SC Laboratory Performance Appraisal Process

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SC Procedures and Guidance for the Office of Science Laboratory Performance Appraisal Process

1.0 Purpose

This procedure and guidance document is intended to provide the Office of Science (SC) with an overall methodology and framework for an SC-wide laboratory performance evaluation and incentive process. This process and methodology has been implemented for all SC laboratory contracts beginning with the FY 2006 Performance Evaluation and Measurement Plan (PEMP). The following procedures and guidance provides the framework for the development of the Contractor PEMP for each laboratory, the evaluation methodology to be employed, the development of annual evaluation reports and the process for their final review, approval, and issuance.

2.0 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 those described within this guidance) to assess the contractors' performance in meeting DOE direction in accordance with contract requirements. The DOE policy for implementing performance-based management includes the following guiding principles:

- Performance objectives/measures are established and evaluated in partnership with appropriate organizations and are consistent with 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 Performance Goals as measured through the use of a set of Performance Objectives. The success of each Performance Objective will be measured based on a set of Performance Measures and Targets, both objective and subjective, that are to focus primarily on end-results or impact and not on processes or activities. Performance Measures and Targets provide specific evidence of performance, and collectively, they should provide the body of evidence that indicates performance relative to the corresponding Performance Objective. Process/activity-oriented Performance Measure or Target may be required when there is a need for the contractor to develop a system or process that does not currently exist but will be of significant importance to DOE and the laboratory when completed or that lead to the desired outcome/result. Definition 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 will be scored and reported annually under the appraisal process.

Performance Objective: A statement of desired results for an organization or activity. Note: The set of Performance Measures identified (see below) should be the primary means for determining the Contractor's performance in meeting the Performance Objective; however, other performance information available to the evaluator from other sources may be utilized in determining the overall performance rating of a Performance Objective.

Performance Measure: A quantitative or qualitative method for characterizing performance to assist the reviewer in assessing achievement of the corresponding Performance Objective (i.e., what you would measure).

Performance Target: The desired condition, milestone, or target level of achievement for each Performance Measure (objective or subjective as appropriate), established at an appropriately detailed level that can be tracked and used for a judgment or decision on performance assessment.

The new SC Performance Appraisal Process provides a common structure and scoring system across all ten SC laboratories. It has moved the assessment methodology to focus on the value-added provided by the contractor and the systems they put in place to manage and operate the laboratories. An annual performance assessment meeting with SC senior management has been inserted into the process to add additional rigor and help ensure the scores and grades awarded represent a fair and equitable assessment of the contractor's actual performance. This process has also incorporated a five-point (0 – 4.3) scoring system, with corresponding grades for each of the Performance Goals, creating a "Report Card" to be publicly displayed on the SC web site. The following sections provide the procedures and guidance for the development of the annul PEMP, the evaluation of the contractors performance, the development of the annual evaluation report, and the review, approval and issuance of the report.

3.0 Roles and Responsibilities

This section identifies the primary roles and responsibilities for the execution of the SC Laboratory Performance Appraisal Process and shall be carried out as called for within this document or other supplementary guidance that may be issued from time to time.

3.1 Site Office Managers Responsibilities

- Establish; in coordination with the SC Office of Laboratory Policy and Evaluation for SC Program Offices, other HQ Program Offices, and HQ Staff Offices, the weights for each Performance Goal and Objective.
- Develop, with assistance from DOE HQ Program Offices, other customers, HQ Staff Offices, and the SC Integrated Support Center (ISC) as appropriate, the Performance Measures and Targets.

- Finalize the entire PEMP and submit it to the SC Review Board for review and approval.
- Serve as a member of the SC PEMP Review Board on a 2 year rotational basis as assigned.
- Negotiate the PEMP with the contractor and incorporate it into the contract.
- Coordinate and provide mid-year evaluation feedback to the contractor.
- Provide overall oversight of contractor performance throughout the evaluation period.
- Coordinate year-end evaluation of contractor performance and develop year-end evaluation report.
- Annually present evaluation of contractor's performance and recommended grades, scores, and incentives to be awarded to the Director, Office of Science.
- Issue final year-end evaluation report to contractor.

3.2 SC Associate Directors Responsibilities

- Working through the SC Office of Laboratory Policy and Evaluation, assist Site Office Manager with development of weights for the Science and Technology (S&T) Performance Goals and Objectives.
- Develop in coordination with Site Office Managers S&T Performance Measures and Targets, if utilized.
- Serve on or appoint a representative to serve as a member of the SC PEMP Review Board on a 2 year rotational basis as assigned.
- Provide oversight of contractor performance throughout the evaluation period.
- Provide contractor mid-year performance input to Site Office Managers as requested.
- Develop and provide year-end evaluation, scores and grades of S&T Performance Goals and Objectives to the SC Office of Laboratory Policy and Evaluation as requested.
- Attend annual performance evaluation presentation for SC-1 to discuss contractor's performance and recommended grades, scores, and incentive(s).

3.3 Other Department Program Offices and Customers Responsibilities

- Assist Site Office Manager with development of weights for the S&T Performance Goals and Objectives, as appropriate.
- Develop in coordination with Site Office Managers S&T Performance Measures and Targets, if utilized.
- Provide oversight of contractor performance throughout the evaluation period.
- Provide contractor mid-year performance input to Site Office Managers as requested.
- Develop and provide year-end evaluation of S&T Performance Goals and Objectives to the Site Office Managers as requested.
- Attend annual performance evaluation presentation for SC-1 to discuss contractor's performance and recommended grades, scores, and incentive(s), as appropriate.

3.4 SC Integrated Support Center (ISC) and HQ Staff Offices

- Assist Site Office Manager with development of weights for the Management and Operations (M&O) Performance Goals and Objectives, as appropriate.
- Assist the Site Office Managers in development of M&O Performance Measures and Targets, as requested.
- Assist the Site Office Managers in oversight of contractor performance throughout the evaluation period, as assigned.
- Provide contractor mid-year performance input to Site Office Managers as requested.
- Review and/or assist in develop of year-end evaluations of M&O Performance Goals and Objectives, as requested by Site Office Managers.
- ISC appoint a procurement specialist to serve as a member of the SC PEMP Review Board on a 2 year rotational basis as requested.

3.5 SC Office of Laboratory Policy and Evaluation

- Lead the development and oversee the implementation of the SC Laboratory Performance Appraisal Process.
- Chair the SC PEMP Review Board
- Provide interpretations regarding the processes and procedures for the SC Laboratory Performance Appraisal Process.
- Develop, in coordination with all effected parties, and issue supplemental guidance for the SC Laboratory Performance Appraisal Process as needed.
- Coordinate the establishment of SC Program Office weights for S&T Goals and Objectives and provide to Site Office Managers.
- Coordinate SC Program Office performance evaluations, scores and grades for issuance to Site Offices.

3.6 Director, Office of Science Responsibilities

- Approve the SC Laboratory Performance Appraisal Process and any major updates/changes that may be developed from time to time, and ensure its effective implementation.
- Approve each Laboratory PEMP.
- Approve annual grades and incentives to be awarded.

4.0 Development of the Performance Evaluation and Measurement Plan

This section provides guidance for the development of the PEMP, its structure and format, as well as the process for review and approval of annual plans. The numbering of Performance Goals, Objectives, Measures and Targets should utilize standard numerical outline format such that Goals would be numbered 1.0, etc.; Objectives would be numbered 1.1, 1.2, 1.3, etc.; Measures would be numbered 1.1.1, 1.1.2, 1.1.3, etc.; and Targets would be numbered 1.1.1.1, 1.1.1.2, 1.1.1.3, etc.

Supplemental guidance shall be provided by the SC Office of Laboratory Policy and Evaluation to identify any changes to Goals and/or Objectives; the grade and/or scoring methodology; fee or other incentive determination methodology; or any other changes to

the SC Laboratory Assessment Process guidelines as may be deemed necessary from time to time. The supplemental guidance is to be issued to all Site Offices as well as HQ Program and Staff Offices on or about May 1st of each year. The supplemental guidance shall also provide specific dates for the steps identified within the General Schedule for the SC Laboratory Performance Assessment Process (see Enclosure 16).

4.1 PEMP Introduction Sections

Each SC laboratory PEMP includes an introduction section capturing at a minimum the following data. Enclosure 1 provides the format for the Introduction section for utilization. Although the format provided should require only slight modifications in order to frame it for each particular PEMP, each Site Office may add data as may be deemed necessary to provide an appropriate overview of the PEMP; however, an explanation of such changes (highlighted within the document), to include the reasons for the changes, must be included along with the draft PEMP issued to the PEMP Review Board. Any changes to the Introduction Section approved by the board are only good for that year and must be identified, justified and approved as stated above each subsequent year.

- A methodology for determining the amount of fee earned and any other incentives described within the PEMP; the amount of available performance-based fee for the fiscal year covered by the PEMP; and how the Goals, Objectives, Measures, and Targets were developed and will be evaluated.

- A section on determining the contractor's performance rating and performance-based fee (and/or other incentives) that provides a more detailed description of how performance grades will be determined; a description of the performance evaluation methodology to be employed; how individual Goal scores and letter grades will be calculated; how the amount of performance-based fee earned and/or other incentives will be determined; and how adjustments to the letter grade, performance-based fee, and/or other incentives will be determined.

4.2 PEMP Goals and Objectives

Each SC laboratory PEMP shall include a "Performance Goals, Objectives, Measures, and Targets" section that describes the Performance Goals, their supporting Objectives, and associated Measures and Targets. Each SC laboratory PEMP shall utilize the SC approved, common set, of Performance Goals and corresponding Performance Objectives exactly as provided within Enclosure 2 unless otherwise changed by the SC Office of Laboratory Policy and Evaluation and approved by the Director of the Office of Science (SC-1).

Suggestions for adjustments or changes to the Performance Goals and Performance Objectives are to be provided to the SC Office of Laboratory Policy and Evaluation who will coordinate the review/approval of suggested changes; to include distribution to all site offices, program offices, SC ISC, and staff offices for review/comment as appropriate. Changes made to Performance Goals and/or Objectives shall be

communicated to the Site Offices via supplemental guidance to be issued by the SC Office of Laboratory Policy and Evaluation on or about May 1st of each year (see Section 4.0 above).

4.3 Performance Measures and Targets

Performance Measures and Performance Targets shall be developed for each Performance Objective by the responsible Site Office with assistance from DOE HQ program and staff offices as appropriate. Performance Measures and Targets should identify significant activities, requirements, and/or milestones important to the success of the corresponding Performance Objective and will be utilized as the primary means of determining the Contractor's success in meeting the Performance Objective during the performance evaluation period. The set of Performance Measures and Targets for each Performance Objective within the M&O Goals should be developed so as to indicate the "expected" level of performance and if fully met would result in a "B+" evaluation grade (see Performance Evaluation Methodology below).

The generic S&T Performance Goals and Objectives language provided within Enclosures 3 or 4 shall be utilized as appropriate for all laboratory PEMPs. The generic template should require only slight modifications in order to frame it for each particular PEMP; however, an explanation of such changes, to include the reasons for the changes, must be included along with the draft PEMP issued to the PEMP Review Board. Enclosure 3 provides the template for single-program laboratories while Enclosure 4 provides the template for multi-program laboratories.

Performance Measures and Targets are not required for the Science and Technology (S&T) Performance Goals/Objectives; however, Performance Measures and Targets for specific activities or milestones critical to a program and/or laboratory's success may be added under the appropriate S&T Performance Objective. Any additional program-specific measures (in addition to the standard S&T language) in the PEMP must have an official written endorsement by the sponsoring HQ program office that is sent directly to the SC Office of Laboratory Policy and Evaluation and the PEMP Review Board (see sub-section 4.5 PEMP Review and Approval of this procedure). For example, for the SC programs, an email or memo from the appropriate Associate Director (AD) must be provided directly to the SC Office of Laboratory Policy and Evaluation and the PEMP Review Board endorsing the additional measures for their program before the additional measures can be accepted by the Board and included in the PEMP.

4.4 Weighting of Performance Goals and Performance Objectives

Each Performance Goal and Performance Objective is to be weighted. Weightings for each of the S&T Performance Goals and Objectives shall be determined by the appropriate HQ program office or other customers. The development of SC Program Office weightings for S&T Goals and Objectives shall be coordinated by the SC Office of Laboratory Policy and Evaluation. Weightings for each of the Management

and Operations (M&O) Performance Goals and Objectives shall be determined by the responsible Site Office Manager with assistance, as needed, from the appropriate HQ staff and/or Integrated Support Center (ISC) offices. Performance Measures and Targets shall not be weighted.

The following guidance shall be utilized in determining whether or not a Laboratory customer (program office) should be included in the PEMP S&T Goals. For the purpose of this guidance the word "customer" shall mean the DOE Assistant Secretary-level Office or DHS (i.e., SC, NNSA, EERE, FE, DHS, etc.). The primary means for determining whether or not a laboratory customer is included within the PEMP shall be the estimated amount of Budget Authority (BA) provided to the laboratory for the fiscal year prior to that for which the PEMP is being developed (e.g., for the FY 2007 PEMP development the best estimates to date for FY 2006 shall be utilized). Any customer who's BA is equal to or greater than 1% of the laboratory's operating budget or $5M, whichever is higher, should be considered for inclusion in the PEMP. This number is a guideline and other considerations such as overall importance/impact of a particular program/project to the laboratory mission and/or the national security mission of DOE should be considered in making a final determination. The above is intended as guidance only and the final decision as to whether or not a particular customer is included within the PEMP shall be made by the Site Office Manager.

The overall scores for the S&T Performance Goals and M&O Performance Goals shall be utilized separately in the determination of incentives (e.g., fee and award term) and no overall (rollup) performance grade is to be provided. For the purpose of calculating the overall score for the S&T and M&O Performance Goals the weightings for each must add up to 100 percent.

4.5 PEMP Review and Approval

All draft PEMPs will be reviewed by the SC Laboratory PEMP Review Board and approved by SC-1 prior to being signed by the Site Office Manager and incorporated into a laboratory contract. The SC Laboratory Contract PEMP Review Board is chartered to review all SC laboratory contract PEMPs for completeness, conformance with SC guidance, and recommend SC senior management concurrence. The Review Board shall include members from the following organizations which shall be rotated as indicated below:

- SC Office of Laboratory Policy and Evaluation, Chair
- Two SC Site Office Representatives (2 year rotational position)
- Two SC Program Office representatives (2 year rotational position)
- SC Integrated Service Center Procurement Specialist (2 year rotational position)

The following criteria for the review of each PEMP shall be utilized by the Review Board. As a minimum each PEMP must include the following sections/information and must be written and organized in such a way as to provide the reader with necessary information/guidance for evaluating the contractor's performance:

1. Introductory sections
   a) Provides sufficient information in line with SC guidance for determining contractor performance ratings and incentives (e.g., fee) earned.
   b) Provides sufficient information for making adjustments to evaluation grades and/or incentive(s) determinations.
   c) Justification for deviations from the standard template is provided and acceptable.

2. Science and Technology Goals and Objectives (Goals 1-3)
   a) Provides Goal/Objective weightings for each Customer and math is correct.
   b) Includes standard format provided by SC and justification for deviations from the standard template is provided and acceptable.
   c) If utilized, individual performance measures/targets for a specific program/project under an Objective provide sufficient information to define the measure and identify the expected performance level(s), and the concurrence of the appropriate Program Office has been documented.

3. Management and Operations Goals and Objectives (Goals 4-8)
   a) Provides Goal/Objective weightings and math is correct.
   b) Provides general information as to what evaluators will consider when determining the contractor's performance of each Objective.
   c) Individual performance measures/targets under each Objective provide sufficient information to define the measure and identify expected (B+) performance levels and other performance levels as may be deemed necessary.
   d) Measures/Targets are primarily outcome/results oriented and not activity based (some activity based measures may be required, but this should be the exception, not the rule, and where used should assist the evaluator in answering the overall "so what" question when determining the overall performance of the corresponding Objective)
   e) Number and types (quantitative & qualitative) of Measures/Targets are sufficient to provide evidence that the contractor is successfully meeting the intent of an Objective

To assist in the review process each Site Office is to provide a short statement of the philosophy/justification utilized in determining the M&O Goal and Objective weightings to the Chair of the SC Laboratory PEMP Review Board and a table displaying the weightings along with the submission of the final draft PEMP for review/approval. The statement should focus on the overall philosophy/methodology utilized for determining weightings, as well as, a justification for any specific areas where weightings have been either set higher or lower than the rest (i.e., a need for improvement, visibility, and/or excellent past performance areas are in a maintain mode) and/or any changes from the prior year. Figure 1 below provides an example table to be completed. In that weightings for the S&T Goals and Objectives are set by the HQ Program Offices no justifications for the S&T goals shall be required of the Site Office.

Insert Lab Name		
M&O Goals/Objectives	**Current Year Weighting**	**Previous Year Weighting**
4.0 Sound and Competent Leadership and Stewardship of the Laboratory		
4.1 Vision and Plan (including partnerships)		
4.2. Responsive and Accountable Leadership		
4.3 Efficient and Effective Corporate Support		
5.0 Integrated Safety, Health, and Environmental Protection		
5.1 Work Environment		
5.2 Implementation of Integrated Safety, Health and Environmental Management		
5.3 Waste Management, Minimization, and Pollution Prevention		
6.0 Business Systems and Resources that Enable the Successful Achievement of Laboratory Missions		
6.1 Financial Management System		
6.2 Acquisition Management Systems		
6.3 Property Management System		
6.4 Human Resources Management System		
6.5 Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate		
6.6 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 Optimizes Usage, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs		
7.2 Planning for and Acquire the Facilities and Infrastructure Required to Support 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 Emergency Management System		
8.2 Cyber-Security		
8.3 Protection of Special Nuclear Materials, Classified Matter, and Property		
8.4 Protection of Classified and Sensitive Information		

Figure 1 - M&O Goals/Objectives Weightings

The PEMP Review Board shall convene each year as set forth within the overall schedule for the development, review, and approval of the fiscal year PEMPs (see section 6.0 below). The Board Chair shall distribute the draft PEMPs to the Board members and shall schedule a meeting of the Board to discuss each draft PEMP. During this meeting the review board shall examine each draft PEMP and reach a consensus regarding the recommendation of approval to SC-1 or return of the PEMP for the disposition of specific comments prior to recommending approval. Board

comments shall be consolidated and documented utilizing the template provided within Enclosure 5. Comments requiring disposition prior to the Boards concurrence and recommendation for SC-1 approval shall be identified utilizing a **BOLD BLUE** font. Other comments and/or suggested changes shall be provided to the Site Office with specific direction that incorporation of these comments, either prior to final incorporation into the contract or at a later date, shall be left to the discretion of the Site Office Manager. An overall summary table of the Boards findings shall be maintained to indicate the Boards initial review findings. Enclosure 6 provides the template for the summary table of Board findings. This table shall be updated as appropriate as Board comments are dispositioned by the Site Office(s). Each Site Office shall, at a minimum, disposition all required comments (**BOLD BLUE**) provided by the Board and provide an updated copy of the PEMP along with a matrix outlining what changes were made and/or providing the rationale for not incorporating a comment. A PEMP Board Summary Comment Resolution Matrix template for documenting Site Office responses to Board comments is provided within Enclosure 7. The Review Board shall keep SC-2 and SC-3 apprised of the Boards progress and any issues that may arise during the PEMP review process prior to making the final recommendations to SC-1.

Upon the completion of the Boards review, a presentation shall be provided to SC-1 providing the Boards recommendations for approval of each laboratory PEMP. Enclosure 8 provides a template for the presentation package. Also the final Board Review Summary Table (see Enclosure 6) shall be developed and included along with the table indicating the original Board findings. The Board Chair shall be responsible for the scheduling of the SC-1 presentation. Attendees should include, at a minimum, the Board Members (may attend via tele-video or tele-conference), the Director, Office of Laboratory Policy and Evaluation (SC-1.4), the Chief Operating Officer SC-3, the Principle Deputy Director SC-2, and the Director SC-1. Individual PEMP approval memorandums shall be prepared for SC-1 signature prior to the meeting and provided to SC-1 for signature at the end of the Boards presentation. A template for the approval memorandum is provided within Enclosure 9.

Each Year, following the approval of the Laboratory PEMPs, the Review Board Chair shall attend a SC-2 Site Office Managers Meeting to provide lessons learned during the last PEMP development process.

In accordance with the Acquisition Guide Chapter 71.2, “Performance Based Incentives and Related Approvals,” the Office of Science submitted a request for waiver of Headquarters Office of Procurement and Assistance Management review and approval for the performance objectives and associated incentives for the laboratory contracts for which SC is responsible. Based on the SC approach in the development of performance objectives, measures, and incentives and in the evaluation of the contractor’s performance this request was approved by the Office of Procurement and Assistance Management on August 23, 2005 (see Enclosure 10).

4.6 Making Changes/Modifications to an Approved PEMP

Although not recommended, changes/modifications to an approved PEMP may be necessary from time to time. Any changes/modifications to a Goal or Objective and/or their assigned weightings must be approved by the Chair of the PEMP Review Board prior to executing such change/modification. The Chair of the PEMP Review Board shall be responsible to acquiring the appropriate reviews/concurrences of requests for changes/modifications prior to their approval. Except for extreme circumstances the review and approval decisions shall be completed within two weeks of receiving the request for approval.

Changes/modifications at the Measure/Target level may be approved by the Site Office Manger; however, such changes/modifications must be provided to the Chair of the PEMP Review Board for informational purposes at least two weeks prior to executing any such change/modification.

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 contractor's success in managing and operating the SC Laboratories utilizes the standardized PEMP discussed in section 4.0 above, which contain a common set of Performance Goals and Performance Objectives. Although the Site Office Manager shall have the overall responsibility for the evaluation of the contractor's performance and development of the annual Laboratory Contractor Performance Evaluation Report, the performance against each Performance Objective within a PEMP, to include the evaluation of Performance Measures/Targets identified for each Objective, is to be evaluated jointly by the appropriate HQ office or major customer and the responsible Site Office. The HQ Program Office(s) shall have the primary responsibility, working with the Site Office, for assessment of contractor performance for the S&T Goals and Objectives, while the Site Office Manager shall have the primary responsibility, working with the appropriate HQ Program Office(s), Staff Office(s), and ISC for the assessment of contractor performance for the M&O Goals and Objectives. This cooperative review methodology will ensure that the overall evaluation of the contractor results in a consolidated DOE position taking into account specific Performance Measures/Targets as well as all additional information not otherwise identified via specific Performance Measures/Targets. The responsible Site Office Manager and DOE HQ Program/Staff Offices and/or other major customers are to work closely with each other throughout the year in evaluating the laboratory contractor's performance.

The Site Office Managers are responsible for providing mid-year performance feedback to the contractor and for assembling and communicating the year-end evaluation reports. As requested by the Site Office Managers, HQ Program Offices shall provide mid-year performance feedback on the S&T Goals/Objectives to be incorporated with M&O Goal/Objective performance feedback compiled from SC Senior Leadership, Staff Offices, ISC and Site Office staff as appropriate. Mid-year performance feedback should include performance against PEMP measures and should include any issues or concerns

about contractor performance identified during the first half of the evaluation period. In this manner, the contractor may have an opportunity to address the issues and concerns before they become poor performance results in the year-end evaluation. The Site Office Manager shall communicate all mid-year performance feedback to the contractor in accordance with Site Office procedures and results of these communications should be documented.

Each Site Office Manager is to issue a call for evaluation input to each Program Office or major customer on or about the end of each evaluation period (September 30th) requesting that such input be provided to the Site Office in accordance with the general schedule provided within Section 6.0 below. Requests for SC Program Office evaluation input is to be addressed to the Office of Laboratory Policy and Evaluation (SC-32) who will coordinate all SC Program Office responses and issue them to the Site Office. To assist in the collection of evaluations from HQ Program Offices a standardized report format/template has been developed (see Enclosure 12) and should be utilized when requesting evaluations from Laboratory HQ customers (see section 5.6 below).

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

The grades for each of the Science and Technology (S&T) and Management and Operations (M&O) Performance Goals will be determined based on the weighted sum of the scores of the individual Performance Objectives identified for each. The grades for each Performance Goal will be posted on the SC website in the form of a Report Card for each laboratory contractor. However, the grades for the Performance Goals shall not be combined to provide an overall grade for the laboratory contractor. Enclosure 11 provides an example Report Card.

A numerical score shall be determined for each Performance Objective within a Performance Goal by the office responsible for evaluating the laboratory contractor's performance for each Performance Objective. The numerical scoring and the corresponding grades to be utilized are identified in Figure 2 below. These numerical scores represent the degree of effectiveness and performance of the laboratory contractor in meeting the Performance Objective. The Performance Measures and Targets shall be utilized as the primary means of determining the contractor's success in meeting the Performance Objectives. The set of M&O Performance Measures and Targets identified for each Performance Objective represents the set of significant activities or results that if fully met, collectively places laboratory performance for the Performance Objective in the "B+" grade range. Although the Performance Measures and Targets are to be the primary means for determining performance, 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, etc.), may be utilized in determining the

laboratory contractor's overall success in meeting a Performance Objective. When utilized the performance identified within contractors self-evaluation reports should be verified/validated by the appropriate DOE office.

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 2. Letter Grade Scale to Numerical Scoring

5.2 Calculating Individual Goal Scores and Letter Grade

Each Performance Objective is to be assigned an earned numerical score of 0 to 4.3 (see Figure 2) by the evaluating office as stated above. The Performance Goal rating is then computed by multiplying the numerical score by the weight of 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 2. A standard rounding convention of x.44 and less rounds down to the nearest tenth (here, x.4), while x.45 and greater rounds up to the nearest tenth (here, x.50) is to be utilized. An excel spreadsheet has been developed and issued to each Site Office to assist in the calculation of Goal scores/grades, as well as, fee determination. To ensure consistency throughout the SC evaluation process, this spreadsheet is to be utilized by each Site Office as the official calculations of all scores/grades and fee utilized within the Annual Contractor Performance Evaluation Report.

5.3 Determining the Amount of Performance-Based Fee Earned

For purposes of determining the amount of performance-based fee earned by the contractor the scores for each of the S&T and M&O Goals are to be multiplied by the weight assigned each and then summed to provide separate overall scores for S&T and M&O. The percentage of the available performance-based fee that may be earned by the laboratory contractor is determined based on the overall weighted score for the S&T Goals as compared to Figure 3 below. The overall numerical score of the M&O Goals 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. Figure 4 is provided to assist in the fee calculation.

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

Figure 3 - Performance-Based Fee Earned Scale

Overall Fee Determination	
Percent S&T Fee Earned from Figure 3.	
M&O Fee Multiplier from Figure 3.	X
Overall Earned Performance-Based Fee	

Figure 4 – Final Percentage of Performance-Based Fee Earned Determination

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

The lack of Performance Goals, Objectives, Measures, or Targets within a PEMP does not diminish the need for the laboratory contractor to comply with minimum contractual requirements. Although the Performance Goals and their corresponding Performance Objectives are to 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. 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.).

The adjustment of a grade and/or reduction of otherwise earned fee should be determined by 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.

The final laboratory contractor performance grades and fee earned will be determined during the annual SC Performance Evaluation Meeting discussed below and contained within a year-end report, documenting the results from the DOE review. The report is to identify areas where performance improvement is necessary and, if required, provide the basis for any grade and/or fee adjustments made from the otherwise earned grades or fee based on Performance Goal achievements.

5.5 Determining Award Term Eligibility and Award

The process for determination of eligibility and final award of contract Award Term extensions will rely on the results of the SC laboratory appraisal process unless other requirements for earning the award term have been identified in the PEMP or equivalent document. The Award Term Determining Official will make a determination as to whether a laboratory contractor has earned the award term as part of the annual meeting with the SC Director to discuss the contractor's performance in context of the SC laboratory appraisal process. As prescribed within the SC

Management System (SCMS), Evaluating and Recommending an Award Term procedure under the M&O Contract Extension Subject Area, the Contracting Officer shall prepare a one page Award Term Decision Document (see Enclosure 15). The completed document is to be submitted to the SC Office of Laboratory Policy and Evaluation along with the annual Laboratory Performance Evaluation Meeting presentation package. The Site Office Manager will also indicate whether the contractor has met the eligibility requirements (i.e., the grade thresholds) and merits of the award term incentive as part of his/her presentation during the annual SC Performance Evaluation Meeting. Once a determination is made to grant an award term extension, the SCMS procedures for extending the contract as described within the M&O Contract Extension Subject Area shall be utilized.

5.6 Contractor Performance Evaluation Report

The Contractor Performance Evaluation Report prepared by the Site Office shall follow the outline of the PEMP providing the minimum of the following:

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 indicating the grade assigned for each of the 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 rational for any adjustment(s) to the otherwise earned grade and/or fee if necessary. If required this section should 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 provides specific details as to the contractor’s performance in meeting the Objectives under each of the PEMP Goals. The write-up for each Objective must contain sufficient data, based on measures identified for the objective or other information available to the evaluator for other sources, 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 based on the weightings of the individual Objectives under the Goal. The Performance Goal Score Development tables included within the PEMP shall be included to graphically show each Objectives score, weighting, weighted score, 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.

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.

To assist in the collection of evaluations from HQ Program Offices a standardized format/template has been developed (see Enclosure 12) and should be utilized when requesting evaluations from Laboratory HQ customers. The electronic template was created utilizing MS InfoPath 2003, which is included within MS Office 2003 and is available on the PNSO Web server at the following link: http://pnso.oro.doe.gov/HQ_Eval_Report_V07_R1.xsn. Site Office users should then save the template to their computer desktop or other storage media for utilization.

The "Headquarters Program Office – Contractor Performance Input" includes each of the S&T Goals and their corresponding Objectives with drop down boxes for indicating the score assigned to each Objective and a narrative write-up of the performance justifying the assigned score. The standard sections (i.e., evaluation period, laboratory contractor name, laboratory name, evaluating Agency and HQ program office) are to be completed by the Site Office prior to issuance of the form to a HQ Program Office for completion. Also the agreed upon weightings for each Objective should be filled in by the Site Office prior to issuance of the form. These sections are indicated by "light yellow" highlight. All other sections (highlighted in "light blue") are to be completed by the evaluating office. The form should then be saved with a new file name utilizing the "save as" function (e.g., FY07 BER Lab Evaluation Template). In some cases a HQ Program Office may not be evaluating a Goal (e.g., Goal 2.0) or an Objective under a Goal. For those Goals/Objectives where the weighting is "0%" the Site Office should indicate the Objective is not applicable by choosing "NA" within the "Score" dropdown box prior to issuing the template to the Program Office. If the entire Goal is not applicable, the Site Office should select "NA" within the "Score" dropdown box for each of the Objectives under the Goal and then click on "Calculate" under the Goal. This will automatically indicate a score of "0.00" and a Grade of "NA" for that Goal.

Objective scores are indicated by the evaluating Program Office by selecting the appropriate score within the "Score" dropdown box under each Objective. Grades are automatically displayed based on the score selected. Once all Objective scores have been entered for a particular Goal the user must click on the "Calculate" button located below each Goal which will automatically calculate the Goal score/grade based on the weightings and scores assigned to each Objective. A dialog box is provided directly following each Goal and Objective for providing the specific details regarding the contractor's performance which justifies the assigned score/grade. Each evaluating Program Office should be instructed to include one or two bullets within each Goal dialog box which summarizes the contractors overall performance for that Goal. The dialog boxes utilize Rich Text (XHTML) which allows the user to either type in the

information manually or it can be pasted from other formats such as MSWord. It also supports the utilization of tables, graphs, photos, etc.

A template for the overall Contractor Performance Evaluation Report is provided as Enclosure 13 and shall be utilized by each Site Office in the development of the Year-End Evaluation Report.

It is encouraged that data being utilized to form an evaluation and determine scores and grades for each Objective be shared with the contractor to ensure factual accuracy; however, scores and grades are **not** to be shared with a contractor prior to final approval by SC-1.

A cover letter signed by the Site Office Manager is to be developed for official issuance of the final reports, summarizing the results of the evaluation. 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 stakeholders and the public.

5.7 Performance Evaluation Methodology Normalization Meetings

Two meetings shall be held each year to assist in assuring the techniques and methodologies for determining contractor performance scores/grades are consistent across the SC complex. These meetings are to provide the lead evaluators for the S&T and M&O sections of the Performance Evaluation Reports (SC Program Associate Directors and Site Office Managers) an opportunity to review the Goals and Objectives Scores/Grades being awarded to each laboratory contractor and help normalize the methodologies being utilized in reaching appropriate scores/grades based on performance results.

The first of these meetings is for the Science and Technology Goals and will be chaired by the SC Deputy Director for Programs (SC-2). This meeting is to be held prior to the issuance of final SC Program Office evaluations to the Site Offices (approximately the third week of November) and is to include as a minimum SC-2 and all the SC Associate Directors. The second meeting is for the Management and Operation Goals and will be chaired by the SC Chief Operating Officer (SC-3). This meeting is to be held prior to the SC-1 Annual Performance Evaluation Presentations Meeting (approximately the first week of January) and is to include as a minimum SC-3, SC-1.4, and all the Site Office Managers.

5.8 Contractor Performance Evaluation Presentation for SC-1

An annual SC Performance Evaluation Meeting with the responsible Site Office Manager, appropriate SC Program ADs, and other DOE HQ representatives or major customers, and the Director of the Office of Science, will be scheduled and held following the end of each evaluation period. This meeting will be utilized to review the contractor's performance within each Performance Goal/Objective and gain consensus on the grades and incentives to be awarded.

Each Site Office Manager will be responsible for presenting their evaluation of the laboratory contractor's performance and may have one other staff member present if deemed necessary. All Site Office Managers and SC Associate Directors shall attend all presentations for all 10 Site Offices. Other DOE representatives or major customers may attend as appropriate. Also in attendance will be the Chief Operating Officer (SC-3), the Principle Deputy Director (SC-2) and Director (SC-1).

Presentations are to be kept to 14 to 20 slides and each presentation must include each of the following areas:

1. Title slide (1 slide)
2. Overview of the Goal and Objective weightings as established within the PEMP and the total available performance-based fee and/or other available incentives (e.g., award term) – (2 slides)
3. Summary of Performance Goal scores/grades (1 slide)
4. High level overview/justification for each score/grade at the Goal/Objective level within the PEMP (8 to 13 slides) – Provide a summary justification (highlights of strengths and/or weaknesses noted that influenced the score/grade) for each Goal/Objective
5. Fee Adjustment Factor (1 slide if needed) – Provide a summary justification for any Grade and/or Fee adjustment made in accordance with the guidelines set forth within the PEMP.
6. Performance-Based Fee Earned (1 slide) – indicate total fee earned and/or any other Incentives earned
7. Award-Term Eligibility (1 slide) – Provide a summary of Contractor success or failure to meet the award-term eligibility criteria and describe any extenuating circumstances as appropriate
8. Recommendation (1 slide) – Site Office recommendation for approval of the overall grade performance-based fee and/or other incentive(s) to be awarded to the contractor

The presentation packages, are to be provided to the SC Office of Laboratory Policy and Evaluation at least one week prior to the annual Performance Evaluation Meeting with SC-1 (actual due dates for presentation packages will be provided by the SC Office of Laboratory Policy and Evaluation each year). Enclosure 14 provides a template for the presentation.

The annual Performance Evaluation Meeting will be scheduled by the SC Office of Laboratory Policy and Evaluation in accordance with the general schedule set forth within Section 6.0 below. Specific dates and times for each presentation will be provided as far in advance as possible. Each Site Office Manager will be provided approximately 45 minutes to present their summary findings, scores, grades, and incentives to be awarded. The outcome of these meetings is the final approval by SC-1 for the recommended Report Card Grades and incentives to be awarded to the contractor.

5.9 Rollout of Approved Performance Evaluation Reports

The issuance of the approved Performance Evaluation Reports to the contractor's shall be coordinated with the SC Office of Laboratory Policy and Evaluation and SC Communications Director each year. All reports will be issued to the contractors on the same day.

The need for issuance of formal DOE press releases will be reviewed each year and if determined appropriate will be coordinated between the Site Offices, SC Communications Director, HQ Office of Public Affairs, and the Office of Congressional and Intergovernmental Affairs. Should the issuance of formal press releases be deemed appropriate the final Performance Evaluation Report and cover letter is to be issued to the contractor at least 24 hours prior to issuance of the press release. This will provide the contractor time to develop and issue a staff message regarding the evaluation just prior to the issuance of the DOE press release. Contractors may issue appropriately coordinated press releases, if they choose; however, if a DOE press release is being issued the contractor press release must be issued following the DOE announcement.

The report cards for each laboratory contractor will be posted on the SC web site 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.

The Office of Congressional and Intergovernmental Affairs will provide advance notice to the Hill of the release of rating information and any announcements to be made as appropriate. The HQ Office of Public Affairs will assist SC by handling media inquires in response to the release of performance evaluation reports about the performance assessment system being employed by SC, how it is implemented nationally, 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 Site Offices, with public affairs support from either on-site public affairs officers or Integrated Support Center public affairs support, where appropriate. Requests for copies of individual laboratory evaluation reports will be handled in accordance with standard procedures by the appropriate Site Offices. Questions posed to Site Offices regarding other laboratories, SC policy, detailed program questions, etc., will be referred to HQ for response.

6.0 Schedules

Enclosure 16 provides the major steps and schedule (timeframes) for the development of the fiscal year PEMPs; the schedule for the review/completion of the fiscal year laboratory evaluation reports; and their review, approval and issuance. Timeframes identified within the schedules are approximate and are to be updated by the SC Office of

Laboratory Policy and Evaluation to identify specific dates and provided as part of the annual Supplemental Guidance to be issued on or about May 1st of each year.

ENCLOSURE 1
PEMP Introduction Template

This enclosure provides a template/example for the Introduction section of the PEMP. Although the template/example provided should require only slight modifications in order to frame it for each particular PEMP, each Site Office may add data as may be deemed necessary to provide an appropriate overview of the PEMP; however, an explanation of such changes (highlighted within the document), to include the reasons for the changes, must be included along with the draft PEMP issued to the PEMP Review Board. Any changes to the Introduction Section approved by the board are only good for that year and must be identified, justified and approved as stated above each subsequent year. The following items must 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 BA 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 BA 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 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 Performance Measures and Targets (hereafter referred to as Performance Measures/Targets) for each Objective discussed herein were developed in accordance with contract expectations set forth within the contract. The Performance Measures for meeting the Objectives set forth within this plan have been developed in coordination with HQ program offices as appropriate. Except as otherwise provided for within the contract, the evaluation and fee determination will rest solely on the Contractor's performance within the Performance Goals and Objectives set forth within this plan.

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

Section I provides information on how the performance rating (grade) for the Contractor, as well as how the performance-based 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 Performance Measures of performance identified, along with the weightings assigned to each Goal and Objective and a table for calculating the final score for each Goal.

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 and for Management and Operations. No overall rollup grade will be provided. The rollup of the performance of each Goal will then be utilized to determine the Contractor performance score for Science and Technology and Management and Operations (see Table A below). The total overall score derived for Science and Technology will be utilized to determine the amount of

available fee that may be earned (see Table C). The overall score derived for Management and Operations will be utilize to determine the multiplier to be applied (see Table C) to the Science and Technology fee earned to determine the final amount of fee earned for FY *YEAR*. Each Goal is composed of two or more weighted Objectives and each Objective has a set of Performance Measures, which are identified to assist the reviewer in determining the Contractor's overall performance in meeting that Objective. Each of the Performance Measures identifies significant activities, requirements, and/or milestones important to the success of the corresponding Objective and shall be utilized as the primary means of determining the Contractor's success in meeting the Objective. Although the Performance Measures are the primary means for determining performance, 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); other outside agency reviews (OIG, GAO, DCAA, etc.), and the annual 2-week review (if needed), may be utilized in determining the Contractor's overall success in meeting an Objective. The following describes the methodology for determining the Contractor's grade for each Goal:

Performance Evaluation Methodology:
The purpose of this section is to establish a methodology to develop scoring at the Objective Level. Each Objective within a Goal shall be assigned a numerical score, per Figure I-1 below, by the evaluating office. Each evaluation will measure the degree of effectiveness and performance of the Contractor in meeting the Objective and shall be based on the Contractor's success in meeting the set of Performance Measures identified for each Objective as well as other performance information available to the evaluating office from other sources as identified above. The set of Performance Measures identified for each Objective represent the set of significant indicators that if fully met, collectively places performance for the Objective in the "B+" grade range. For some targets, it serves the evaluator to provide additional grading details (for example at the A, C+, and D levels) and in those cases details have been included in the PEMP. However, these should be considered as guidelines that do not restrict the evaluation from considering other factors that contribute to the evaluation.

Letter Grade	Numeric Grade	Definition
A+	4.3 – 4.1	Significantly exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance have or have the potential to significantly improve the overall mission of the Laboratory. No specific deficiency noted within the purview of the overall Objective being evaluated.
A	4.0 – 3.8	Notably exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance either have or have the potential to improve the overall mission of the Laboratory. Minor deficiencies noted are more than offset by the positive performance within the purview of the overall Objective being evaluated and have no potential to adversely impact the mission of the Laboratory.

Letter Grade	Numeric Grade	Definition
A-	3.7 – 3.5	Meets expectations of performance as set within performance measures identified for each Objective with some notable areas of increased performance identified. Deficiencies noted are offset by the positive performance within the purview of the overall Objective being evaluated with little or no potential to adversely impact the mission of the Laboratory.
B+	3.4 – 3.1	Meets expectations of performance as set by the performance measures identified for each Objective with no notable areas of increased or diminished performance identified. Deficiencies identified are offset by positive performance and have little to no potential to adversely impact the mission of the Laboratory.
B	3.0 – 2.8	Most expectations of performance as set by the performance measures identified for each Objective are met and/or other minor deficiencies are identified. Performance measures or other minor deficiencies identified are offset by positive performance within the purview of the Objective and have little to no potential to adversely impact the mission of the Laboratory.
B-	2.7 – 2.5	One or two expectations of performance set by the performance measures are not met and/or other deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C+	2.4 – 2.1	Some expectations of performance set by the performance measures are not met and/or other minor deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C	2.0 – 1.8	A number of expectations as set by the performance measures are not met and/or a number of other deficiencies are identified and although they may be somewhat offset by other positive performance, they have the potential to negatively impact the Objective or overall Laboratory mission accomplishment.
C-	1.7 – 1.1	Most expectations as set by the performance measures are not met and/or other major deficiencies are identified which have or will negatively impact the Objective or overall Laboratory mission accomplishment if not immediately corrected.
D	1.0 – 0.8	Most or all expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have negatively impacted the Objective and/or overall Laboratory mission accomplishment.
F	0.7 – 0	All expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have significantly impacted both the Objective and the accomplishment of the Laboratory mission.

Figure I-1. Letter Grade and Numerical Score Definitions

Calculating Individual Goal Scores and Letter 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 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 utilizing the standard rounding convention discussed below and then compared to Table B. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. Utilizing the raw numerical score for each Goal within Table A, below, the scores for each of the Science and Technology (S&T) Goals and Management and Operations (M&O) Goals are then multiplied by the weight assigned and these are summed to provide an overall raw score for each.

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

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

Table A. FY *YEAR* Contractor Evaluation Score Calculation

[1] Any weightings provided for each S&T Goal listed within Table A are preliminary, based upon FY *YEAR* Budget Authority figures, and are shown for informational purposes only. The final weights to be utilized for determining the overall S&T score will be determined following the end of the performance period and will be based on actual Budget Authority for FY *YEAR*. If no preliminary weights are provided, please insert "TBD" in the table.

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

Table B. FY *YEAR* Contractor Letter Grade Scale

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

Overall Weighted Score from Table A.	Percent S&T Fee Earned	M&O Fee Multiplier
4.3	**100%**	**100%**
4.2		
4.1		
4.0	**97%**	**100%**
3.9		
3.8		
3.7	**94%**	**100%**
3.6		
3.5		
3.4	**91%**	**100%**
3.3		
3.2		
3.1		
3.0	**88%**	**95%**
2.9		
2.8		
2.7	**85%**	**90%**
2.6		
2.5		
2.4	**75%**	**85%**
2.3		
2.2		
2.1		
2.0	**50%**	**75%**
1.9		
1.8		

Overall Weighted Score from Table A.	Percent S&T Fee Earned	M&O Fee Multiplier
1.7	0%	60%
1.6		
1.5		
1.4		
1.3		
1.2		
1.1		
1.0 to 0.8	0%	0%
0.7 to 0.0	0%	0%

Table C. - Performance-Based Fee Earned Scale

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

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

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

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

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

Determining Award Term Eligibility: (Provide information as applicable)

II. PERFORMANCE GOALS, OBJECTIVES & PERFORMANCE MEASURES

Background

The current performance-based management approach to oversight within DOE has established a new culture within the Department with emphasis on the customer-supplier partnership between DOE and the laboratory contractors. It has also placed a greater focus on mission performance, best business practices, cost management, and improved contractor accountability. Under the performance-based management system the DOE provides clear direction to the laboratories and develops annual performance plans (such as this one) to assess the contractors performance in meeting that direction in accordance with contract requirements. The DOE policy for implementing performance-based management includes the following guiding principles:

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

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

significant importance to the DOE and the Laboratory when completed or that lead to the desired outcome/result.

Performance Goals, Objectives, and Performance Measures

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

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ENCLOSURE 2

PEMP Goals & Objectives

Each of the Performance Goals and Performance Objectives indicated below shall be utilized as provided unless otherwise changed by the SC Office of Laboratory Policy and Evaluation and approved by the Director of the Office of Science (SC-1). 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 Office of Science Laboratory Performance Appraisal Process.

Goals & Objectives as of September 2005

1.0 Provide for Efficient and Effective Mission Accomplishment
- 1.1 Science and Technology Results Provide Meaningful Impact on the Field
- 1.2 Provide Quality Leadership in Science and Technology
- 1.3 Provide and sustain Outputs that Advance Program Objectives & Goals
- 1.4 Provide for Effective Delivery of Products

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 to Grow and Support Lab's Research Base and External User Community

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

4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory
- 4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans
- 4.2 Provide for Responsive and Accountable Leadership throughout the Organization
- 4.3 Provide Efficient and Effective Corporate Office Support as Appropriate

5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection
- 5.1 Provide a Work Environment that Protects Workers and the Environment
- 5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management
- 5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention

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)
- 6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System
- 6.3 Provide an Efficient, Effective, and Responsive Property Management System
- 6.4 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program
- 6.5 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate
- 6.6 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 System for Cyber-Security
- 8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property
- 8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information

ENCLOSURE 3

Generic S&T Goals and Objectives – Single-Program Labs

Below are the generic S&T Goals and Objectives for all single-program laboratory PEMPs. This is a generic template which should require only a slight modification in order to frame it for a particular laboratory PEMP. The following items must be adjusted as appropriate:

1. The listing of SC Program Offices providing evaluations (bullets under each Goal) must be modified as appropriate.

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 BA 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 BA 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.

All other aspects of the attached S&T Goals/Objectives should be incorporated into the laboratory PEMP as is. Remember when calculating the BA funding weights (either preliminary or actual) you should utilize the BA from each of the evaluating offices only, not the overall laboratory BA.

1.0 Provide for Efficient and Effective Mission Accomplishment

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

The weight of this Goal is TBD%.

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

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 1.1). Weightings for each office listed below are preliminary, based upon FY *YEAR* Budget Authority 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 Budget Authority 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 Offices for which the Laboratory conducts work. Should one or more of the HQ Program Offices choose not to provide an evaluation for this Goal and its corresponding Objectives the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of BA for FY *YEAR* as compared to the total BA for those remaining HQ Program Offices.

1.1 Science and Technology Results Provide Meaningful Impact on the Field

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

- The impact of publications on the field;
- Publication in journals outside the field indicating broad impact;
- Impact on DOE or other customer mission(s);
- Successful stewardship of mission-relevant research areas;

- Significant awards (R&D 100, FLC, Nobel Prizes, etc.);
- Invited talks, citations, making high-quality data available to the scientific community; and
- Development of tools and techniques that become standards or widely-used in the scientific community.

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

1.2 Provide Quality Leadership in Science and Technology

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

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

A to A+	Laboratory staff lead Academy or equivalent panels; laboratory's work changes the direction of research fields; world-class scientists are attracted to the laboratory, lab is trend-setter in a field.
B$^+$	Strong research performer in most areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; lab is center for high-quality research and attracts full cadre of researchers; some aspects of programs are world-class.
B	Strong research performer in many areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; few aspects of

	programs are world-class.
C	Working on problems no longer at the forefront of science; stale research; evolutionary, not revolutionary.
D	Failure of multiple program elements.
F	Gross scientific incompetence and/or scientific fraud.

1.3 Provide and sustain Outputs that Advance Program Objectives & Goals

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

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

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

1.4 Provide for Effective Delivery of Products

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

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

A to A+	Program/project goals and/or milestones are met well ahead of schedule and/or well under budget; program/project and/or mission objective(s) are fully meet and results anticipate HQ guidance.
B$^+$	Program/project goals and/or milestones are primarily met on schedule and within budget; program/project and/or mission objective(s) are fully meet and are fully responsive to HQ guidance.
B	Most program/project goals and/or milestones are met on schedule and within budget; overall program/project and/or mission objective(s) are meet; minor delays, overruns, and/or deficiencies are minimized and/or have little to no adverse impact the overall program/project.
C	A number of and/or key program/project goals and/or milestones are not met within the scheduled timeframe(s) (e.g less than 6 months behind) and/or within the agreed upon budget (e.g., less than 15% over); overall program/project and/or mission objective(s) have not been met or have the potential to be missed; delays, overruns, and/or deficiencies are identified which have the potential to adversely impact the overall program/project is not corrected.
D	Most of and/or key program/project goals and/or milestones are not met within the scheduled timeframe(s) (e.g more than 6 months behind) and/or within the agreed upon budget (e.g., less than 25% over); overall program/project and/or mission objective(s) have not been met or have the potential to be missed; sizeable delays, overruns, and/or deficiencies are identified which have negatively impacted the overall program/project.
F	All and/or key program/project goals and/or milestones are not met within the scheduled timeframe(s) (e.g more than 9 months behind) and/or within the agreed upon budget (e.g., greater than 25% over); overall program/project and/or mission objective(s) have not been met; significant delays, overruns, and/or deficiencies are identified which have negatively impacted the overall program/project.

Science Program Office[2]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Computing Research					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall ASCR Total	
Office of Basic Energy Sciences					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall BES Total	
Office of Biological and Environmental Research					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall BER Total	
Office of Fusion Energy Sciences					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall FES Total	
Office of High Energy Physics					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall HEP Total	
Office of Nuclear Physics					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall NP Total	

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

Office of Workforce Development for Teachers and Scientists					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall WDTS Total	

Table 1.1 – 1.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Advanced Scientific Computing 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 Score Development[3]

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

Table 1.3 – 1.0 Goal Final Letter Grade

[3] Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY *YEAR*.

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

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

The weight of this Goal is TBD%.

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

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 2.1). Weightings for each office listed below are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided here for informational purposes only. Final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY *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

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

- Effectiveness of planning of preconceptual R&D and design for life-cycle efficiency;
- Leverage of existing facilities at the site;
- Delivery of accurate and timely information needed to carry out the critical decision and budget formulation process.; and
- Ability to meet the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets.

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

D	The potential exists for credible science and business cases to be made for the acquisition, but the laboratory fails to take advantage of the opportunity.
F	Proposed approaches are based on fraudulent assumptions; the science case is weak to non-existent, the business case is seriously flawed.

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

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

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

A to A+	Laboratory has identified and implemented practices that would allow the project scope to be increased if such were desirable, without impact on baseline cost or schedule; Laboratory always provides exemplary project status reports on time to DOE and takes the initiative to communicate emerging problems or issues. There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline; Reviews identify environment, safety and health practices to be exemplary.
B+	The project meets CD-2 performance measures; the laboratory provides sustained leadership and commitment to environment, safety and health; reviews regularly recognize the laboratory for being proactive in the management of the execution phase of the project; to a large extent, problems are identified and corrected by the laboratory with little, or no impact on scope, cost or schedule; DOE is kept informed of project status on a regular basis; reviews regularly indicate project is expected to meet its cost/schedule performance baseline.
B	The project fails to meet expectations in one of the areas listed under B+.
C	Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; Laboratory commitment to environment, safety and health issues is adequate; Reports to DOE can vary in degree of completeness; Laboratory commitment to the project appears to be subsiding.
D	Reviews indicate project is likely to breach its cost/schedule performance baseline; and/or Laboratory commitment to environment, safety and health issues is inadequate; reports to DOE are largely incomplete; laboratory commitment to the project has subsided.
F	Laboratory falsifies data during project execution phase; shows disdain for executing the project within minimal standards for environment, safety or health, fails to keep DOE informed of project status; reviews regularly

	indicate that the project is expected to breach its cost/schedule performance baseline.

2.3 Provide Efficient and Effective Operation of Facilities

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

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

A to A+	Performance of the facility exceeds expectations as defined before the start of the year in any of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the laboratory; and/or: the schedule and the costs associated with the ramp-up to steady state operations are less than planned and are acknowledged to be 'leadership caliber' by reviews; Data on ES&H continues to be exemplary and widely regarded as among the 'best in class'.
B+	Performance of the facility meets expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the laboratory; and /or: the schedule and the costs associated with the ramp-up to steady state operations occur as planned; Data on ES&H continues to be very good as compared with other projects in the DOE.
B	The project fails to meet expectations in one of the areas listed under B+.
C	Performance of the facility fails to meet expectations in several of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low, the number of users is unexpectedly low, beam delivery or luminosity is well below expectations. Facility operates at steady state, on cost and on schedule, but the reliability of performance is somewhat below planned values, **or** facility operates at steady state, but the associated schedule and costs exceed planned values. Commitment to ES&H is satisfactory.
D	Performance of the facility fails to meet expectations in many of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low. Facility operates somewhat below steady state, on cost and on schedule, and the reliability performance is somewhat below planned values, **or** facility operates at steady state, but the schedule and costs associated exceed planned values. Commitment to ES&H

	is satisfactory.
F	The facility fails to operate; facility operates well below steady state **and/or** the reliability of the performance is well below planned values.

2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community

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

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

A to A+	Reviews document that multiple disciplines are using the facility in new and novel ways, that the facility is being used to pursue influential science, that full advantage has been taken of the facility to enhance external user access, and strengthen the laboratory's research base. A healthy outreach program is in place.
B$^+$	Reviews state strong and effective approach exists toward establishing a large external and internal user community; that the facility is being used for influential science; the laboratory is capitalizing on existence of facility to grow internal scientific capabilities. A healthy outreach program is in place.
B	Reviews state that lab is establishing an external and internal user community, but laboratory is still not capitalizing fully on existence of the facility to grow internal capabilities and/or reach out to external users.
C	Reviews state that the laboratory has made satisfactory use of the facility, but has not demonstrated much innovation.
D	Few facility users, with none using it in novel ways; research base is very thin.
F	Laboratory does not know how to operate/use its own facility adequately.

Science Program Office[1]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
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 to Grow and Support Lab's Research Base and External User Community			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 to Grow and Support Lab's Research Base and External User Community			TBD%		
				Overall BER 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 to Grow and Support Lab's Research Base and External User Community			TBD%		
				Overall HEP Total	

Table 2.1 – 2.0 Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Basic Energy Sciences			TBD%		
Office of Biological and Environmental Research			TBD%		
Office of High Energy Physics			TBD%		
				Overall Program Office Total	

Table 2.2 – Overall Performance Goal Score Development[2]

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

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 – 2.0 Goal Final Letter Grade

[2] Weightings for each Customer listed within Table 2.2 are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY *YEAR*.

3.0 Provide Effective and Efficient Science and Technology Program Management

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

The weight of this Goal is TBD%.

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

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 3.1). Weightings for each office listed below are preliminary, based upon FY *YEAR* Budget Authority 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 Budget Authority 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 BA for FY *YEAR* as compared to the total BA for those remaining HQ Program Offices.

Objectives:

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

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

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

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

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

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

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

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

3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

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

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

A to A+	Communication channels are well-defined and information is effectively conveyed; important or critical information is delivered in real-time; responses to HQ requests for information from laboratory representatives are prompt, thorough, correct and succinct; laboratory representatives *always* initiate a communication with HQ on emerging issues there are no surprises.
B+	Good communication is valued by all staff throughout the contractor organization; responses to requests for information are thorough and are provided in a timely manner; the integrity of the information provided is never in doubt
B	Evidence of good communications is noted throughout the contractor organization and responses to requests for information provide the minimum requirements to meet HQ needs; with the exception of a few minor instances HQ is alerted to emerging issues.
C	Laboratory representatives recognize the value of sound communication with HQ to the mission of the laboratory. However, laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; laboratory representatives do not take the initiative to alert HQ to emerging issues.
D	Communications from the laboratory are well-intentioned but generally incompetent; the laboratory management does not understand the importance of effective communication and responsiveness to the mission of the laboratory.
F	Contractor representatives are openly hostile and/or non-responsive – emails and phone calls are consistently ignored; communications typically do not address the request; information provided can be incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Science Program Office[1]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Computing Research					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall ASCR Total	
Office of Basic Energy Sciences					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall BER Total	
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall BES Total	
Office of Fusion Energy Sciences					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall FES Total	
Office of High Energy Physics					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall HEP Total	
Office of Nuclear Physics					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall NP Total	
Office of Workforce Development for Teachers and Scientists					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall WDTS Total	

Table 3.1 – 3.0 Program Office Performance Goal Score Development

[1] 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 (BA)	Weighted Score	Overall Weighted Score
Office of Advanced Scientific Computing 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%		
				Overall Program Office Total	

Table 3.2 – Overall Performance Goal Score Development[2]

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

Table 3.3 – 3.0 Goal Final Letter Grade

[2] Weightings for each Customer listed within Table 3.1 and Table 3.2 are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided for informational purposes only. Final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY *YEAR*.

Attachment I

Office of Science Program Office Goal & Objective Weightings

	ASCR Weight	BER Weight	BES Weight	FES Weight	HEP Weight	NP Weight	WDTS Weight
Goal 1.0 Mission Accomplishment							
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
1.1 Impact (significance)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.2 Leadership (recognition of S&T accomplishments)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.3 Output (productivity) (pass/fail)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.4 Delivery (pass/fail)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities							
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.3 Operation of Facility	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Goal 3.0 Program Management							
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
3.1 Stewardship of Scientific Capabilities and Programmatic Vision	TBD	TBD	TBD	TBD	TBD	TBD	TBD
3.2 Program Planning and Management	TBD	TBD	TBD	TBD	TBD	TBD	TBD
3.3 Program Management-Communication & Responsiveness (to HQ)	TBD	TBD	TBD	TBD	TBD	TBD	TBD

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ENCLOSURE 4

Generic S&T Goals and Objectives – Multi-Program Labs

Below are the generic S&T Goals and Objectives for all multi-program laboratory PEMPs. This is a generic template which should require only a slight modification in order to frame it for a particular laboratory PEMP. The following items must be adjusted as appropriate:

1. The listing of HQ Program Offices and other customers providing evaluations (bullets under each Goal) must be modified as appropriate.

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 BA 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 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 SC Program Office tables, should remain or be deleted in accordance with the decision to provide preliminary BA 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 1) 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 whom final weightings have not been received prior to SC approval of the PEMP.

All other aspects of the attached S&T Goals/Objectives should be incorporated into the laboratory PEMP as is. Remember when calculating the BA funding weights (either

preliminary or actual) you should utilize the BA from each of the evaluating offices only, not the overall laboratory BA.

1.0 Provide for Efficient and Effective Mission Accomplishment

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

The weight of this Goal is TBD%.

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

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science, 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 Tables 1.1, 1.2, & 1.3). Weightings for each Customer listed below are preliminary, based upon FY 2005 Budget Authority 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 Budget Authority for FY 2006.

- Office of Science (SC) (TBD%)
- Office of Defense Nuclear Nonproliferation (DNN) (TBD%)
- Department of Homeland Security (DHS) (TBD%)
- Office of Intelligence (IN) (TBD%)
- Assistant Secretary for Energy Efficiency and Renewable Energy (EERE) (TBD%)
- Assistant Secretary for Fossil Energy (FE) (TBD%)
- Office of Nuclear Energy (NE) (TBD%)
- Office of Environment (EM) (TBD%)
- Office of Electricity Delivery and Emergency Reliability (OE) (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 1.4 below). The overall score earned is then compared to Table 1.5 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 BA for FY *YEAR* as compared to the total BA for those remaining HQ Program Offices.

Objectives:

1.1 Science and Technology Results Provide Meaningful Impact on the Field

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

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

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

1.2 Provide Quality Leadership in Science and Technology

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

- Willingness to pursue novel approaches and/or demonstration of innovative solutions to problems;

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

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

1.3 Provide and sustain Outputs that Advance Program Objectives & Goals

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

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

A to A+	Program offices, clients, end-users, independent experts and/or peers laud work results; output(s) exceeds the amount and/or quality typically expected for an excellent body of work.
B$^+$	Program office, client, end-user, independent expert and/or peer reviews are universally positive; output(s) meet the amount and/or quality typically

	expected for the body of work; work demonstrates progress against review recommendations and/or headquarters guidance.
B	Program office, client, end-user, independent expert and/or peer reviews are largely positive, with only a few minor deficiencies and/or slightly negative responses noted; minor deficiencies and/or negative responses have little to no potential to adversely impact the overall program/project.
C	A number of outputs have not met the amount and/or quality typically expected for the body of work; program office, client, end-user, independent expert and/or peer reviews identify a number of deficiencies and although they may be somewhat offset by other positive performance, they have the potential to negatively impact the overall program/project if not corrected.
D	Most outputs have not met the amount and/or quality typically expected for the body of work; program office, client, end-user, independent expert and/or peer reviews identify significant deficiencies which have negatively impacted the overall program/project.
F	All outputs have not met the amount and/or quality typically expected for the body of work; program office, client, end-user, independent expert and/or peer reviews identify significant deficiencies which have significantly impacted and/or damaged the overall program/project.

1.4 Provide for Effective Delivery of Products

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

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

A to A+	Program/project goals and/or milestones are met well ahead of schedule and/or well under budget; program/project and/or mission objective(s) are fully meet and results anticipate HQ guidance.
B$^+$	Program/project goals and/or milestones are primarily met on schedule and within budget; program/project and/or mission objective(s) are fully meet and are fully responsive to HQ guidance.
B	Most program/project goals and/or milestones are met on schedule and within budget; overall program/project and/or mission objective(s) are meet; minor delays, overruns, and/or deficiencies are minimized and/or have little to no adverse impact the overall program/project.
C	A number of and/or key program/project goals and/or milestones are not

	met within the scheduled timeframe(s) (e.g less than 6 months behind) and/or within the agreed upon budget (e.g., less than 15% over); overall program/project and/or mission objective(s) have not been met or have the potential to be missed; delays, overruns, and/or deficiencies are identified which have the potential to adversely impact the overall program/project is not corrected.
D	Most of and/or key program/project goals and/or milestones are not met within the scheduled timeframe(s) (e.g more than 6 months behind) and/or within the agreed upon budget (e.g., less than 25% over); overall program/project and/or mission objective(s) have not been met or have the potential to be missed; sizeable delays, overruns, and/or deficiencies are identified which have negatively impacted the overall program/project.
F	All and/or key program/project goals and/or milestones are not met within the scheduled timeframe(s) (e.g more than 9 months behind) and/or within the agreed upon budget (e.g., greater than 25% over); overall program/project and/or mission objective(s) have not been met; significant delays, overruns, and/or deficiencies are identified which have negatively impacted the overall program/project.

Science Program Office[1]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Research					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall ASCR Total	
Office of Basic Energy Sciences					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall BES Total	
Office of Biological and Environmental Research					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall BER Total	
Office of Fusion Energy Sciences					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall FES Total	
Office of High Energy Physics					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall HEP Total	
Office of Nuclear Physics					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall NP Total	

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

Office of Workforce Development for Teachers and Scientists					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall WDTS Total	

Table 1.1 – 1.0 SC Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	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 – SC Program Office Overall Performance Goal Score Development[2]

HQ Program Office[3]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Defense Nuclear Nonproliferation					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall DNN Total	
Department of Homeland Security					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall DHS Total	

[2] Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY *YEAR*.

[3] A complete listing of the S&T Goals & Objectives weightings for the other Programs and other customers is provided within Attachment I to this plan.

Assistant Secretary for Energy Efficiency and Renewable Energy					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall EERE Total	
Office of Intelligence					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall IN Total	
Office of Fossil Energy					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall FE Total	
Office of Nuclear Energy, Science & Technology					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall NE Total	
Office of Environmental Management					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall EM Total	
Office of Electricity and Energy Reliability					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall OE Total	

Table 1.3 – 1.0 Other Program Office & Customer Performance Goal Score Development

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

Table 1.4 – Overall Performance Goal Score Development[4]

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 1.5 – 1.0 Goal Final Letter Grade

[4] Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY *YEAR*.

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

The Contractor provides effective and efficient strategic planning; fabrication, construction and/or operations of Laboratory research facilities; and 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, other cognizant HQ Program Offices, and other customers as identified below. The overall Goal score from each SC Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 2.1). Final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2006.

- Office of Science (SC) (100%)

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

<u>Objectives</u>:

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

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

- Effectiveness of planning of preconceptual R&D and design for life-cycle efficiency;

- Leverage of existing facilities at the site;
- Delivery of accurate and timely information needed to carry out the critical decision and budget formulation process.; and
- Ability to meet the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets.

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

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

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

- Adherence to DOE Order 413.3 Project Management for the Acquisition of Capital Assets;
- Successful fabrication of facility components
- Effectiveness in meeting construction schedule and budget; and

- Quality of key staff overseeing the project(s).

A to A+	Laboratory has identified and implemented practices that would allow the project scope to be increased if such were desirable, without impact on baseline cost or schedule; Laboratory always provides exemplary project status reports on time to DOE and takes the initiative to communicate emerging problems or issues. There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline; Reviews identify environment, safety and health practices to be exemplary.
B+	The project meets CD-2 performance measures; the laboratory provides sustained leadership and commitment to environment, safety and health; reviews regularly recognize the laboratory for being proactive in the management of the execution phase of the project; to a large extent, problems are identified and corrected by the laboratory with little, or no impact on scope, cost or schedule; DOE is kept informed of project status on a regular basis; reviews regularly indicate project is expected to meet its cost/schedule performance baseline.
B	The project fails to meet expectations in one of the areas listed under B+.
C	Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; Laboratory commitment to environment, safety and health issues is adequate; Reports to DOE can vary in degree of completeness; Laboratory commitment to the project appears to be subsiding.
D	Reviews indicate project is likely to breach its cost/schedule performance baseline; and/or Laboratory commitment to environment, safety and health issues is inadequate; reports to DOE are largely incomplete; laboratory commitment to the project has subsided.
F	Laboratory falsifies data during project execution phase; shows disdain for executing the project within minimal standards for environment, safety or health, fails to keep DOE informed of project status; reviews regularly indicate that the project is expected to breach its cost/schedule performance baseline.

2.3 Provide Efficient and Effective Operation of Facilities

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

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

A to A+	Performance of the facility exceeds expectations as defined before the start of the year in any of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the laboratory; and /or: the schedule and the costs associated with the ramp-up to steady state operations are less than planned and are acknowledged to be 'leadership caliber' by reviews; Data on ES&H continues to be exemplary and widely regarded as among the 'best in class'.
B+	Performance of the facility meets expectations as defined before the start of the year in all of these categories: cost of operations, users served, availability, beam delivery, or luminosity, and this performance can be directly attributed to the efforts of the laboratory; and /or: the schedule and the costs associated with the ramp-up to steady state operations occur as planned; Data on ES&H continues to be very good as compared with other projects in the DOE.
B	The project fails to meet expectations in one of the areas listed under B+.
C	Performance of the facility fails to meet expectations in several of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low, the number of users is unexpectedly low, beam delivery, or luminosity is well below expectations. Facility operates at steady state, on cost and on schedule, but the reliability of performance is somewhat below planned values, **or** acquisition operates at steady state, but the associated schedule and costs exceed planned values. Commitment to ES&H is satisfactory.
D	Performance of the facility fails to meet expectations in many of the areas listed under B+; for example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low. Acquisition operates somewhat below steady state, on cost and on schedule, and the reliability performance is somewhat below planned values, **or** acquisition operates at steady state, but the schedule and costs associated exceed planned values. Commitment to ES&H is satisfactory.
F	The facility fails to operate; acquisition operates well below steady state **and/or** the reliability of the performance is well below planned values.

2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community

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

- The facility is being used to perform influential science;
- Contractor's efforts to take full advantage of the facility to strengthen the Laboratory's research base;

- Conversely the facility is strengthened by a resident research community that pushes the envelope of what the facility can do and/or are among the scientific leaders of the community;
- Contractor's ability to appropriately balance access by internal and external user communities; and
- There is a healthy program of outreach to the scientific community.

A to A+	Reviews document that multiple disciplines are using the facility in new and novel ways, that the facility is being used to pursue influential science, that full advantage has been taken of the facility to enhance external user access, and strengthen the laboratory's research base. A healthy outreach program is in place.
B$^+$	Reviews state strong and effective approach exists toward establishing a large external and internal user community; that the facility is being used for influential science; the laboratory is capitalizing on existence of facility to grow internal scientific capabilities. A healthy outreach program is in place.
B	Reviews state that lab is establishing an external and internal user community, but laboratory is still not capitalizing fully on existence of the facility to grow internal capabilities and/or reach out to external users.
C	Reviews state that the laboratory has made satisfactory use of the facility, but has not demonstrated much innovation.
D	Few facility users, with none using it in novel ways; research base is very thin.
F	Laboratory does not know how to operate/use its own facility adequately.

HQ Program Office[1]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Science					
2.1 Provide Effective Facility Design(s)			TBD%[2]		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			TBD%[2]		
2.3 Provide Efficient and Effective Operation of Facilities			TBD%[2]		
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community			TBD%[2]		
				Overall SC Total	

Table 2.1 – 2.0 Program Office Performance Goal Score Development

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

Table 2.2 – 2.0 Goal Final Letter Grade

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

[2] Overall Objective weighting is determined based on the averaged SC Program Office weightings according to the percentage of BA for each. Weightings for each Program Office or Customer listed are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided for informational purposes only.

3.0 Provide Effective and Efficient Science and Technology Program Management

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

The weight of this Goal is TBD%.

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

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science, 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, 3.2, & 3.3). Weightings for each Customer listed below are preliminary, based upon FY 2005 Budget Authority 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 Budget Authority for FY 2006 provided by the Program Offices listed below.

- Office of Science (SC) (TBD%)
- Office of Defense Nuclear Nonproliferation (DNN) (TBD%)
- Department of Homeland Security (DHS) (TBD%)
- Office of Intelligence (IN) (TBD%)
- Assistant Secretary for Energy Efficiency and Renewable Energy (EERE) (TBD%)
- Assistant Secretary for Fossil Energy (FE) (TBD%)
- Office of Nuclear Energy (NE) (TBD%)
- Office of Environment (EM) (TBD%)
- Office of Electricity Delivery and Emergency Reliability (OE) (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 3.4 below). The overall score earned is then compared to Table 3.5 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 BA for FY *YEAR* as compared to the total BA for those remaining HQ Program Offices.

Objectives:

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

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

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

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

	any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; minimal success in attracting even reasonably talented scientists.
F	No attempt made to achieve programmatic vision; no demonstrated ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; failure to attract even reasonably talented scientists.

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

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

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

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

3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

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

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

A to A+	Communication channels are well-defined and information is effectively conveyed; important or critical information is delivered in real-time; responses to HQ requests for information from laboratory representatives are prompt, thorough, correct and succinct; laboratory representatives *always* initiate a communication with HQ on emerging issues there are no surprises.
B+	Good communication is valued by all staff throughout the contractor organization; responses to requests for information are thorough and are provided in a timely manner; the integrity of the information provided is never in doubt
B	Evidence of good communications is noted throughout the contractor organization and responses to requests for information provide the minimum requirements to meet HQ needs; with the exception of a few minor instances HQ is alerted to emerging issues.
C	Laboratory representatives recognize the value of sound communication with HQ to the mission of the laboratory. However, laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; laboratory representatives do not take the initiative to alert HQ to emerging issues.
D	Communications from the laboratory are well-intentioned but generally incompetent; the laboratory management does not understand the importance of effective communication and responsiveness to the mission of the laboratory.
F	Contractor representatives are openly hostile and/or non-responsive – emails and phone calls are consistently ignored; communications typically do not address the request; information provided can be incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Science Program Office[1]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Research					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall ASCR Total	
Office of Basic Energy Sciences					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall BES Total	
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall BER Total	
Office of Fusion Energy Sciences					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall FES Total	
Office of High Energy Physics					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall HEP Total	
Office of Nuclear Physics					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall NP Total	
Office of Workforce Development for Teachers and Scientists					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall WDTS Total	

Table 3.1 – 3.0 SC Program Office Performance Goal Score Development

[1] 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 (BA)	Weighted Score	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 3.2 – SC Program Office Overall Performance Goal Score Development[2]

HQ Program Office[3]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Defense Nuclear Nonproliferation					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall DNN Total	
Department of Homeland Security					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall DHS Total	
Assistant Secretary for Energy Efficiency and Renewable Energy					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall EERE Total	
Office of Intelligence					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall IN Total	

[2] Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY *YEAR*.

[3] A complete listing of the S&T Goals & Objectives weightings for the other Programs and other customers is provided within Attachment I to this plan.

Office of Fossil Energy					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall FE Total	
Office of Nuclear Energy, Science & Technology					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall NE Total	
Office of Environmental Management					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall EM Total	
Office of Electricity and Energy Reliability					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall OE Total	

Table 3.3 – 3.0 Other Program Office & Customer Performance Goal Score Development

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

Table 3.4 – Overall Performance Goal Score Development[4]

[4] Weightings for each Customer listed within Table 1.2 are preliminary, based upon FY *YEAR* Budget Authority figures, and are provided for informational purposes only. The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY *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 3.5 – 3.0 Goal Final Letter Grade

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							
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
1.1 Impact (significance)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.2 Leadership (recognition of S&T accomplishments)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.3 Output (productivity) (pass/fail)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.4 Delivery (pass/fail)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities							
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.3 Operation of Facility	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Goal 3.0 Program Management							
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
3.1 Stewardship of Scientific Capabilities and Programmatic Vision	TBD	TBD	TBD	TBD	TBD	TBD	TBD
3.2 Program Planning and Management	TBD	TBD	TBD	TBD	TBD	TBD	TBD
3.3 Program Management-Communication & Responsiveness (to HQ)	TBD	TBD	TBD	TBD	TBD	TBD	TBD

Attachment I

Program Office Goal & Objective Weightings

All Other Customers[1]

	DNN Weight	DHS Weight	EERE Weight	IN Weight	FE Weight	NE Weight	EM Weight	OE Weight
Goal 1.0 Mission Accomplishment								
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
1.1 Impact (significance)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.2 Leadership (recognition of S&T accomplishments)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.3 Output (productivity) (pass/fail)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
1.4 Delivery (pass/fail)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Goal 2.0 Design, Fabrication, Construction and Operation of Facilities								
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.3 Operation of Facility	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Goal 3.0 Program Management								
Goal's weight	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**	**TBD**
3.1 Stewardship of Scientific Capabilities and Programmatic Vision	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
3.2 Program Planning and Management	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
3.3 Program Management-Communication & Responsiveness (to HQ)	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

[1] 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

SC PEMP Review Board Comment Sheet Template

The template provided below shall be utilized to consolidate and document SC Laboratory PEMP Review Board comments. Comments requiring disposition prior to the Boards concurrence and recommendation for SC-1 approval shall be identified utilizing a **BOLD BLUE** font. Other comments and/or suggested changes are to be provided under the section entitled "General Board Comments/Suggestions for Site Office Consideration."

SC Laboratory Contract Performance Evaluation & Measurement Plan (PEMP) Review Board Summary for *Lab Name*

Criteria for Review of PEMPs:

The Board has reviewed the *Insert Laboratory Name* PEMP and has found that it meets (*does not meet*) the intent of and criteria set forth within the SC Guidance to include supplementary guidance provided for FY *YEAR*. Below is a summary of the Boards findings. Any comments in **bold blue font** must be addressed before the Board can recommend SC-1 approval. Suggested changes for Site Office consideration are also provided and their incorporation at this time or at a later date is left to the discretion of the Site Office Manager.

1. General Contract Info
   a) Total available fee is $_____ (Base Fee: _____ Performance Fee: _____)
   b) Other incentives included: (if any)

2. Introductory sections (if negative response provide comments describing why)
   a) Provides (*Does not provide*) sufficient information and is in line with SC guidance for determining contractor performance ratings and incentives earned.
   b) Provides (*Does not provide*) sufficient information for making adjustments to evaluation grades and/or incentive(s) determinations.
   c) Justification for deviations from the standard template is provided and acceptable
   d) Strengths, weaknesses, or other items noted: (if any)

3. Science and Technology Goals and Objectives (Goals 1-3)
   a) Provides (*Does not provide*) Goal/Objective weightings for each Customer, math is correct (*incorrect*), and weightings appear (*do not appear*) to be appropriate.
   b) Includes (*Does not include*) standard format provided by SC and justification for deviations from the standard template is provided and acceptable.
   c) Individual performance measures/targets (if utilized) provide (*do not provide*) sufficient information to define the measure and identify the expected performance level(s) and the concurrence of the appropriate Program Office has been documented.
   d) Strengths, weaknesses, or other items noted: (if any)

4. Management and Operations Goals and Objectives (Goals 4-8)
   a) Provides (*Does not provide*) Goal/Objective weightings, math is correct (*incorrect*), and weightings appear (*do not appear*) to be appropriate.
   b) Individual performance measures/targets under each Objective provide (*do not provide*) sufficient information to define the measure and identify expected (B+) performance levels and other performance levels as may be deemed necessary by the Site Office.
   c) Number and types (quantitative & qualitative) of Measures/Targets appear to be (*do not appear to be*) sufficient to provide evidence that the contractor is successfully meeting the intent of an Objective.
   d) Strengths, weaknesses, or other items noted: (if any)

General Board Comments/Suggestions for Site Office Consideration:

1. *Insert general Board comments as appropriate*

ENCLOSURE 6

SC PEMP Review Board Summary Table Template

The table below shall be maintained by the SC Laboratory PEMP Review Board Chair to indicate the Boards initial review findings and is to be updated as appropriate as Board comments are dispositioned by the Site Office(s). The total available fee and other contract incentives (i.e., Score Card, Award Term, etc.) shall be indicated under section 1. as appropriate. All other sections/subsections shall indicate whether or not the criteria/expectation for each has been meet (✔) or not (**X**). The Final Board Review Summary Table along with the Initial Summary Table, indicating the original Board findings, shall be maintained with the individual Review Board Comment Summary's (Enclosure 5).

FY *YEAR* SC PEMP Review Board
Initial or Final Summary Table

	AMES	ANL	BNL	FERMI	LBNL	ORNL	PNNL	PPPL	SLAC	TJNAF
1. General Contract Info										
a. Total Available Fee (Base/Performance)										
b. Other Incentives (if any)										
2. Introductory Sections										
a. Provides sufficient information and is in line with SC guidance for determining contractor performance ratings and incentives earned.										
b. Provides sufficient information for making adjustments to evaluation grades and/or incentive(s) determinations.										
3. Science and Technology Goals and Objectives (Goals 1-3)										
a. Provides Goal/Objective weightings for each Customer, math is correct, and weightings appear to be appropriate.										
b. Includes standard format provided by SC.										
c. Individual performance measures/targets (if utilized) provide sufficient information to define the measure and identify the expected performance level(s).										
4. Management and Operations Goals and Objectives (Goals 4-8)										
a. Provides Goal/Objective weightings, math is correct, and weightings appear to be appropriate.										
b. Individual performance measures/targets under each Objective provide sufficient information to define the measure and identify expected (B+) performance levels and other performance levels as may be deemed necessary.										
c. Number and types (quantitative & qualitative) of Measures/Targets appear to be sufficient to provide evidence that the contractor is successfully meeting the intent of an Objective.										
Overall Board Recommendation										

✔ = Meets all criteria/expectations **X** = Does not meet all criteria/expectations (Specific details are provided within the individual Summary Sheet for each Lab)

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Enclosure 7

PEMP Review Board Comment Resolution Matrix Template

The template below is to be utilized by Site Offices in responding to PEMP Review Board Comments.

Insert Name of Site Office

PEMP Review Board Comment Resolution Matrix

Board Comment	Site Office Resolution
*Insert comment as provided by the PEMP Review Board (required comments should be indicated utilize a **Bold Blue** font).*	*Provide information as to where and what changes where made in response to the comment or provide rationale for not incorporating the comment.*

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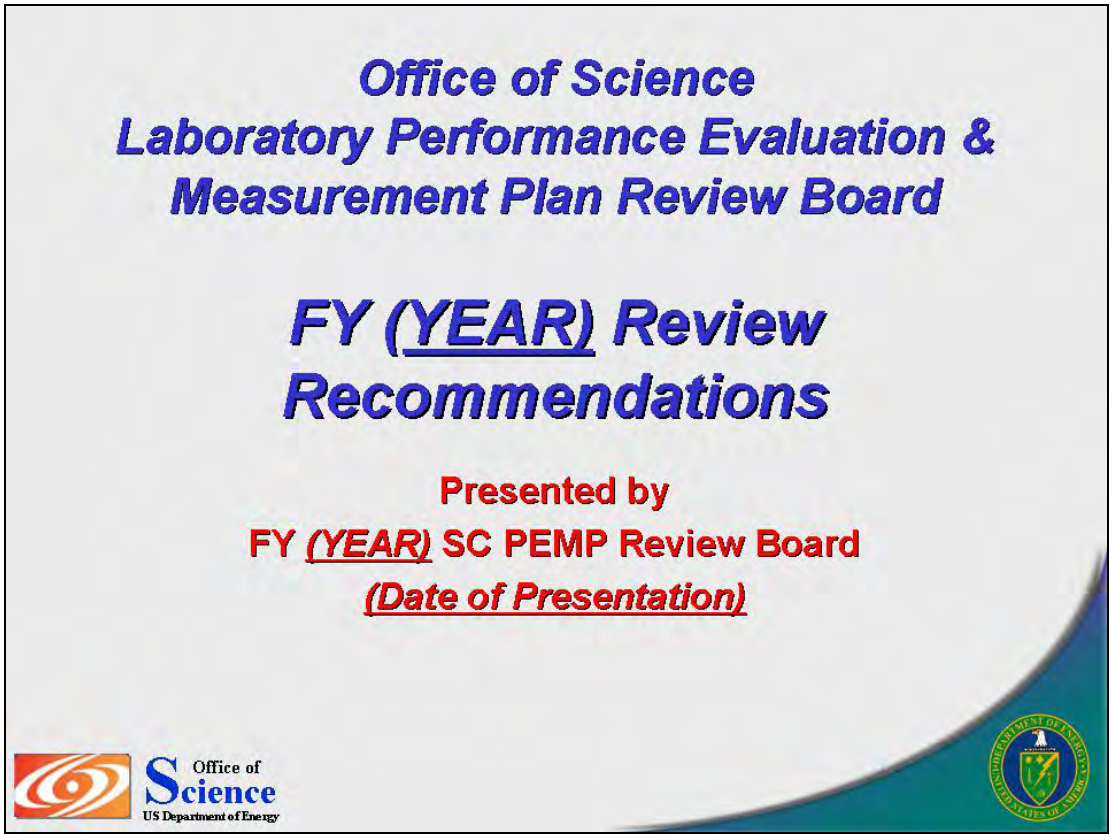
ENCLOSURE 8

SC PEMP Review Board SC-1 Presentation Template

The SC PEMP Review Board presentation template is provided as a guide only and may be adjusted as needed to best incorporate data to be articulated during the SC Laboratory Review Board's recommendation presentation to SC-1.



FY *(YEAR)* SC PEMP Review Board

- **Charter:**
  The SC Laboratory Performance Evaluation and Measurement Plan (PEMP) Review Board is chartered to review all SC Laboratory PEMPs for completeness, conformance with SC guidance, and recommend SC senior management concurrence prior to final Site Office approval and incorporation into laboratory contracts.

- **The FY *(YEAR)* Review Board Members are:** ***(insert names)***
  - **SC Laboratory Policy Division (Chair)**
  - **Site Office Manager**
  - **Site Office Manager**
  - **SC Program Office Rep.**
  - **SC Program Office Rep; and**
  - **ISC Procurement Specialist, SC-CH**

Office of Science
US Department of Energy

FY *(YEAR)* SC PEMP Review Criteria

The Review Board considered the following items in making our recommendations:

- **Contract Incentive Information:**
  - **Base/Performance Fee**
  - **Award Term**
- **Introduction Sections:**
  - **Consistent with SC guidance**
  - **Details for determining performance grades/incentives**
  - **Allows for adjustments to grades and/or incentives as needed**

Office of Science
US Department of Energy

FY *(YEAR)* SC PEMP Review Criteria

- **Science and Technology Goals & Objectives:**
  - Use of standard S&T format (performance levels as defined by SC guidance)
  - Goal/Objective weightings are provided for each customer as appropriate
  - Use of additional targets/measures specific to an individual program (endorsed by sponsoring program)

Office of Science
US Department of Energy

FY *(YEAR)* SC PEMP Review Criteria

- **Management and Operations Goals & Objectives:**
  - Use of standard M&O Goals/Objectives (as provided by SC guidance)
  - Goal/Objective weightings are provided with rationale
  - Measures/Targets proposed:
    - are adequately defined and identify expected performance levels (minimum B+); and
    - provide sufficient evidence the contractor is successfully meeting the intent of an Objective

Office of Science
US Department of Energy

FY (YEAR) Goal/objective Weightings

	Weightings									
S&T Performance Goal	AMES	ANL	BNL	FERMI	LBNL	ORNL	PNNL	PPPL	SLAC	TJNAF
1.0										
2.0										
3.0										
M&O Performance Goal										
4.0										
5.0										
6.0										
7.0										
8.0										

Office of Science
US Department of Energy

FY (YEAR) Fee Information

Laboratory	FY__ Total Available Fee	Base Fee (if any)	Performance Fee	Other Incentives
ANL				
BNL				
LBNL				
ORNL				
PNNL				
AMES				
FERMI				
PPPL				
SLAC				
TJNAF				

Office of Science
US Department of Energy

FY *(YEAR)* Award Term Information

- **Currently in *(identify Lab(s))* Contract(s)**
- **To be incorporated with Contract Competitions**

Determining Award Term Eligibility

Grade	Score	S&T Gateway	Operations Multiplier
A+	4.1 - 4.3	100%	100%
A	3.8 - 4.0	97%	100%
A-	3.5 - 3.7	94%	100%
B+	3.1 - 3.4	91%	100%
B	2.8 - 3.0	88%	95%
B-	2.5 - 2.7	85%	90%
C+	2.1 - 2.4	75%	85%
C	1.8 - 2.0	50%	75%
C-	1.1 - 1.7	0%	60%
D	0.8 - 1.0	0%	0%
F	0 - 0.7	0%	0%

Eligible for Award Term (plus no individual Goal score less than 3.1 for S&T & 2.5 for M&O)

Office of Science
US Department of Energy

FY *(YEAR)* SC PEMP Review Overall Findings

- **Initial Board Review**
  - *Identify key Board Findings (e.g., Found a number of areas not meeting SC Guidance or in need of adjustment)*
  - *Identify number of plans that passed initial review (e.g., Two plans passed initial review)*
- **Board comments provided to Site Office Managers**
  - **Board worked closely with each office to incorporate needed changes**
- **Confirmation of comment resolution**
  - **Board validated required corrections have been incorporated in all Lab PEMPs** *(or identify Lab PEMPs which have not yet completed incorporation of comments)*

Office of Science
US Department of Energy

FY *(YEAR)* SC PEMP Review Overall Findings

Introduction Sections:

- **All 10 PEMPs meet the review criteria** ***(or identify Lab PEMPs which have and have not meet review criteria)***
  - ***Provide info on key elements included within the PEMPS (i.e., All PEMPs appropriately identify performance grade and fee determination methodology, LBNL & TJNAF PEMPs include language regarding Award Term determinations)***

Office of Science
US Department of Energy

FY *(YEAR)* SC PEMP Review Overall Findings

S&T Goals/Objectives:

- **All 10 PEMPs meet the review criteria** ***(or identify Lab PEMPs which have and have not meet review criteria)***
  - ***Provide info on key elements included within the PEMPS (i.e., Standard S&T measures utilized; SC Program Offices set S&T Goal & Objective weightings; Site Office Managers set S&T Goal & Objective weightings for non-SC Programs Offices in most cases)***

Office of Science
US Department of Energy

SC FY (YEAR) PEMP Review Board Recommendation

Based on our review of each of the FY (YEAR) Office of Science Laboratory Performance Evaluation and Measurement Plans, we recommend the Director, Office of Science, approve all 10 (or number to be recommended) plans.

The Board

Office of Science
US Department of Energy

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ENCLOSURE 9

SC-1 PEMP Approval Memorandum Template

The SC-1 PEMP Approval Memorandum template is provided as a guide only and may be adjusted as needed.

Department of Energy
Office of Science
Washington, DC 20585

Office of the Director

MEMORANDUM FOR *SITE OFFICE MANAGER NAME*
MANAGER
SITE OFFICE NAME

FROM: RAYMOND L. ORBACH

SUBJECT: Approval of the FY *YEAR* Performance Evaluation and Measurement Plan for (*insert name of Laboratory)*

Based on the recommendation of the Office of Science Performance Evaluation and Measurement Plan (PEMP) Review Board, this memorandum provides my approval of the proposed FY *YEAR* insert *Laboratory Name* (____) PEMP.

Please incorporate the PEMP into the (____) contract by October 1, *YEAR*, and provide a copy of the final executed plan to John LaBarge of my staff. Also, if you have any questions please contact John at (202) 586-9747.

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ENCLOSURE 10

Waiver of HQ Review & Approval of Performance Objectives and Incentives

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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 11

Example Laboratory Fiscal Year Performance Evaluation Report Card

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

Insert Name of Laboratory

A **Mission Accomplishment (Quality and Productivity of R&D)**

A+ **Construction and Operation of Research Facilities**

B+ **S&T Project/Program Management**

B **Contractor Leadership/Stewardship**

B+ **Environment Safety and Health**

B **Business Systems**

B+ **Facilities Maintenance and Infrastructure**

B+ **Security and Emergency Management**

For information regarding this Report Card or the FY *Year Insert Name of Laboratory* Assessment, please contact the *Insert Name of Site Office* *(includes email link to Site Office Manager)*.

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Enclosure 12

HQ Program Office Contractor Performance Input Template

The HQ Program Office Contractor Performance Input Template is provided to assist in obtaining accurate and consistent input from the various HQ Program Offices evaluating laboratory contractor performance. The electronic template may be adjusted and standard sections (i.e., evaluation period, laboratory contractor name, laboratory name, evaluating HQ program office, etc.) may be filled in by the Site Office prior to issuance of the form to a HQ Program Office for completion (see section 5.6 above). The template is available at the following link: http://pnso.oro.doe.gov/HQ_Eval_Report_V07_R1.xsn.

Office of Science
U.S. DEPARTMENT OF ENERGY

Laboratory Year-End Performance Assessment Report

Date:

Headquarters Program Office Fiscal Year Se Evaluation of Name of Contractor for Management and Operation of the Name of Laboratory

Agency:

Program Office:

FY Funding Level: (Budget Authority)

Evaluator:

Phone Number:

E-mail Address:

Goal 1.0 Provide for Efficient and Effective Mission Accomplishment

Calculate Goal Score: Goal Grade:

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 1.0 Performance Summary Statement:

Provide narrative, as well as, one or two bullets that summarize the contractors overall Goal performance.

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

Score: Select... Grade: Weighting:

Objective 1.1 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

Objective 1.2 Provide Quality Leadership in Science and Technology

Score: Select... Grade: Weighting:

Objective 1.2 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

Objective 1.3 Provide and Sustain Science and Technology Outputs that Advance Program Objectives and Goals

Score: Select... Grade: Weighting:

Objective 1.3 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

Objective 1.4 Provide for Effective Delivery of Science and Technology

Score: Select... Grade: Weighting:

Objective 1.4 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

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

Calculate Goal Score: Goal Grade:

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 2.0 Performance Summary Statement:

Provide narrative, as well as, one or two bullets that summarize the contractors overall Goal performance.

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

Score: Select... Grade: Weighting:

Objective 2.1 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

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

Score: Select... Grade: Weighting:

Objective 2.2 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

Objective 2.3 Provide Efficient and Effective Operation of Facilities

Score: Select... Grade: Weighting:

Objective 2.3 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

Objective 2.4 Utilization of Facilities to Grow and Support Lab's Research Base and External User Community

Score: Select... Grade: Weighting:

Objective 2.4 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

Goal 3.0 Provide Effective and Efficient Science and Technology Program Management

Calculate Goal Score: Goal Grade:

Please complete the Objective fields then click the Calculate button to get the final Score and Grade.

Goal 3.0 Performance Summary Statement:

Provide narrative, as well as, one or two bullets that summarize the contractors overall Goal performance.

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

Score: Select... Grade: Weighting:

Objective 3.1 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

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

Score: Select... Grade: Weighting:

Objective 3.2 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

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

Score: Select... Grade: Weighting:

Objective 3.3 Performance Summary Statement:

Provide specific details as to the Contractor's performance in meeting the Objective with sufficient data to justify the score/grade assigned.

ENCLOSURE 13

Contractor Performance Evaluation Report Template

DOE Office of Science

FY *YEAR*

Performance Evaluation of
Insert Name of Contractor
for the
Management and Operations of the
Insert Name of Laboratory

January *YEAR*

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FY *YEAR* Performance Evaluation Report
Of *Insert Name of Contractor*

I. OVERALL SUMMARY RATING/FEE

Performance-Based Score and Adjectival Rating:
The basis for the evaluation of *Insert Name of Contractor* (the Contractor) management and operations of the *Insert Name of Laboratory* (the Laboratory) during FY *YEAR* centered on the Objectives found within the following Performance Goals:

1.0 Provide for Efficient and Effective Mission Accomplishment (Quality, Productivity, Leadership, & Timeliness of Research and Development)

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

3.0 Provide Effective and Efficient Science and Technology Research Project/Program Management

4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

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

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

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

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

Each Performance Goal was composed of two or more weighted Objectives and most Objectives had a set of performance measures, which assisted in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identified significant activities, requirements, and/or milestones important to the success of the corresponding Objective. The following describes the methodology utilized in determining the Contractor performance rating.

Each Objective within a Goal was assigned a numerical score by the evaluating office. Each evaluation measured the degree of effectiveness and performance of the Contractor in meeting the Objective and was based on the Contractor's success in meeting the set of Performance Measures/Targets identified for each Objective as well as 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); other outside agency reviews (OIG, GAO, DCAA, etc.), and the annual 2-week review (if needed). If no performance measures/targets were utilized the description of the general expectations for the success of the objective was utilized as the baseline of the effectiveness and performance of the Contractor in meeting the corresponding Objective and in determining the score assigned. The Goal score was then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values were then added together to develop an overall score for each Goal. This score was then compared to Table A to determine the overall grade for each Goal. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. The raw score (rounded to the nearest hundredth) from each calculation was carried through to the next stage of the calculation process. The raw score for Science and Technology and Management and Operations was rounded to the nearest tenth of a point for utilization in determining fee as discussed below. A standard rounding convention of x.44 and less rounds down to the nearest tenth (here, x.4), while x.45 and greater rounds up to the nearest tenth (here, x.50).

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

Table A. FY *YEAR* Contractor Letter Grade Scale

Based on the evaluation of *Insert Contractors Name* performance against the Goals and Objectives contained within the FY *YEAR* Performance Evaluation and Measurement Plan (PEMP) the scores and corresponding grades awarded for each are provided within Table B below. Specific information regarding the Contractor's performance in meeting each of the Goals and their corresponding Objectives is provided within Section II of this report.

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

Table B. FY *YEAR* Contractor Evaluation Score Calculation

Performance-Based Fee Earned:
Utilizing Table B, above, the scores for each of the Science and Technology (S&T) Goals and Management and Operations (M&O) Goals were multiplied by the weight assigned and these were summed to provide an overall score for each. The percentage of the available performance-based fee that was earned by the Contractor was determined based on the overall weighted score for the S&T Goals (see Table B.) and then compared to Table C. below. The overall numerical score of the M&O Goals from Table B. was then utilized to determine the final fee multiplier (see Table C.), which was utilized to determine the overall amount of performance-based fee earned for FY *YEAR* as calculated within Table D. Based on the overall performance within the S&T and M&O Goals the Contractor is awarded $_____ in performance based fee for FY *YEAR*.

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

Table C. - Performance-Based Fee Earned Scale

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

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

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Performance Fee and Rating Adjustment Factor:
Insert information regarding any Performance Fee and/or Rating Adjustment Factor utilized if necessary.

Performance Adjustment Determination	
Percent Fee Earned from Table D.	XX%
Percentage of Performance Adjustment	X%
Final Percentage of Fee Earned	XX%
Final Performance Grade Awarded	

Table E. Performance Adjustment Factor Calculation

Based on the performance adjustment determination the Contractor is awarded $_____ in performance based fee for FY *YEAR*.

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II. PERFORMANCE GOALS, OBJECTIVES, AND MEASURES/TARGETS

1.0 Provide for Efficient and Effective Mission Accomplishment (Quality, Productivity, Leadership, & Timeliness of Research and Development)

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

The weight of this Goal is XX%.

The Provide for Efficient and Effective Mission Accomplishment Goal measured the overall effectiveness and performance of the Contractor in delivering science and technology results which contributed to and enhanced 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 were recognized by others.

Insert a summary of the Contractor's performance in meeting this Goal, to include the overall score and grade assigned...

1.1 Science and Technology Results Provide Meaningful Impact on the Field
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

1.2 Provide Quality Leadership in Science and Technology
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

1.3 Provide and sustain Outputs that Advance Program Objectives & Goals
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

1.4 Provide for Effective Delivery of Products
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

Insert Appropriate Tables...

Science Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Research					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall ASCR Total	
Office of Basic Energy Sciences					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall BES Total	

FY *YEAR* Performance Evaluation Report
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Office of Biological and Environmental Research					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall BER Total	
Office of Fusion Energy Sciences					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall FES Total	
Office of High Energy Physics					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall HEP Total	
Office of Nuclear Physics					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall NP Total	
Office of Workforce Development for Teachers and Scientists					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall WDTS Total	

Table 1.1 – 1.0 SC Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	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 – SC Program Office Overall Performance Goal Score Development

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FY *YEAR* Performance Evaluation Report
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HQ Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Defense Nuclear Nonproliferation					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall DNN Total	
Department of Homeland Security					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall DHS Total	
Assistant Secretary for Energy Efficiency and Renewable Energy					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall EERE Total	
Office of Intelligence					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall IN Total	
Office of Fossil Energy					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall FE Total	
Office of Nuclear Energy, Science & Technology					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall NE Total	
Office of Environmental Management					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall EM Total	

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Office of Electricity and Energy Reliability					
1.1 Impact			TBD%		
1.2 Leadership			TBD%		
1.3 Output			TBD%		
1.4 Delivery			TBD%		
				Overall OE Total	

Table 1.3 – 1.0 Other Program Office & Customer Performance Goal Score Development

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

Table 1.4 – Overall Performance Goal Score Development

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

Table 1.5 – 1.0 Goal Final Letter Grade

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

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

The weight of this Goal is XX%.

The Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities Goal measures 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 measured 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.

Insert a summary of the Contractor's performance in meeting this Goal, to include the overall score and grade assigned...

Objectives:

2.1 Provide Effective Facility Design(s) as Required to Support Laboratory Programs
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

2.3 Provide Efficient and Effective Operation of Facilities
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

Insert Appropriate Tables...

HQ Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Science					
2.1 Provide Effective Facility Design(s)			XX%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			XX%		
2.3 Provide Efficient and Effective Operation of Facilities			XX%		
2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community			XX%		
				Overall SC Total	

Table 2.1 – 2.0 Program Office Performance Goal Score Development

HQ Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Science			XXX%		
				Overall Program Office Total	

Table 2.2 – Overall Performance Goal Score Development

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

Table 2.3 – 2.0 Goal Final Letter Grade

3.0 Provide Effective and Efficient Science and Technology Research Project/Program Management

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

The weight of this Goal is XX%.

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

Insert a summary of the Contractor's performance in meeting this Goal, to include the overall score and grade assigned…

Objectives:

3.1 Provide Effective and Efficient Stewardship of Scientific Capabilities and Program Vision
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

3.2 Provide Effective and Efficient Science and Technology Project/Program Planning and Management
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

Insert Appropriate Tables…

Science Program Office[1]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Research					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall ASCR Total	
Office of Basic Energy Sciences					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall BES Total	
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall BER Total	

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

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Office of Fusion Energy Sciences					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall FES Total	
Office of High Energy Physics					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall HEP Total	
Office of Nuclear Physics					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall NP Total	
Office of Workforce Development for Teachers and Scientists					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall WDTS Total	

Table 3.1 – 3.0 SC Program Office Performance Goal Score Development

Science Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	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 3.2 – SC Program Office Overall Performance Goal Score Development

HQ Program Office	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Defense Nuclear Nonproliferation					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall DNN Total	
Department of Homeland Security					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall DHS Total	

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Assistant Secretary for Energy Efficiency and Renewable Energy					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall EERE Total	
Office of Intelligence					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall IN Total	
Office of Fossil Energy					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall FE Total	
Office of Nuclear Energy, Science & Technology					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall NE Total	
Office of Environmental Management					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall EM Total	
Office of Electricity and Energy Reliability					
3.1 Effective and Efficient Stewardship			TBD%		
3.2 Project/Program Planning and Management			TBD%		
3.3 Communications and Responsiveness			TBD%		
				Overall OE Total	

Table 3.3 – 3.0 Other Program Office & Customer Performance Goal Score Development

HQ Program Office	Letter Grade	Numerical Score	Funding Weight (BA)	Weighted Score	Overall Weighted Score
Office of Science			TBD%		
Office of Defense Nuclear Nonproliferation			TBD%		
Department of Homeland Security			TBD%		
Office of Energy Efficiency and Renewable Energy			TBD%		
Office of Intelligence			TBD%		
Office of Fossil Energy			TBD%		
Office Nuclear Energy			TBD%		

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Office of Environmental Management			TBD%		
Office of Electricity and Energy Reliability			TBD%		
				Performance Goal 1.0 Total	

Table 3.4 – Overall Performance Goal Score Development

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

Table 3.5 – 3.0 Goal Final Letter Grade

4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

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

The weight of this Goal is XX%.

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

Insert a summary of the Contractor's performance in meeting this Goal, to include the overall score and grade assigned...

4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

4.2 Provide for Responsive and Accountable Leadership throughout the Organization
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

4.3 Provide Efficient and Effective Corporate Office Support as Appropriate
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

Insert Appropriate Tables...

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

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
4.2 Provide for Responsive and Accountable Leadership throughout the Organization			XX%		
4.3 Provide Efficient and Effective Corporate Office Support as Appropriate			XX%		
				Performance Goal 4.0 Total	

Table 4.1 – 4.0 Goal Performance Rating Development

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

Table 4.2 – 4.0 Goal Final Letter Grade

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

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

The weight of this Goal is XX%.

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

Insert a summary of the Contractor's performance in meeting this Goal, to include the overall score and grade assigned…

5.1 Provide a Work Environment that Protects Workers and the Environment
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

Insert Appropriate Tables…

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

Table 5.1 – 5.0 Goal Performance Rating Development

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

Table 5.2 – 5.0 Goal Final Letter Grade

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

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

The weight of this Goal is XX%.

The Provide Business Systems that Efficiently and Effectively Support the Overall Mission of the Laboratory Goal measured the Contractor's overall success in deploying, implementing, and improving integrated business system that efficiently and effectively support the mission(s) of the Laboratory.

Insert a summary of the Contractor's performance in meeting this Goal, to include the overall score and grade assigned…

6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s)
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

6.3 Provide an Efficient, Effective, and Responsive Property Management System
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

6.4 Provide an Efficient, Effective, and Responsive Human Resources Management System
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

6.5 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

6.6 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned...

Insert Appropriate Tables...

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
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)			XX%		
6.2 Provide an Efficient, Effective, and Responsive Acquisition Management System			XX%		
6.3 Provide an Efficient, Effective, and Responsive Property Management System					
6.4 Provide an Efficient, Effective, and Responsive Human Resources Management System			XX%		
6.5 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate			XX%		
6.6 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets			XX%		
				Performance Goal 6.0 Total	

Table 6.1 – 6.0 Goal Performance Rating Development

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

Table 6.2 – 6.0 Goal Final Letter Grade

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

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

The weight of this Goal is XX%.

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

Insert a summary of the Contractor's performance in meeting this Goal, to include the overall score and grade assigned…

7.1 Manage Facilities and Infrastructure in a Efficient and Effective Manner that Optimizes Usage, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support the Continuation and Growth of Laboratory Missions and Programs
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

Insert Appropriate Tables…

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
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 a Efficient and Effective Manner that Optimizes Usage, Minimizes Life Cycle Costs, and Ensures Site Capability to Meet Mission Needs			XX%		
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support the Continuation and Growth of Laboratory Missions and Programs			XX%		
				Performance Goal 7.0 Total	

Table 7.1 – 7.0 Goal Performance Rating Development

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

Table 7.2 – 7.0 Goal Final Letter Grade

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

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

The weight of this Goal is XX%.

The Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems Goal measured 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.

Insert a summary of the Contractor's performance in meeting this Goal, to include the overall score and grade assigned…

8.1 Provide an Efficient and Effective Emergency Management System
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

8.2 Provide an Efficient and Effective System for Cyber-Security
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property
Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…

8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information
I *Insert information regarding the Contractor's performance in meeting this Objective, to include the overall score assigned…*

Insert Appropriate Tables…

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

Table 8.1 – 8.0 Goal Performance Rating Development

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

Table 8.2 – 8.0 Goal Final Letter Grade

APPENDIX 1

Insert each HQ Program Office Evaluation, in its entirety, as an appendix…

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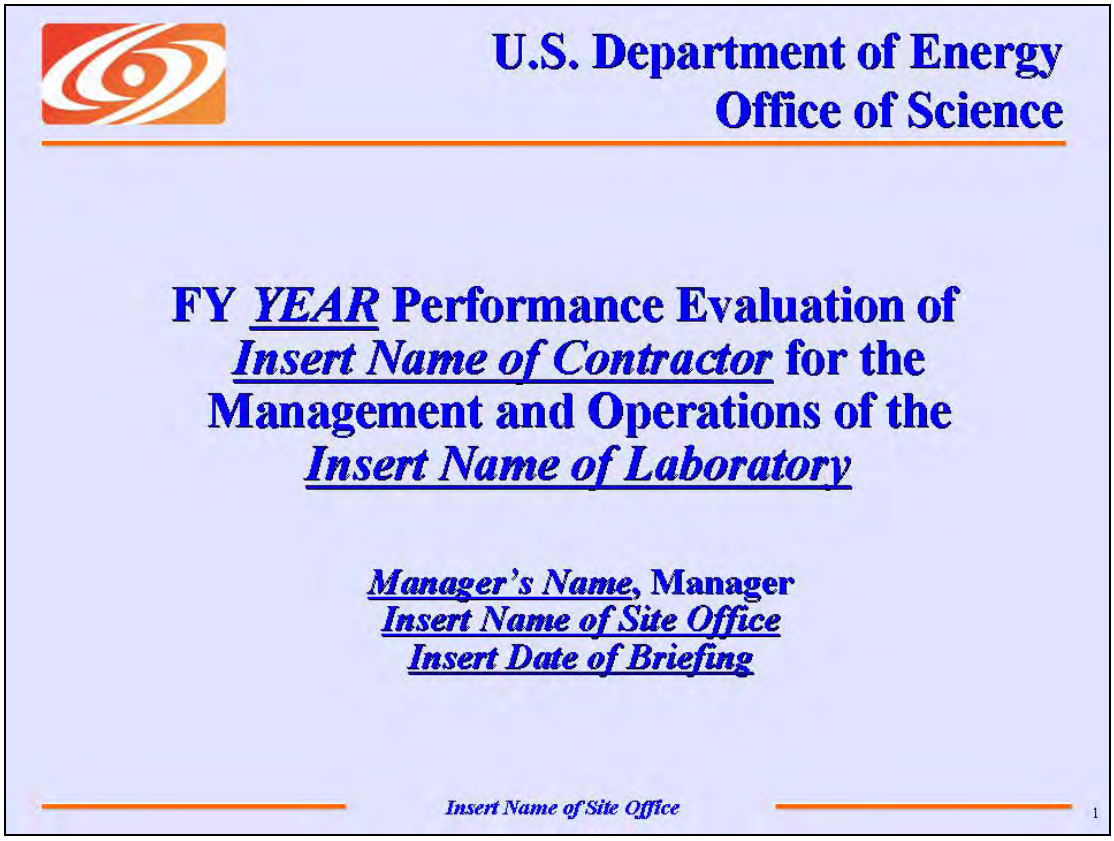
ENCLOSURE 14

Annual Laboratory Contractor Performance Evaluation Report Presentation Template

The Annual Laboratory Contractor Performance Evaluation Report Presentation template is provided as a guide only and may be adjusted as needed to best incorporate data to be articulated during the Laboratory Evaluation Briefing to SC-1.



Performance-Based Incentives

- Performance Score
  - S&T – ___
  - M&O – ___
- Performance Based Fee
  - Total available Fee for FY__ = $_____
- Award Term (if appropriate)
  - *Provide statement(s) of threshold/structure of Award Term incentive.*

Insert Name of Site Office

2

Summary of Goal Performance Scores and Grades

S&T Performance Goal	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
1.0 Mission Accomplishment					
2.0 Design, Fabrication, Construction and Operations of Facilities					
3.0 Science and Technology Research Project/Program Management					
				Total Score	
M&O Performance Goal	**Numerical Score**	**Letter Grade**	**Weight**	**Weighted Score**	**Total Score**
4.0 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					
				Total Score	

Insert Name of Site Office

3

1.0 Mission Accomplishment

Overall Goal Performance: Score_____ Grade___

Office	ASCR	BES	BER	FES	WDTS	NNSA	DHS	EM	EERE	FE	IN
Weight											
Grade											

Obj. 1.1 S&T Results Provide Meaningful Impact on the Field
Obj. 1.2 Provide Quality Leadership in S&T
Obj. 1.3 Provide & Sustain Outputs that Advance Program Obj./Goals
Obj. 1.4 Delivery of Science and Technology

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

Insert Name of Site Office

4

1.0 Mission Accomplishment (Cont'd)

Overall Goal Performance: Score_____ Grade___

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

Insert Name of Site Office

5

2.0 Design, Fabrication, Construction and Operations of Facilities

Overall Goal Performance: Score_____ Grade___

Office	ASCR	BES	BER	FES	WDTS	NNSA	DHS	EM	EERE	FE	IN
Weight											
Grade											

Obj. 2.1 Facility Design(s) to Support Laboratory Programs
Obj. 2.2 Construction of Facilities and/or Fabrication of Components
Obj. 2.3 Operation of Facilities
Obj. 2.4 Utilization of Facility to Grow/Support Research Base & External User Community

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

Insert Name of Site Office

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2.0 Design, Fabrication, Construction and Operations of Facilities (Cont'd)

Overall Goal Performance: Score_____ Grade___

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

Insert Name of Site Office

7

3.0 S&T Research Project/Program Management

Overall Goal Performance: Score_____ Grade___

Office	ASCR	BES	BER	FES	WDTS	NNSA	DHS	EM	EERE	FE	IN
Weight											
Grade											

Obj. 3.1 Stewardship of Scientific Capabilities & Program Vision
Obj. 3.2 S&T Project/Program Planning and Management
Obj. 3.3 Communications and Responsiveness to Customer Needs

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

Insert Name of Site Office

8

3.0 S&T Research Project/Program Management

Overall Goal Performance: Score_____ Grade___

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

Insert Name of Site Office

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4.0 Leadership and Stewardship of the Laboratory

Overall Goal Performance: Score_____ Grade___

Obj. 4.1 Laboratory Vision & Plan for Accomplishment of the Vision (Score/Grade)
Obj. 4.2 Responsive & Accountable Leadership (Score/Grade)
Obj. 4.3 Corporate Office Support (Score/Grade)

- *Statements of accomplishments, notable performance, or major concerns/issues*
-
-
-
-

Insert Name of Site Office

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5.0 Integrated Safety, Health, and Environmental Protection

Overall Goal Performance: Score_____ Grade___

Obj. 5.1 Provide Work Environment that Protects Workers & Environment (Score/Grade)
Obj. 5.2 Integrated Safety, Health, and Environment Management (Score/Grade)
Obj. 5.3 Waste management, Minimization, & Pollution Prevention (Score/Grade)

- *Statements of accomplishments, notable performance, or major concerns/issues*
-
-
-
-

Insert Name of Site Office

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6.0 Business Systems

Overall Goal Performance: Score_____ Grade___

Obj. 6.1 Financial Management System (Score/Grade)
Obj. 6.2 Acquisition Management System (Score/Grade)
Obj. 6.3 Property Management System (Score/Grade)
Obj. 6.4 Human Resources Management System & Diversity Program (Score/Grade)
Obj. 6.5 Management Systems for Internal Audit & Oversight; Information Management; & Other Administrative Support Systems (Score/Grade)
Obj. 6.6 Transfer of Technology & Commercialization of Intellectual Assets (Score/Grade)

- *Statements of accomplishments, notable performance, or major concerns/issues*
-
-
-
-

Insert Name of Site Office

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7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio

Overall Goal Performance: Score_____ Grade___

Obj. 7.1 Manage Facilities and Infrastructure (Score/Grade)
Obj. 7.2 Plan for & Acquire Required Facilities & Infrastructure (Score/Grade)

- *Statements of accomplishments, notable performance, or major concerns/issues*
-
-
-
-
-

Insert Name of Site Office

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8.0 Integrated Safeguards and Security Management and Emergency Management Systems

Overall Goal Performance: Score_____ Grade___

Obj. 8.1 Emergency Management (Score/Grade)
Obj. 8.2 Cyber Security (Score/Grade)
Obj. 8.3 Special Nuclear Materials, Classified Matter & Property Protection (Score/Grade)
Obj. 8.4 Classified & Sensitive Information Protection (Score/Grade)

- *Statements of accomplishments, notable performance, or major concerns/issues*
-
-
-
-

Insert Name of Site Office 14

Performance-Based Fee Earned

Goals	Score	Weight	Weighted Score	Total Score
1.0		XX%		
2.0		XX%		
3.0		XX%		
			Total S&T Score	
4.0		XX%		
5.0		XX%		
6.0		XX%		
7.0		XX%		
8.0		XX%		
			Total M&O Score	

Overall Weighted Score from Table A.	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%

Overall Fee Determination		
Percent S&T Fee Earned		97%
M&O Fee Multiplier	X	100%
Overall Earned Fee		97%

Total Fee Earned or FY__ = $_____

Insert Name of Site Office 15

Fee Adjustment Factor

(to be incorporated if needed)

- *Identify the performance failure(s) 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**

Insert Name of Site Office

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Award Term Eligibility/Award

- ***Provide summary indicating that the Contractor has or has not meet 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**

Insert Name of Site Office

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Recommendation

The *Insert Name of Site Office* recommends the approval of the FY__ Report Card for *Insert Name of Laboratory Contractor* and the awarding of $_____ in performance-based fee.

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

A	Mission Accomplishment (Quality and Productivity of R&D)
A+	Construction and Operation of Research Facilities
B+	S&T Project/Program Management
B	Contractor Leadership/Stewardship
B+	Environment Safety and Health
B	Business Systems
B+	Facilities Maintenance and Infrastructure
B+	Security and Emergency Management

Insert Name of Site Office

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ENCLOSURE 15

Award Term Decision Document Template

The Award Term Decision Document form is provided to assist in the development of document as prescribed within the SC Management System (SCMS), Evaluating and Recommending an Award Term procedure, under the M&O Contract Extension Subject Area.

Note: The Award Term Decision Document form is currently under development as part of the SCMS development process and shall be incorporated upon completion.

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ENCLOSURE 16

General Schedule for the
SC Laboratory Performance Assessment Process

The following schedule is provided as a guideline for the overall SC Laboratory Performance Assessment Process to include the development, review, and approval of the Performance Evaluation and Measurement Plans (PEMPs); the evaluation of contractor performance, development of year-end evaluation reports, and their review, approval and final issuance to the contractor. Timeframes identified within the schedules are approximate and will be updated by the SC Office of Laboratory Policy and Evaluation to identify specific dates and provided as part of the annual Supplemental Guidance to be issued on or about May 1st of each year.

Schedule for the development, review, and approval of the PEMP:

April 1 – 30	SC Laboratory Performance Assessment Process - Fiscal Year Supplemental Guidance developed by the SC Office of Laboratory Policy and Evaluation and approved by SC-1
On or about May 1	SC Laboratory Performance Assessment Process - Fiscal Year Supplemental Guidance issued to Site Offices
May 2 – July 31	Site Offices, in conjunction with appropriate HQ Program Offices and other customers, develop draft PEMP
August 1	Draft PEMPs due to SC Office of Laboratory Policy and Evaluation from Site Office Managers
By August 31	SC PEMP Review Board reviews and issues comments on PEMPs to Site Offices as needed
First two weeks of September	Site Offices incorporate/disposition comments and provide revised PEMP to the Review Board as appropriate
Third week of September	SC PEMP Review Board Meeting to discuss final PEMP approval recommendations to SC-1
Last Week of September	SC PEMP Review Board presents recommendations to SC-1 and receives SC-1 approval
Last Week of September	SC-1 approval memo issued to Site Offices
October 1	Site Offices incorporate PEMPs into contracts as appropriate

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

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