHS Total				

Table 3.1 – Program Performance Goal 3.0 Score Development

HQ Program Office	Letter Grade	Numerical Score	Funding Weight (cost)	Overall Weighted Score
Office of Advanced Scientific Research			TBD%	
Office of Basic Energy Sciences			TBD%	
Office of Biological and Environmental Research			TBD%	
Office of Fusion Energy Sciences			TBD%	
Office of High Energy Physics			TBD%	
Office of Nuclear Physics			TBD%	
Office of Workforce Development for Teachers and Scientists			TBD%	
Office of Defense Nuclear Nonproliferation			TBD%	
Office of Electricity Delivery and Energy Reliability			TBD%	
Office of Energy Efficiency and Renewable Energy			TBD%	
Office of Environmental Management			TBD%	
Office of Fossil Energy			TBD%	
Office of Intelligence			TBD%	
Office of Nuclear Energy			TBD%	
Department of Homeland Security			TBD%	
Performance Goal 3.0 Total				

Table 3.2 – Overall Performance Goal 3.0 Score Development⁶

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 – Goal 3.0 Final Letter Grade

⁶ Weightings for each Customer listed within Table 3.2 are preliminary, based upon FY [Year] cost 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 cost for FY [Year].

Attachment I

Program Office Goal & Objective Weightings Office of Science

	ASCR Weight	BER Weight	BES Weight	FES Weight	HEP Weight	NP Weight	WDTS Weight
Goal 1.0 Mission Accomplishment							
<i>Goal Weight</i>							
1.1 Impact							
1.2 Leadership							
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities							
<i>Goal Weight</i>							
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)							
2.2 Construction of Facility / Fabrication of Components (execution phase, Post CD-2 to CD-4)							
2.3 Operation of Facility							
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community							
Goal 3.0 Program Management							
<i>Goal Weight</i>							
3.1 Effective and Efficient Strategic Planning and Stewardship							
3.2 Project/Program/Facilities Management							
3.3 Communications and Responsiveness							

Attachment I

**Program Office Goal & Objective Weightings
All Other Customers⁷**

		DNN	DHS	EERE	IN	FE	NE	EM	OE
		Weight							
Goal 1.0 Mission Accomplishment									
	<i>Goal Weight</i>								
1.1 Impact									
1.2 Leadership									
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities									
	<i>Goal Weight</i>								
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)									
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)									
2.3 Operation of Facility									
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community									
Goal 3.0 Program Management									
	<i>Goal Weight</i>								
3.1 Effective and Efficient Strategic Planning and Stewardship									
3.2 Project/Program/Facilities Management									
3.3 Communications and Responsiveness									

⁷ Goal and Objective weightings indicated for non-science customers are reflective of FY [Year] weightings and will be updated as those customers provide their weightings. Final Goal and Objective weightings will be incorporated, as appropriate, once they are determined by each HQ Program Office and provided to the Site Office. Should a HQ Program Office fail to provide final Goal and Objective weightings before the end of the first quarter FY [Year] the preliminary weightings provided shall become final.

Enclosure 5. Generic Leadership and Stewardship Goal and Objectives (Goal 4.0)

This enclosure provides the generic Leadership and Stewardship Goal and Objectives (Goal 4.0) for all laboratory PEMPs. This is a generic template that shall be incorporated as provided herein into the final draft PEMPs, with the exception of the following items which shall be adjusted as appropriate:

1. Provide the highlighted **TBD%** weightings for the Objectives of Goals 4.0 within Table 4.1.
 2. The “Notable Outcomes” section is to incorporate any notable outcomes approved by the Director of the Office of Science (SC-1), as appropriate. Each notable outcome must be linked to one or more Objectives. If no notable outcomes are provided for the Goal, the section should be deleted.
-

GOAL 4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

This Goal evaluates the Contractor’s Leadership capabilities in leading the direction of the overall Laboratory, the responsiveness of the Contractor to issues and opportunities for continuous improvement, and corporate office involvement/commitment to the overall success of the Laboratory.

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends and outcomes in overall Contractor Leadership’s planning for, integration of, responsiveness to and support for the overall success of the Laboratory. This may include, but is not limited to, the quality of Laboratory Vision/Mission strategic planning documentation and progress in realizing the Laboratory vision/mission; the ability to establish and maintain long-term partnerships/relationships with the scientific and local communities as well as private industry that advance, expand, and benefit the ongoing Laboratory mission(s) and/or provide new opportunities/capabilities; implementation of a robust assurance system; Laboratory and Corporate Office Leadership’s ability to instill responsibility and accountability down and through the entire organization; overall effectiveness of communications with DOE; understanding, management and allocation of the costs of doing business at the Laboratory commensurate with associated risks and benefits; utilization of corporate resources to establish joint appointments or other programs/projects/activities to strengthen the Laboratory; and advancing excellence in stakeholder relations to include good corporate citizenship within the local community.

Objectives:

4.1 Leadership and Stewardship of the Laboratory

By which we mean: The performance of the laboratory’s senior management team as demonstrated by their ability to do such things as:

- Define an exciting yet realistic scientific vision for the future of the laboratory,
- Make progress in realizing the vision for the laboratory,
- Establish and maintain long-term partnerships/relationships that maintain appropriate relations with the scientific and local communities, and
- Develop and leverage appropriate relations with private industry to the benefit of the laboratory and the U.S. taxpayer.

Letter Grade	Definition
A+	The Senior Leadership of the laboratory has made outstanding progress (on an order of magnitude scale) over the previous year in realizing their vision for the laboratory, and has had a demonstrable impact on the Department and the Nation. Strategic plans are of outstanding quality, have been externally recognized and referenced for their excellence, and have an impact on the vision/plans of other national laboratories. The Senior leadership of the laboratory may have been faced very difficult challenges and plotted, successfully, its own course through the difficulty, with minimal hand-holding by the Department. Partners in the scientific and local communities applaud the laboratory in national fora, and the Department is strengthened by this.
A	The Senior Leadership of the laboratory has made significant progress over the previous year in realizing their vision for the laboratory, and has through this has had a demonstrable positive impact on the Office of Science and the Department. Strategic plans are of outstanding quality, and recognize and reflect the vision/plans of other national laboratories. Faced with difficult challenges, actions were taken by the Senior leadership of the laboratory to redirect laboratory activities to enhance the long-term future of the laboratory. Partners in the scientific and local communities applaud the laboratory in national fora, and the Department is strengthened by this.

Letter Grade	Definition
A-	The laboratory senior management performs better than expected (B+ grade) in these areas.
B+	The Senior Leadership of the laboratory has made significant progress over the previous year in realizing their vision for the laboratory. Strategic plans present long range goals that are both exciting and realistic. Decisions and actions taken by the lab leadership align work, facilities, equipment and technical capabilities with the laboratory vision and plan. The Senior leadership of the laboratory faced difficult challenges and successfully plotted its own course through the difficulty, with help from the Department. Partners in the scientific and local communities are supportive of the laboratory.
B	The Senior Leadership of the laboratory has made little progress over the previous year in realizing their vision for the laboratory. Strategic plans present long range goals that are exciting and realistic; however DOE is not fully confident that the laboratory is taking the actions necessary for the goals to be achieved. The Laboratory is not fully engaged with its partners/relationships in the scientific and local communities to maximize the potential benefits these relations have for the laboratory.
C	The Senior Leadership of the laboratory has made no progress over the previous year in realizing their vision for the laboratory or aligning work, facilities, equipment and technical capabilities with the laboratory vision and plan. Strategic plans present long range goals that are either unexciting or unrealistic. Business plans exist, but they are not linked to the strategic plan and do not inspire DOE's confidence that the strategic goals will be achieved. Partnerships with the scientific and local communities with potential to advance the laboratory exist, but they may not always be consistent with the mission of or vision for the laboratory. Affected communities and stakeholders are mostly supportive of the laboratory and aligned with the management's vision for the laboratory.
D	The Senior Leadership of the laboratory has made no progress or has back-slid over the previous year in realizing their vision for the laboratory or in aligning work, facilities, equipment and technical capabilities with the laboratory vision and plan. Strategic plans present long range goals that are neither exciting nor realistic. Partnerships that may advance the Laboratory towards strategic goals are inappropriate, unidentified, or unlikely. Affected communities and stakeholders are not adequately engaged with the laboratory and indicate non-alignment with DOE priorities.
F	The Senior Leadership of the laboratory has made no progress or has back-slid over the previous year in realizing their vision for the laboratory or in or aligning work, facilities, equipment and technical capabilities with the laboratory vision and plan. Strategic plans present long range goals that are not aligned with DOE priorities or the mission of the laboratory. Partnerships that may advance the Laboratory towards strategic goals are inappropriate, unidentified, and unlikely, and/or the senior management team does not demonstrate a concerted effort to develop, leverage, and maintain relations with the scientific and local communities to assist the laboratory in achieving a successful future. Affected communities and stakeholders are openly non-supportive of the laboratory and DOE priorities.

4.2 Management and Operation of the Laboratory

By which we mean: The performance of the laboratory's senior management team as demonstrated by their ability to do such things as:

- Implement a robust contractor assurance system,
- Understand the costs of doing business at the laboratory and prioritize the management and allocation of these costs commensurate with their associated risks and benefits,
- Instill a culture of accountability and responsibility down and through the entire organization;
- Ensure good and timely communication between the laboratory and SC headquarters and the Site Office so that DOE can deal effectively with both internal and external constituencies.

Letter Grade	Definition
A+	<p>The laboratory has a nationally or internationally recognized contractor assurance system in place that integrates internal and external (corporate) evaluation processes to evaluate risk, and is working to help others internal and external to the Department establish similarly outstanding practices. The laboratory understands the drivers of cost at their lab, and are prioritizing and managing these costs commensurate with the associated risks and benefits to the laboratory and the SC laboratory system.</p> <p>Laboratory management and processes reflect a sense of accountability and responsibility with is evident down and through the entire organization. Communication between the laboratory and SC headquarters and the Site Office is such that all the national laboratories and the Department as a whole benefits.</p>
A	<p>The laboratory has improved dramatically in the last year in all of the following: building a robust and transparent contractor assurance system that integrates internal and external (corporate) evaluation processes to evaluate risk; demonstrating the use of this system in making decisions that are aligned with the laboratory’s vision and strategic plan; understanding the drivers of cost at their lab, and prioritizing and managing these costs consistent with their associated risks and benefits to the laboratory and the SC laboratory system; demonstrating laboratory management and processes reflect a sense of accountability and responsibility with is evident down and through the entire organization; assuring communication between the laboratory and SC headquarters that is beneficial to both the lab and SC.</p>
A-	<p>The laboratory senior management performs better than expected (B+ grade) in these areas.</p>
B+	<p>The laboratory has a robust and transparent contractor assurance system in place that integrates internal and external (corporate) evaluation processes to evaluate risk. The laboratory can demonstrate use of this system in making decisions that are aligned with the laboratory’s vision and strategic plan. The laboratory understands the drivers of cost at their lab, and are prioritizing and managing these costs commensurate with the associated risks and benefits to the laboratory and the SC laboratory system.</p> <p>Laboratory management and processes reflect a sense of accountability and responsibility with is evident down and through the entire organization. Communication between the laboratory and SC headquarters and the Site Office is such that there are no surprises or embarrassments.</p>
B	<p>The laboratory has a contractor assurance system in place but further improvements are necessary, or the link between the CAS and the laboratory’s decision-making processes are not evident. The laboratory understands the drivers of cost at their lab, but they are not prioritizing and managing these costs as well as they should to be commensurate with the associated risks and benefits to the laboratory and the SC laboratory system. Laboratory management and processes reflect a sense of accountability and responsibility with is mostly evident down and through the entire organization. Communication between the laboratory and SC headquarters and the Site Office is such that there are no significant surprises or embarrassments.</p>
C	<p>The laboratory lacks a robust and transparent contractor assurance system in place that integrates internal and external (corporate) evaluation processes to evaluate risk. The laboratory cannot demonstrate use of this system in making decisions that are aligned with the laboratory’s vision and strategic plan. The laboratory does not fully understand the drivers of cost at their lab, and thus are not prioritizing and managing these costs as well as they should to be commensurate with the associated risks and benefits to the laboratory and the SC laboratory system. Communication between the laboratory and SC headquarters and the Site Office is such that there has been at least one significant surprise or embarrassment.</p>
D	<p>The laboratory lacks a contractor assurance system, doesn’t understand the drivers of cost at their lab, and is not prioritizing and managing costs. SC HQ must intercede in management decisions. Poor communication between the laboratory and SC headquarters and the Site Office has resulted in more than one significant surprise or embarrassment.</p>
F	<p>Lack of management by the laboratory’s senior management has put the future of the laboratory at risk, or has significantly hurt the reputation of the Office of Science.</p>

4.3 Contractor Value-added

By which we mean: the additional benefits that accrue to the laboratory and the Department of Energy by virtue of having this particular M&O contractor in place. Included here, typically, are things over which the laboratory leadership does not have immediate authority, such as:

- Corporate involvement/contributions to deal with challenges at the laboratory;
- Using corporate resources to establish joint appointments or other programs/projects/activities that strengthen the lab, and
- Providing other contributions to the laboratory that enable the lab to do things that are good for the laboratory and its community and that DOE cannot supply.

Letter Grade	Definition
A+	The laboratory has been transformed as a result of the many, substantial, additional benefits that accrue to the lab as a result of this contractor's operation of the laboratory.
A	Over the past year, the laboratory has become demonstrably stronger, better and more attractive as a place of employment as a result of the many, substantial, additional benefits that accrue to the lab as a result of this contractor's operation of the laboratory.
A-	The laboratory senior management performs better than expected (B+ grade) in these areas.
B+	The laboratory enjoys additional benefits above and beyond those associated with managing the laboratory's activities that accrue as a result of this contractor's operation of the laboratory.
B	The laboratory enjoys few additional benefits that accrue as a result of this contractor's operation of the laboratory; help by the contractor is needed to strengthen the laboratory.
C	The laboratory enjoys few additional benefits that accrue as a result of this contractor's operation of the laboratory; the contractor seems unable to help the laboratory.
D	The laboratory enjoys few additional benefits that accrue as a result of this contractor's operation of the laboratory; the contractor's efforts are inconsistent with the interests of the laboratory and the Department.
F	The laboratory enjoys no additional benefits that accrue as a result of this contractor's operation of the laboratory; the contractor's efforts are counter-productive to the interests of the Department.

Notable Outcomes

- *[Provide a listing of the notable outcomes for this Goal. Each notable outcome shall be linked to one or more Objectives.]*

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Overall Score
Goal 4.0 – Provide Sound and Competent Leadership and Stewardship of the Laboratory				
4.1 Leadership and Stewardship of the Laboratory			TBD%	
4.2 Management and Operation of the Laboratory			TBD%	
4.3 Contractor Value-Added			TBD%	
Performance Goal 4.0 Total				

Table 4.1 – Performance Goal 4.0 Score Development

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

Table 4.2 – Goal 4.0 Final Letter Grade

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Enclosure 6. Generic Managerial and Operational Goals and Objectives (Goals 5.0 – 8.0)

This enclosure provides the generic managerial and operational (M&O) Goals and Objectives (Goals 5.0-8.0) for all laboratory PEMP. This is a standard template that shall be incorporated as provided herein into the final draft PEMP, with the exception of the following items which shall be adjusted as appropriate:

3. Provide the highlighted **TBD%** weightings for each Goal within the body of the introduction section to each Goal. Also, provide the highlighted **TBD%** weightings for the Objectives of each of the Goals 5.0-8.0 within tables 5.1, 6.1, 7.1, and 8.1, respectively.
 4. The “Notable Outcomes” sections are to incorporate any notable outcomes approved by the Director of the Office of Science (SC-1) under each Goal, as appropriate. Each notable outcome must be linked to one or more Objectives. If no notable outcomes are provided for a Goal, the section should be deleted.
-

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

The weight of this Goal is **TBD%**.

This Goal evaluates the Contractor’s overall success in deploying, implementing, and improving integrated ES&H systems that efficiently and effectively support the mission(s) of the Laboratory.

- 5.1 Provide an Efficient and Effective Worker Health and Safety Program
- 5.2 Provide Efficient and Effective Environmental Management System

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends and outcomes in protecting workers, the public, and the environment. This may include, but is not limited to, minimizing the occurrence of environment, safety and health (ESH) incidents; effectiveness of the Integrated Safety Management (ISM) system; effectiveness of work planning, feedback, and improvement processes; the strength of the safety culture throughout the Laboratory; the effective development, implementation and maintenance of an efficient and effective Environmental Management system; and the effectiveness of responses to identified hazards and/or incidents.

Notable Outcomes

- *[Provide a listing of the notable outcomes for this Goal. Each notable outcome shall be linked to one or more Objectives.]*

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Overall Score
Goal 5.0 - Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection.				
5.1 Provide an Efficient and Effective Worker Health and Safety Program			TBD%	
5.2 Provide an Efficient and Effective Environmental Management System			TBD%	
Performance Goal 5.0 Total				

Table 5.1 – Performance Goal 5.0 Score Development

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

Table 5.2 – Goal 5.0 Final Letter Grade

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

The weight of this Goal is **TBD%**.

This Goal evaluates the Contractor’s overall success in deploying, implementing, and improving integrated business systems that efficiently and effectively support the mission(s) of the Laboratory.

- 6.1 Provide an Efficient, Effective, and Responsive Financial Management System
- 6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System and Property Management System
- 6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program
- 6.4 Provide Efficient, Effective, and Responsive Contractor Assurance Systems, including Internal Audit and Quality
- 6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends and outcomes in the development, deployment and integration of foundational program (e.g., Contractor Assurance, Quality, Financial Management, Acquisition Management, Property Management, and Human Resource Management) systems across the Laboratory. This may include, but is not limited to, minimizing the occurrence of management systems support issues; quality of work products; continual improvement driven by the results of audits, reviews, and other performance information; the integration of system performance metrics and trends; the degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff; benchmarking and performance trending analysis. The DOE evaluator(s) shall also consider the stewardship of the pipeline of innovations and resulting intellectual assets at the Laboratory along with impacts and returns created/generated as a result of technology transfer, work for others and intellectual asset deployment activities.

Notable Outcomes

- *[Provide a listing of the notable outcomes for this Goal. Each notable outcome shall be linked to one or more Objectives.]*

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Overall Score
Goal 6.0 - Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s)				
6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)			TBD%	
6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System and Property Management System			TBD%	
6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program			TBD%	

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Overall Score
6.4 Provide Efficient, Effective, and Responsive Contractor Assurance Systems, including Internal Audit and Quality			TBD%	
6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets			TBD%	
Performance Goal 6.0 Total				

Table 6.1 – Performance Goal 6.0 Score Development

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

Table 6.2 – Goal 6.0 Final Letter Grade

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

The weight of this Goal is **TBD%**.

This Goal evaluates 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 mission(s) and complex challenges.

- 7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs
- 7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support the Continuation and Growth of Laboratory Missions and Programs

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends and outcomes in facility and infrastructure programs. This may include, but is not limited to, the management of real property assets to maintain effective operational safety, worker health, environmental protection and compliance, property preservation, and cost effectiveness; effective facility utilization, maintenance and budget execution; day-to-day management and utilization of space in the active portfolio; maintenance and renewal of building systems, structures and components associated with the Laboratory’s facility and land assets; management of energy use, conservation, and sustainability practices; the integration and alignment of the Laboratory’s comprehensive strategic plan with capabilities; facility planning, forecasting, and acquisition; the delivery of accurate and timely information required to carry out the critical decision and budget formulation process; quality of site and facility planning documents; and Cost and Schedule Performance Index performance for facility and infrastructure projects.

Notable Outcomes

- *[Provide a listing of the notable outcomes for this Goal. Each notable outcome shall be linked to one or more Objectives.]*

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Overall Score
Goal 7.0 - Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs.				
7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs			TBD%	
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support the Continuation and Growth of Laboratory Missions and Programs			TBD%	
Performance Goal 7.0 Total				

Table 7.1 – Performance Goal 7.0 Score Development

Total Score	4.3-4.1	4.0-3.8	3.7-3.5	3.4-3.1	3.0-2.8	2.7-2.5	2.4-2.1	2.0-1.8	1.7-1.1	1.0-0.8	0.7-0
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Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F
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Table 7.2 – Goal 7.0 Final Letter Grade

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

The weight of this Goal is **TBD%**.

This Goal evaluates 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.

- 8.1 Provide an Efficient and Effective Emergency Management System
- 8.2 Provide an Efficient and Effective Cyber Security System for the Protection of Classified and Unclassified Information
- 8.3 Provide an Efficient and Effective Physical Security Program for the Protection of Special Nuclear Materials, Classified Matter, Classified Information, Sensitive Information, and Property

In measuring the performance of the above Objectives, the DOE evaluator(s) shall consider performance trends and outcomes in the safeguards and security, cyber security and emergency management program systems. This may include, but is not limited to, the commitment of leadership to strong safeguards and security, cyber security and emergency management systems; the integration of these systems into the culture of the Laboratory; the degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff; maintenance and the appropriate utilization of Safeguards, Security, and Cyber risk identification, prevention, and control processes/activities; and the prevention and management controls and prompt reporting and mitigation of events as necessary.

Notable Outcomes

- *[Provide a listing of the notable outcomes for this Goal. Each notable outcome shall be linked to one or more Objectives.]*

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Overall Score
Goal 8.0 - Sustain and Enhance the Effectiveness of Integrated Safeguards and Security management (ISSM) and Emergency Management Systems.				
8.1 Provide an Efficient and Effective Emergency Management System			TBD%	
8.2 Provide an Efficient and Effective Cyber Security System for the Protection of Classified and Unclassified Information			TBD%	
8.3 Provide an Efficient and Effective Physical Security Program for the Protection of Special Nuclear Materials, Classified Matter, Classified Information, Sensitive Information, and Property			TBD%	
Performance Goal 8.0 Total				

Table 8.1 – Performance Goal 8.0 Score Development

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

Grade											
-------	--	--	--	--	--	--	--	--	--	--	--

Table 8.2 – Goal 8.0 Final Letter Grade

Enclosure 7. Waiver of HQ Review and Approval of Performance Objectives and Incentives



Department of Energy

Washington, DC 20585

August 23, 2005

MEMORANDUM FOR DONALD ERBSCHLOE
ACTING CHIEF OPERATING OFFICER
OFFICE OF SCIENCE

FROM: 
EDWARD R. SIMPSON
DIRECTOR, OFFICE OF CONTRACT MANAGEMENT
OFFICE OF PROCUREMENT AND ASSISTANCE
MANAGEMENT

SUBJECT: WAIVER OF HEADQUARTERS REVIEW AND APPROVAL
OF PERFORMANCE OBJECTIVES AND INCENTIVES

In accordance with the Acquisition Guide Chapter 71.2, "Performance Based Incentives and Related Approvals," your office submitted a request for waiver of Headquarters review and approval of the performance objectives and associated incentives for the laboratory contracts for which you are responsible.

This office has reviewed your request for waiver and the preliminary guidance describing your new formal approach in the development of performance objectives, measures, and incentives and in the evaluation of the contractor's performance. Your guidance addressed the required processes for the development and administration of performance-based incentives as outlined in the Acquisition Guide Chapter 71.2. We recognize that this guidance is not all-inclusive and additional guidance, including roles and responsibilities, will be developed. However, it does provide the necessary framework for the development and administration of performance-based requirements, objectives, measures and incentives used in performance-based award fee contract. As a result, we waive the requirement for review and approval of performance objectives and incentives for the laboratories for which you are responsible. The Office of Science's process is a new endeavor and we would like to remain in a consultative role regarding the planning of incentives until the Department has more experience with the new process. Consequently, this office should be invited to any future meetings related to planning incentives for the associated contracts.

The waiver granted by this letter does not apply to any other review or approval requirements for which you are responsible. Similarly, it does not preclude this office's participation in future efforts to establish annual performance objectives and incentives for any contract.

If you have any questions on this matter, please contact Lisa Jones, of my staff, at 202-287-1420.

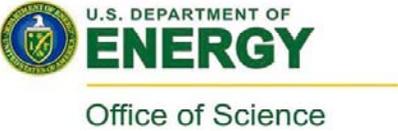


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Enclosure 8. Contractor Performance Evaluation Report Presentation Template

The site offices are to prepare a final presentation for the Director of the Office of Science on the performance of the laboratory contractors under their cognizance. The template below, *which is subject to change*, is provided as a guide, and may be adjusted as needed to best incorporate the performance data. All numerical score provided in the presentation should be rounded to the nearest tenth of a point for display purposes. The Office of Laboratory Policy and Evaluation will provide the site offices with changes to the content and format of the template, as needed.



**Fiscal Year ____ Performance Evaluation
of the *[Insert full name of Contractor]*
for the Management and Operation
of the *[Insert full name of Laboratory]***

[Insert Name]
Manager
[Insert Site Office]
[Insert Date]

[Insert Site Office] 1

Performance Based Incentives

- Performance Grade
 - S&T – *[Grade]*
 - M&O – *[Grade]*

- Performance Based Fee
 - Total available Fee for FY ____ = \$ _____

- Award Term (if appropriate)
 - *[Provide statement(s) of threshold/structure of Award Term incentive]*

2

[Insert Site Office]



Goal 1.0 - Mission Accomplishment

Overall Goal Performance: Grade – *[Insert Grade]*

Office	ASCR	BES	BER	HEP	NP	WDTS	EERE	FE	NNSA	DHS
Goal Weight										
FY 2011 Cost (\$M)										
Calculated Weight										
Grade										

- Obj. 1.1 Impact on the Field
- Obj. 1.2 Leadership in S&T

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

3

[Insert Site Office]



1.0 Mission Accomplishment (continued)

Overall Goal Performance: Grade – ____

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

4

[Insert Site Office]



2.0 Design, Fabrication, Construction and Operation of Research Facilities

Overall Goal Performance: Grade – ____

Office	ASCR	BES	BER	HEP	NP	WDTS	EERE	FE	NNSA	DHS
Goal Weight										
FY 2011 Cost (\$M)										
Calculated Weight										
Grade										

Obj. 2.1 Design of Facility

Obj. 2.2 Construction of Facility/Fabrication of Components

Obj. 2.3 Operation of Facility

Obj. 2.4 Utilization of Facility(ies) to Provide Impactful S&T Results and Benefits to External User Communities

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

5

[Insert Site Office]



2.0 Design, Fabrication, Construction and Operation of Research Facilities (continued)

Overall Goal Performance: Grade – ____

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

6

[Insert Site Office]



3.0 Program Management

Overall Goal Performance: Grade – ____

Office	ASCR	BES	BER	HEP	NP	WDTS	EERE	FE	NNSA	DHS
Goal Weight										
FY 2011 Cost (\$M)										
Calculated Weight										
Grade										

Obj. 3.1 Strategic Planning, Stewardship of Scientific Capabilities and Programmatic Vision

Obj. 3.2 Project/Program/Facilities Management

Obj. 3.3 Communications and Responsiveness (to HQ)

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

7

[Insert Site Office]



3.0 Program Management (continued)

Overall Goal Performance: Grade – ____

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

8

[Insert Site Office]



4.0 Contractor Leadership/Stewardship

Overall Goal Performance: Grade – ____

- Obj. 4.1 Leadership and Stewardship of the Laboratory (*Grade*)
- Obj. 4.2 Management and Operations of the Laboratory (*Grade*)
- Obj. 4.3 Contractor Value-Added (*Grade*)

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

9

[Insert Site Office]



5.0 Environment, Safety and Health

Overall Goal Performance: Grade – ____

Obj. 5.1 Worker Health and Safety Program (*Grade*)

Obj. 5.2 Environmental Management System (*Grade*)

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

10

[Insert Site Office]



6.0 Business Systems

Overall Goal Performance: Grade – ____

Obj. 6.1 Financial Management System(s) (*Grade*)

Obj. 6.2 Acquisition and Property Management Systems (*Grade*)

Obj. 6.3 Human Resources Management System and Diversity Program (*Grade*)

Obj. 6.4 Contractor Assurance Systems, including Internal Audit and Quality (*Grade*)

Obj. 6.5 Technology Transfer (*Grade*)

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

11

[Insert Site Office]



7.0 Facilities and Infrastructure

Overall Goal Performance: Grade – ____

Obj. 7.1 Manage Facilities and Infrastructure (*Grade*)

Obj. 7.2 Plan for and Acquire Required Facilities and Infrastructure (*Grade*)

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

12

[Insert Site Office]



8.0 Security and Emergency Management

Overall Goal Performance: Grade – ____

Obj. 8.1 Emergency Management Program (*Grade*)

Obj. 8.2 Cyber Security System for the Protection of Classified and Unclassified Information (*Grade*)

Obj. 8.3 Physical Security Program for the Protection of Special Nuclear Materials, Classified Matter, Classified Information, Sensitive Information, and Property (*Grade*)

- Statements of accomplishments, notable performance, or major concerns/issues for major program offices

13

[Insert Site Office]



Initial S&T and M&O Scores

Program	S&T Score	Weight ¹	Weighted Score	Total Score
ASCR				
BES				
BER				
FES				
WDTS				
NNSA				
DHS				
EM				
EERE				
FE				
IN				
Initial S&T Score				

Goal	Score	Weight	Weighted Score	Total Score
5.0				
6.0				
7.0				
8.0				
Initial M&O Score				

¹ Weight = Program Budget divided by Total Budget

14

[Insert Site Office]



Performance Based Fee Earned

	Numerical Score	Weight	
Initial S&T Score		0.75	
Goal 4.0		0.25	
Final S&T Score			
Initial M&O Score		0.75	
Goal 4.0		0.25	
Final M&O Score			

Overall Fee Determination		
Percent S&T Fee Earned		%
M&O Fee Multiplier		%
Overall Earned Fee		%

Overall Weighted Score	Percent S&T Fee Earned	M&O Fee Multiplier
4.3 – 4.1	100%	100%
4.0 – 3.8	97%	100%
3.7 – 3.5	94%	100%
3.4 – 3.1	91%	100%
3.0 – 2.8	88%	95%
2.7 – 2.5	85%	90%
2.4 – 2.1	75%	85%
2.0 – 1.8	50%	75%
1.7 – 1.1	0%	60%
1.0 – 0.8	0%	0%
0.7 – 0.0	0%	0%

Total Fee Earned for FY ____ = \$ _____

15

[Insert Site Office]



Fee Adjustment Factor

(To be incorporated if needed)

- Identify the performance failures leading to the adjustment
- Provide summary as to why the performance failure(s) warrant an adjustment
- Provide summary of mitigating factors taken into account in determining the degree of adjustment
- Based on our review a reduction of ____ % of otherwise earned fee was deemed appropriate

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[Insert Site Office]



Award Term Eligibility/Award

- Provide summary indicating that the Contractor has or has not met the performance criteria for Award Term (for first cycle ensure to identify each years eligibility separately)
- Provide summary of any other factors taken into consideration regarding final recommendation for awarding or not awarding the Award Term
- Based on our review it has been determined that the Contractor (has/has not) met the criteria for Award Term.

17

[Insert Site Office]



Recommendation

The *[Insert Site Office]* recommends the approval of the FY ____ Report Card for the *[Insert full name of Contractor]* and the awarding of \$ _____ in performance-based fee.

Include recommendation of any other incentives (e.g. Award Term), as appropriate.

	Mission Accomplishment
	Design, Fabrication, Contraction and Operation of Research Facilities
	Program Management
	Contractor Leadership/Stewardship
	Environment, Safety and Health
	Business Systems
	Facilities and Infrastructure
	Security and Emergency Management

Enclosure 9. Laboratory Fiscal Year Performance Evaluation Report Card Template

This enclosure provides a template for use by the Office of Laboratory Policy and Evaluation in preparing the annual report cards for publication on the SC website.

FY *[Year]* Report Card
(Oct 1, *[Year]* – Sept 30, *[Year]*)

[Full Name of Laboratory]

<i>[Letter Grade]</i>	Mission Accomplishment (Quality and Productivity of R&D)
<i>[Letter Grade]</i>	Construction and Operation of Research Facilities
<i>[Letter Grade]</i>	S&T Project/Program Management
<i>[Letter Grade]</i>	Contractor Leadership/Stewardship
<i>[Letter Grade]</i>	Environment Safety and Health
<i>[Letter Grade]</i>	Business Systems
<i>[Letter Grade]</i>	Facilities Maintenance and Infrastructure
<i>[Letter Grade]</i>	Security and Emergency Management

For information regarding this Report Card or the FY *[Year]* *[Laboratory acronym]* Assessment, please contact the *[Name of Site Office, displayed as a link to the Site Office Manager's email address]*.

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Enclosure 10. Goal 4.0 Corporate Stewardship and Leadership Score/Grade Template

This enclosure provides a template for use by the site offices and program evaluators that wish to provide input on a contractor's performance in the areas of Goal 4.0. Evaluators shall use the letter grade criteria/definitions provided in Enclosure 5 of this guidance document to develop proposed grades/scores for the three Objectives under this Performance Goal. Completed templates shall be provided to the Office of Laboratory Policy and Evaluation via email.

Laboratory: _____ **Reviewer:** _____

4.1. Leadership and Stewardship of the Laboratory

By which we mean: The performance of the laboratory's senior management team as demonstrated by their ability to do such things as:

- Define an exciting yet realistic scientific vision for the future of the laboratory,
- Make progress in realizing the vision for the laboratory,
- Establish and maintain long-term partnerships/relationships that maintain appropriate relations with the scientific and local communities, and
- Develop and leverage appropriate relations with private industry to the benefit of the laboratory and the U.S. taxpayer.

Grade: ____

Score: ____

Comments:

4.2 Management and Operation of the Laboratory

By which we mean: The performance of the laboratory's senior management team as demonstrated by their ability to do such things as:

- Implement a robust contractor assurance system,
- Understand the costs of doing business at the laboratory and prioritize the management and allocation of these costs commensurate with their associated risks and benefits,
- Instill a culture of accountability and responsibility down and through the entire organization;
- Ensure good and timely communication between the laboratory and SC headquarters and the Site Office so that DOE can deal effectively with both internal and external constituencies.

Grade: ____

Score: ____

Comments:

4.3. Contractor Value-added

By which we mean: the additional benefits that accrue to the laboratory and the Department of Energy by virtue of having this particular M&O contractor in place. Included here, typically, are things over which the laboratory leadership does not have immediate authority, such as:

- Corporate involvement/contributions to deal with challenges at the laboratory;
- Using corporate resources to establish joint appointments or other programs/projects/activities that strengthen the lab, and
- Providing other contributions to the laboratory that that enable the lab to do things that are good for the laboratory and its community and that DOE cannot supply.

Grade: ____

Score: ____

Comments:

Enclosure 11. Award Term Decision Document Template

The award term decision document template is provided to assist Contracting Officers (COs) in the development of document as prescribed within Procedure 1, *Performing an Award Term Evaluation and Recommendation*, of the Office of Science Management System (SCMS) M&O Contract Extension Subject Area. The template is provided as a sample; the responsible CO is to read through and make any changes necessary to make the language to reflect what is in his/her respective laboratory contract.

Award Term Decision Document
 Contract No. *[Contract number]*

Clause F.2 Award Term Incentive (Special) provides the following related to the award term incentive:

(b) Eligibility for Award Term Extensions. In order for the contractor to earn a contract term extension pursuant to the award term incentive, the contractor must:

- (1) Have been assessed by the FDO [Fee Determination Official] to have achieved an annual rating in both the Science & Technology and Management and Operations components for each performance evaluation period (except as provided in (2) below) that meets or exceeds the scores identified in the Performance Evaluation and Measurement Plan (or equivalent document) as establishing eligibility for the award term incentive, and, meet the contract performance objectives, standards, or criteria and other contract requirements applicable to earning additional award term, defined in the Performance Evaluation and Measurement Plan (or equivalent document), as determined by the ATDO.
- (2) With respect to the evaluation period for the first award term extension, the Contractor must achieve an overall rating of at least satisfactory for the first performance evaluation period and an overall rating meeting the criteria in paragraph (1) above for each of the next two performance evaluation periods.

(c) . . . (3) The amount of award term that may be earned by the contractor for the first award term extension is thirty-six (36) months. . . .

The referenced **Performance Evaluation and Measurement Plan** provides:

Determining Award Term Eligibility. Pursuant to the clause entitled "Award Term Incentive" the contractor may also earn additional term by exceeding performance expectations. The contractor is eligible for award term in accordance with the clause when performance for the S&T and M&O components results in scores within the shaded areas of Table C, which would be scores of 3.5 or higher for S&T and 3.1 or higher for the M&O component. Notwithstanding the overall scores earned, if the contractor scores less than a 3.1 in any S&T goal or less than a 2.5 in any M&O goal the contractor will not be eligible for award term.

In reviewing *[Full name of contractor]*'s performance for the *[number of years]* award term period it has been as follows:

Year	Requirement	Result	Comments

Based on the contract requirements for the award term incentive, the contractor's performance exceeding all contract requirements for the incentive, and, no known issues either performance or otherwise that would properly exclude the contractor from the incentive the Contracting Officer is recommending and hereby requests approval from the Award Term Determining Official for the exercise of the initial award term incentive of a *[#]* month extension to contract *[Contract number]* subject to other contract conditions and required approvals. Please indicate approval of the recommendation by signing where indicated below.

[Contracting Office Name]
 Contracting Officer
[Site Office Name]

Date: _____

 Director, Office of Science
 Award Term Determining Official

 Date

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Enclosure 12. Integrated Schedule for the Office of Science Laboratory Appraisal Process

The following integrated schedule provides an *estimated* time line for the Office of Science (SC) laboratory performance appraisal process, to include the development, review, and approval of the FY 2013 Performance Evaluation and Measurement Plans (PEMPs), as well as the evaluation of the SC laboratory contractors' FY 2012 performance and the development, review, approval, and final issuance of the year-end evaluation reports to the contractors. The Office of Laboratory Policy and Evaluation will notify evaluators of any changes to this schedule.

Deliverable Due	FY 2013 Lab Evaluations	FY 2013 PEMP Development
June-July, 2012	Use the FY 2012 laboratory planning exercise as a forum to discuss the performance of the laboratories against the FY 2012 Notable Outcomes	Use the FY 2012 laboratory planning exercise as a forum to start to discuss the Notable Outcomes for FY 2013
July 13, 2012		<p>SC ADs provide draft Notable Outcomes for Goals 1.0-3.0 to SC-32</p> <p>SOMs provide draft Notable Outcomes for Goals 5.0-8.0 to SC-32</p> <p>SC ADs and SOMs provide to SC-32 suggested Notable Outcomes for Goal 4.0, as appropriate</p>
August 17, 2012		<p>SC-32 convenes a meeting of SC ADs to discuss and normalize proposed Notable Outcomes for Goals 1.0-3.0</p> <p>SC-32 convenes a meeting of SOMs to discuss and normalize proposed Notable Outcomes for Goals 5.0-8.0</p>
August 1, 2012	Laboratory Rating Tool (LRT) becomes active for the FY 2012 evaluations	
September 7, 2012		Meeting with SC-1, SC-2, and SC-3 to finalize proposed Notable Outcomes for Goals 1.0-8.0
September 14, 2012		SC-1 approves Notable Outcomes for Goals 1.0-8.0, and SC-32 provides them to the SOMs for incorporation into the PEMPs

Deliverable Due	FY 2013 Lab Evaluations	FY 2013 PEMP Development
September 21, 2012		Site offices submit final draft PEMPs to SC-32
September 28, 2012		SC-32 completes quality check of final draft PEMPs and provides approval to SOMs
September 30, 2012	FY 2012 performance period ends	
October 1, 2012		FY 2013 performance period begins and site offices incorporate FY 2013 PEMPs into contracts
October 12, 2012	<p>SC ADs, DOE Program Offices, and other sponsors enter input (including grades/scores) on Goals 1.0-3.0 in the LRT</p> <p>As appropriate, SOMs and SC ADs submit input (including grades/scores) on Goal 4.0 to SC-32 using Enclosure 10 of the SC laboratory performance appraisal process guidance document</p> <p>SOMs enter input (including grades/scores) on Goals 5.0-8.0 in the LRT</p>	
October 19, 2012	<p>SC-32 provides the initial grades/scores for Goals 1.0-3.0 to SC-2</p> <p>SC-32 provides the initial grades/scores for Goals 4.0 (site office input) and 5.0-8.0 to SC-3</p>	
October 26, 2012	<p>Normalization meeting with SC-2 and SC ADs for Goals 1.0-3.0</p> <p>Normalization meeting with SC-3 and SOMs for Goals 4.0 (site office input) and 5.0-8.0</p>	

Deliverable Due	FY 2013 Lab Evaluations	FY 2013 PEMP Development
November 2, 2012	<p>Meeting with SC-1 representative, SC-2 and SC-3 to finalize Goal 4.0 grades for each laboratory; SC-32 enters proposed grades/scores for Goal 4.0 into the LRT</p> <p>SC ADs enter any updates to grades/scores and input for Goals 1.0- 3.0 in the LRT</p> <p>SOMs enter any updates to grades/scores for Goals 5.0-8.0 in the LRT</p>	
November 9, 2012	SC-32 provides final proposed grades/scores Goals 1.0- 8.0 to SC-2 and SC-3	
November 13, 2012	SC-32 provides final grades/scores to site offices for Goals 1.0-8.0 (including specific written input for Goal 4.0 prepared by SC-32)	
November 16, 2012	SOMs submit performance evaluation briefing materials for SC-1 to SC-32 (includes completed presentation and award term decision document, if applicable)	
November 20, 2012	<p>SC-32 provides briefing materials to participants of the annual internal meeting with SC-1</p> <p>SC-32 provides SC-1 with the approval packages</p>	
November 30, 2012	Annual internal meeting with SC-1 to discuss SC laboratory evaluations, grades, and associated incentives	
December 12, 2012	SC-1, SC-2, SC-, SOMs, SC-1 representative, and SC-32 AD meet with lab directors to discuss the evaluation results	
December 13, 2012, noon	SOMs issue approved performance evaluation report and incentive determination to the contractors	
December 14, 2012	SC-32 publishes FY 2012 report cards on the SC website	