AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

1. CONTRACT ID CODE	PAGE OF PAGES
	1 | 2

2. AMENDMENT/MODIFICATION NO.	3. EFFECTIVE DATE	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. *(If applicable)*
M153	See 16C		

6. ISSUED BY CODE

U.S. Department of Energy
Brookhaven Site Office
53 Bell Avenue, Building 464
Upton, NY 11974-5000

7. ADMINISTERED BY *(If other than Item 6)* Code

8. NAME AND ADDRESS OF CONTRACTOR *(No. street, county, State and ZIP Code)*

Brookhaven Science Associates, LLC
25 Brookhaven Avenue
Building 460
Upton, New York 11973-5000

CODE N/A FACILITY CODE N/A

(✓)

9.A. AMENDMENT OF SOLICITATION NO.

9.B. DATED *(SEE ITEM 11)*

10.A. MODIFICATION OF Contract/Order NO.
DE-AC02-98CH10886

10.B. DATED *(SEE ITEM 13)*
01/05/1998

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

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

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

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

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

	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: *(Specify authority)* THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES *(such as changes in paying office, appropriation date, etc.)* SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(B).
X	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: **MUTUAL AGREEMENT OF THE PARTIES**
	D. OTHER *(Specify type of modification and authority*

E. IMPORTANT: Contractor ☐ is not, ☒ is required to sign this document and return 1 copies to the issuing office.

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

The purpose of this Modification is to Revise Clause I.104, Obligation of Funds; Revise Part III, Section J, Table of Contents; Add Attachment J.2, Appendix B, Performance Evaluation and Measurement Plan, FY 2007; Replacement of Attachment J.5, Appendix E, Key Personnel; Replacement of Attachment J.9, Appendix I, DOE Directives, and Add Attachment J.12, Appendix L, Computation of Fee 2007.

15A. NAME AND TITLE OF SIGNER *(Type or print)*	16A. NAME AND TITLE OF CONTRACTING OFFICER *(Type or print)*
John Hauser Chief Financial Officer	Robert P. Gordon Contracting Officer
15B. CONTRACTOR/OFFEROR — 15C. DATE SIGNED	16B. UNITED STATES OF AMERICA — 16C. DATE SIGNED
(Signature of person authorized to sign — 9/28/06	BY *(Signature of Contracting Officer)* — 9-28-06

Said contract, as modified previously, is hereby further modified as follows:

1. **Clause I.104 -** OBLIGATION OF FUNDS: The first sentence of paragraph (a) is revised to read as follows: "The amount presently obligated by the Government with respect to this Contract is $3,894,213,569.95."

   The following is a history of the change in the obligated amount since the last M Modification that updated Clause I.104.

PRIOR OBLIGATION M149	$ 3,867,465,879.63
INCREASE IN MOD A150	9,831,513.78
INCREASE IN MOD A151	10,596,857.11
INCREASE IN MOD A152	6,319,319.43
CURRENT TOTAL OBLIGATION:	$ 3,894,213,569.95

2. **Part III,** List of Documents, Exhibits and Other Attachments, Section J, Table of Contents is revised to reflect addition of the Performance Evaluation and Measurement Plan FY 2006 identified as "FY 2006 Mod M138" and Performance Evaluation and Measurement Plan FY 2007 identified as "FY 2007 Mod M153." Also to reflect addition of Computation of Fee 2006 identified as "FY 2006 Mod M138" and Computation of Fee 2007 identified as "FY 2007 Mod M153."

3. **Attachment J.2, Appendix B –** Add Performance Evaluation and Measurement Plan FY2007 identified as Modification M153.

4. **Attachment J.5, Appendix E** – Key Personnel is deleted in its entirety and replaced with the attached revised Key Personnel identified as Modification M153.

5. **Attachment J.9, Appendix I** – DOE Directives: DOE Directives identified as Modification M149 is deleted in its entirety and replaced with the attached Appendix I, identified as Modification M153.

6. **Attachment J.12, Appendix L** – Add Computation of Fee 2007 identified as Modification M153.

Attachments:

Part III, Section J, List of Documents, Exhibits and Other Attachments, Table of Contents
Section J. Attachment J.2, Appendix B - Performance Evaluation and Measurement Plan FY2007
Section J, Attachment J.5, Appendix E – Key Personnel
Section J, Attachment J.9, Appendix I - DOE Directives
Section J. Attachment J.12, Appendix L – Computation of Fee 2007

PART III

List of Documents, Exhibits and Other Attachments

Section J - List of Attachments

Table of Contents

Attachment No.	Attachment
J.1	Appendix A - Advance Understandings on Human Resources
J.2	Appendix B - Performance Evaluation and Measurement Plan • FY 2006 Mod M138 • FY 2007 Mod M153
J.3	Appendix C - Special Financial Institution Account
J.4	Appendix D - Budget Program
J.5	Appendix E - Key Personnel
J.6	Appendix F - Reserved
J.7	Appendix G - Purchasing System Requirements
J.8	Appendix H - FY '06 - Small Business Subcontracting Plan
J.9	Appendix I - DOE Directives/List B
J.10	Appendix J - Treaties and International Agreements/Waived Inventions
J.11	Appendix K - Reserved
J.12	Appendix L - Computation of Fee • FY 2006 Mod M138 • FY 2007 Mod M153
J.13	Appendix M - Contract Guidance for Preparation of Diversity Plan

U.S. Department of Energy

and

Brookhaven Science Associates, LLC

ATTACHMENT J.2

APPENDIX B

PERFORMANCE EVALUATION AND MEASUREMENT PLAN

FY 2007

BROOKHAVEN NATIONAL LABORATORY

TABLE OF CONTENTS

	Introduction	1
I	Determining The Contractor's Performance Rating And Performance-Based Fee	2
II	Performance Goals, Objectives & Performance Measures	8
III	Schedule	8

Goals, Objectives, Measures and Targets

1.0	**Provide For Efficient and Effective Mission Accomplishment**	**11**
1.1	Science and Technology Results Provide Meaningful Impact on the Field	11
1.2	Provide Quality Leadership in Science and Technology	12
1.3	Provide and sustain Science and Technology Outputs that Advance Program Objectives and Goals	13
1.4	Provide for Effective Delivery of Science and Technology	13
2.0	**Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Facilities**	**17**
2.1	Provide Effective Facility Design(S) as Required to Support Laboratory Programs	17
2.2	Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components	18
2.3	Provide Efficient and Effective Operation of Facilities	19
2.4	Effective Utilization of Facility(ies) to Grow and Support The Laboratory's Research Base	20
3.0	**Provide Effective and Efficient Science and Technology Program Management**	**24**
3.1	Provide Effective and Efficient Stewardship of Scientific Capabilities and Program Vision	25
3.2	Provide Effective and Efficient Science and Technology Project/Program Planning and Ongoing Management	26
3.3	Provide Efficient and Effective Communications and Responsiveness to Customer Needs	26
4.0	**Provide Sound and Competent Leadership and Stewardship of the Laboratory**	**33**
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	33
4.2	Provide for Responsive and Accountable Leadership Throughout the Organization	33
4.3	Provide Efficient and Effective Corporate Office Support as	34

Appropriate
5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection 35
5.1 Provide a Work Environment That Protects Workers and the Environment 35
5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environmental Management 35
5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention 37
6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s) 39
6.1 Provide an Efficient, Effective, and Responsive Financial Management System (s) 39
6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s) 40
6.3 Provide an Efficient, Effective, Responsive Human Resources Management System, and Diversity Program. 41
6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate 44
6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets 44
7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs 46
7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner That Optimizes Usage and Minimizes Life Cycle Costs 46
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support Future Laboratory Programs. 47
8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems 48
8.1 Provide an Efficient And Effective Emergency Management System 48
8.2 Provide an Efficient and Effective System for Cyber-Security 49
8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property 49
8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information 50

INTRODUCTION

This document, the Performance Evaluation and Measurement Plan (PEMP), primarily serves as DOE's Quality Assurance/Surveillance Plan (QASP) for the evaluation of Brookhaven Science Associates (hereafter referred to as "the Contractor") performance regarding the management and operations of the Brookhaven National Laboratory (hereafter referred to as "the Laboratory") for the evaluation period from October 1, 2006, through September 30, 2007. The performance evaluation provides a standard by which to determine whether the Contractor is managerially and operationally in control of the Laboratory and is meeting the mission and requirement performance expectations/objectives of the Department as stipulated within this contract.

This document also describes the distribution of the total available performance-based fee and the methodology for determining the amount of fee earned by the Contractor as stipulated within the Prime Contract clauses entitled, "Performance Based Management and Oversight," "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 fee earned (if any) will be determined.

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

I. DETERMINING THE CONTRACTOR'S PERFORMANCE RATING AND PERFORMANCE-BASED FEE

The FY 2007 Contractor performance grades will be determined based on the weighted sum of the individual scores earned for each of the Goals described within this document for Science and Technology and for Management and Operations (see Table A below). No overall rollup grade will be provided. Performance evaluations shall be measured and graded at the Objective level, which rollup to provide the performance evaluation determination for each Goal. Performance evaluations will be rolled up for an overall grade for Science and Technology and for Management and Operations. The rollup of the performance of each Goal will then be utilized to determine the overall Contractor performance grade for Science and Technology and Management and Operations. The total overall points derived for Science and Technology will be utilized to determine the amount of available fee that may be earned (see Table C). The overall points 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 2007. 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.
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.

Letter Grade	Numeric Grade	Definition
C-	1.7 – 1.1	Most expectations as set by the performance measures are not met and/or other major deficiencies are identified which have or will negatively impact the Objective or overall Laboratory mission accomplishment if not immediately corrected.
D	1.0 – 0.8	Most or all expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have negatively impacted the Objective and/or overall Laboratory mission accomplishment.
F	0.7 – 0	All expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have significantly impacted both the Objective and the accomplishment of the Laboratory mission.

Figure I-1. Letter Grade and Numerical Score Definitions

Calculating Individual Goal Scores and Letter Grade:
Each Objective is assigned the earned numerical score by the evaluating office as stated above. The Goal rating is then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values are then added together to develop an overall score for each Goal. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. Utilizing Table A, below, the scores for each of the Science and Technology (S&T) Goals and Management and Operations (M&O) Goals are then multiplied by the weight assigned and these are summed to provide an overall score for each. The total score for Science and Technology and Management and Operations is compared to the letter grade scale found in Table B, below, to determine the overall S&T and M&O grades for FY 2007.

The raw score (rounded to the nearest hundredth) 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 identifying the overall letter grade as indicated in Table B and for utilization in 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[1]	Numerical Score	Letter Grade	Weight	Weighted Score	Total Score
1.0 Mission Accomplishment			TBD%		
2.0 Construction and Operations of User Research Facilities and Equipment			TBD%		
3.0 Science and Technology Research Project/Program Management			TBD%		
				Total Score	
M&O Performance Goal	**Numerical Score**	**Letter Grade**	**Weight**	**Weighted Score**	**Total Score**
4.0 Leadership and Stewardship of the Laboratory			25%		
5.0 Integrated Safety, Health, and Environmental Protection			20%		
6.0 Business Systems			20%		
7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio			15%		
8.0 Integrated Safeguards and Security Management and Emergency Management Systems			20%		
				Total Score	

Table A. FY 2007Contractor Evaluation Score Calculation

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

Table B. FY 2007 Contractor Letter Grade Scale

Determining the Amount of Performance-Based Fee Earned:
The percentage of the available performance-based fee that may be earned by the Contractor shall be determined based on the overall weighted score for the S&T Goals (see Table A. above) and then compared to Table C. 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 2007 as calculated within Table D.

[1] Weightings will be determined following the end of the evaluation period based on the sum of each Program offices relevance weighting for each Goal multiplied by the percentage of FY 2007 Budget Authority for each.

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

Table C. - Performance-Based Fee Earned Scale

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

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

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

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

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

II. PERFORMANCE GOALS, OBJECTIVES & PERFORMANCE MEASURES

Background

The current performance-based management approach to oversight within DOE has established a new culture within the Department with emphasis on the customer-supplier partnership between DOE and the laboratory contractors. It has also placed a greater focus on mission performance, 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 2007

III. Schedule

In order to clearly define the path forward, the following generic schedule is presented as a guide. BSA and DOE acknowledge that the nature of the processes involved demands flexibility in the schedules.

FY 2007 Performance Evaluation Schedule

October:

- October 1 - BSA initiates the Self-Evaluation process for the **Completed Fiscal Year**.

- Third week in October - Conduct the Fourth Quarter status review for the **Completed Fiscal Year.**

November:

- November 15 - BSA submits its Annual Self-Evaluation Report to DOE for the **Completed Fiscal Year.**
- November 15 – SC HQ, AD and other customer input due to BHSO Manager.

December:

- BHSO sends draft Performance Appraisal Report to BSA for review.

January:

- January 15 - DOE transmits its draft Performance Appraisal Report for the **Completed Fiscal Year** to SC HQ.
- January 31 – Annual SC Lab Appraisal Meeting and presentation to SC-1. SC HQ reviews Annual Performance Appraisal and approves report and fee to be awarded.
- Conduct the First Quarter status review for the **Current Fiscal Year.**

February:

- DOE transmits the final DOE Annual Performance Appraisal Report for the **Completed Fiscal Year** to BSA.

April:

- Conduct the Mid-year (Second Quarter) status review for the **Current Fiscal Year**.

May:

- DOE and BSA begin drafting the Measures and Targets for the **Succeeding Fiscal Year.**

June:

- DOE/BSA Management Retreat to assess customer strategic needs, and refine the Measures/Targets for the **Succeeding Fiscal Year**.
- June 30 - DOE and BSA will have developed a workable draft of the Measures/Targets for the **Succeeding Fiscal Year**.

July:

- Conduct the Third Quarter status review for the **Current Fiscal Year**.

August:

- August 1 - BSA submits its final draft of the Measures/Targets to BHSO.
- August 15 - BHSO sends its final draft to DOE/SC.

- SC Program ADs and Site Office Managers meet to review PEMP for **Succeeding Fiscal Year**.

September:

- September 1 – BHSO submits draft PEMP for **Succeeding Fiscal Year** to SC HQ for review/approval.
- September 15 – SC Review Board Meeting to concur/approve PEMPs for the **Succeeding Fiscal Year**.
- September 30 - The Goals, Objectives, Measures and Targets for the **Succeeding Fiscal Year** will be ready to be incorporated into DOE's Prime Contract with BSA.

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). 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 2007.

- Office of Science (SC) (TBD%)
- Office of Defense Nuclear Nonproliferation (DNN) (TBD%)
- Department of Homeland Security (DHS) (TBD%)
- Assistant Secretary for Energy Efficiency and Renewable Energy (EERE) (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.

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 Science and Technology Outputs that Advance Program Objectives and Goals

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

- The number of publications in peer-reviewed journals;
- The quantity of output from experimental and theoretical research; and
- Demonstrated progress against peer reviewed recommendations, headquarters guidance, etc.

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

Note: The numerical grade for “Pass” is 4.3 and for “Fail” it is 0.7

1.4 Provide for Effective Delivery of Science and Technology

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

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

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

Note: The numerical grade for “Pass” is 4.3 and for “Fail” it is 0.7

Science Program Office[2]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Advanced Scientific Research					
1.1 Impact			40%		
1.2 Leadership			30%		
1.3 Output			15%		
1.4 Delivery			15%		
				Overall ASCR Total	
Office of Basic Energy Sciences					
1.1 Impact			50%		
1.2 Leadership			20%		
1.3 Output			15%		
1.4 Delivery			15%		
				Overall BES Total	
Office of Biological and Environmental Research					
1.1 Impact			30%		
1.2 Leadership			20%		
1.3 Output			20%		
1.4 Delivery			30%		
				Overall BER Total	
Office of High Energy Physics					
1.1 Impact			30%		
1.2 Leadership			30%		
1.3 Output			30%		
1.4 Delivery			10%		
				Overall HEP Total	
Office of Nuclear Physics					
1.1 Impact			40%		
1.2 Leadership			30%		
1.3 Output			15%		
1.4 Delivery			15%		
				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			25%		
1.2 Leadership			30%		
1.3 Output			30%		
1.4 Delivery			15%		
				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[3]

HQ Program Office[4]	Letter Grade	Numerical Score	Weight	Weighted Score	Overall Score
Office of Defense Nuclear Nonproliferation					
1.1 Impact			25%		
1.2 Leadership			25%		
1.3 Output			25%		
1.4 Delivery			25%		
				Overall DNN Total	
Department of Homeland Security					
1.1 Impact			25%		
1.2 Leadership			25%		
1.3 Output			25%		
1.4 Delivery			25%		
				Overall DHS Total	

[3] 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 2007.

[4] 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			25%		
1.2 Leadership			25%		
1.3 Output			25%		
1.4 Delivery			25%		
				Overall EERE 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[5]

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

[5] 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 2007.

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 2007.

- Office of Science - Basic Energy Sciences (BES) (TBD %)
- Office of Science - Biological and Environmental Research (BER) (TBD %)
- Office of Science - High Energy Physics (HEP) (TBD %)
- Office of Science - Nuclear Physics (NP) (TBD %)

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, 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, 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, The facility operates at steady state, on cost and on schedule, but the reliability of performance is somewhat below planned values, **or** find next 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. The facility operates somewhat below steady state, on cost and on schedule, and the reliability performance is somewhat below planned values, **or** the facility operates at steady state, but the schedule and costs associated exceed planned values. Commitment to ES&H is satisfactory.
F	The facility fails to operate; the facility operates well below steady state **and/or** the reliability of the performance is well below planned values.

2.4 Utilization of Facility to Grow and Support 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 an/or reach out to external users.
C	Reviews state that the laboratory has made satisfactory use of the facility, but has not demonstrated much innovation.
D	Few facility users, with none using it in novel ways; research base is very thin.
F	Laboratory does not know how to operate/use its own facility adequately.

Science Program Office	Letter Grade	Numerical Score	Weight [1]	Weighted Score	Overall Score
Office of Science - Basic Energy Sciences (BES)					
2.1 Provide Effective Facility Design(s)			30%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			20%		
2.3 Provide Efficient and Effective Operation of Facilities			40%		
2.4 Effective Utilization of Facility(ies) to Grow and Support the Laboratory's Research Base			10%		
				Overall BES Total	
Office of Science - Biological and Environmental Research (BER)					
2.1 Provide Effective Facility Design(s)			0%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			0%		
2.3 Provide Efficient and Effective Operation of Facilities			90%		
2.4 Effective Utilization of Facility(ies) to Grow and Support the Laboratory's Research Base			10%		
				Overall BER Total	
Office of Science - High Energy Physics (HEP)					
2.1 Provide Effective Facility Design(s)			20%		
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			80%		
2.3 Provide Efficient and Effective Operation of Facilities			0%		
2.4 Effective Utilization of Facility(ies) to Grow and Support the Laboratory's Research Base			0%		
				Overall HEP Total	
Office of Science - Nuclear Physics (NP)					
2.1 Provide Effective Facility			0%		

Design(s)					
2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components			10%		
2.3 Provide Efficient and Effective Operation of Facilities			80%		
2.4 Effective Utilization of Facility(ies) to Grow and Support the Laboratory's Research Base			10%		
				Overall NP Total	

Table 2.1 – 2.0 Program Office Goal Score Development

HQ Program Office	Letter Grade	Numerical Score From Table 1.1	Funding Weight (BA) [2]	Weighted Score	Overall Weighted Score
Office of Science - Basic Energy Sciences (BES)			TDB%		
Office of Science - Biological and Environmental Research (BER)			TDB%[1]		
Office of Science - High Energy Physics (HEP)			TDB%		
Office of Science - Nuclear Physics (NP)			TDB%		
				Goal 2.0 Total	

Table 2.2 – Overall 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 2.3 – 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.

[1] Overall Objective weighting is determined based on the averaged SC Program Office weightings according to the percentage of BA for each.

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). 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 2007 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%)
- Assistant Secretary for Energy Efficiency and Renewable Energy (EERE) (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.

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			30%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			30%		
				Overall ASCR Total	
Office of Basic Energy Sciences					
3.1 Effective and Efficient Stewardship			40%		
3.2 Project/Program Planning and Management			30%		
3.3 Communications and Responsiveness			30%		
				Overall BES Total	
Office of Biological and Environmental Research					
3.1 Effective and Efficient Stewardship			20%		
3.2 Project/Program Planning and Management			30%		
3.3 Communications and Responsiveness			50%		
				Overall BER Total	
Office of High Energy Physics					
3.1 Effective and Efficient Stewardship			40%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			20%		
				Overall HEP Total	
Office of Nuclear Physics					
3.1 Effective and Efficient Stewardship			40%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			20%		
				Overall NP Total	
Office of Workforce Development for Teachers and Scientists					
3.1 Effective and Efficient Stewardship			20%		
3.2 Project/Program Planning and Management			40%		
3.3 Communications and Responsiveness			40%		
				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%		

[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 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			34%		
3.2 Project/Program Planning and Management			33%		
3.3 Communications and Responsiveness			33%		
				Overall DNN Total	
Department of Homeland Security					
3.1 Effective and Efficient Stewardship			34%		
3.2 Project/Program Planning and Management			33%		
3.3 Communications and Responsiveness			33%		
				Overall DHS Total	
Assistant Secretary for Energy Efficiency and Renewable Energy					
3.1 Effective and Efficient Stewardship			34%		
3.2 Project/Program Planning and Management			33%		
3.3 Communications and Responsiveness			33%		
				Overall EERE Total	

[2] 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 2007.

[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.

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]

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] 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 2007.

Attachment I

Program Office Goal & Objective Weightings

Office of Science

		ASCR	BES	BER	HEP	NP	WDTS
		Weight	**Weight**	**Weight**	**Weight**	**Weight**	**Weight**
Goal #1 Mission Accomplishment							
	Goal's weight	80%	30%	**50%**	50%	40%	65%
1.1 Impact (significance)		40%	50%	**30%**	30%	40%	25%
1.2 Leadership (recognition of S&T accomplishments)		30%	20%	**20%**	30%	30%	30%
1.3 Output (productivity) (pass/fail)		15%	15%	**20%**	30%	15%	30%
1.4 Delivery (pass/fail)		15%	15%	**30%**	10%	15%	15%
Goal #2 Design, Fabrication, Construction and Operation of Facilities							
	Goal's weight	0%	50%	**25%**	10%	40%	0%
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)			30%	**0%**	20%	0%	
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)			20%	**0%**	80%	10%	
2.3 Operation of Facility			40%	**90%**	0%	80%	
2.4 Utilization of Facility to Grow and Support Lab's Research Base			10%	**10%**	0%	10%	
Goal #3 Program Management							
	Goal's weight	20%	20%	**25%**	40%	20%	35%
3.1 Stewardship of Scientific Capabilities and Programmatic Vision		30%	40%	**20%**	40%	40%	20%
3.2 Program Planning and Management		40%	30%	**30%**	40%	40%	40%
3.3 Program Management-Communication & Responsiveness (to HQ)		30%	30%	**50%**	20%	20%	40%

Attachment I

Program Office Goal & Objective Weightings

All Other Customers [1]

	DNN Weight	DHS Weight	EERE Weight
Goal #1 Mission Accomplishment			
Goal's weight	50%	50%	50%
1.1 Impact (significance)	25%	25%	25%
1.2 Leadership (recognition of S&T accomplishments)	25%	25%	25%
1.3 Output (productivity) (pass/fail)	25%	25%	25%
1.4 Delivery (pass/fail)	25%	25%	25%
Goal #2 Design, Fabrication, Construction and Operation of Facilities			
Goal's weight	0%	0%	0%
2.1 Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2)	0%	0%	0%
2.2 Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4)	0%	0%	0%
2.3 Operation of Facility	0%	0%	0%
2.4 Utilization of Facility to Grow and Support Lab's Research Base	0%	0%	0%
Goal #3 Program Management			
Goal's weight	50%	50%	50%
3.1 Stewardship of Scientific Capabilities and Programmatic Vision	34%	34%	34%
3.2 Program Planning and Management	33%	33%	33%
3.3 Program Management-Communication & Responsiveness (to HQ)	33%	33%	33%

[1] Goal and Objective weightings have been set by the Site Office and are preliminary. Final Goal and Objective weightings will be incorporated, as appropriate, once they are determined by each HQ Program Office and provided to BHSO. Should a HQ Program Office fail to provide final Goal and Objective weightings before the end of the first quarter FY 2007 the preliminary weightings provided shall become final.

<u>Goal 4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory</u> - 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 25%.

Objective 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.

The weight of this Objective is 30%.

Measure 4.1.1
BSA will deliver and implement effective integrated strategy to sustain the viability of BNL as a leading scientific institution into the foreseeable future.

Target 4.1.1.1
BSA will demonstrate that it is managing to the strategic agenda of the laboratory through management actions and plans (e.g., Strategic Research Partnerships, Annual Laboratory Plan).

Target 4.1.1.2
BSA will maintain effective communication with the Laboratory's many communities about the mission of the Office of Science, the Laboratory's scientific and technological achievements, and the priority initiatives as articulated in the Strategic Plan.

Objective 4.2 – Provide for Responsive and Accountable Leadership throughout the Organization.

The weight of this Objective is 40%.

Measure 4.2.1
Corporate Leadership - BSA is responsible and accountable for Laboratory performance.

Target 4.2.1.1

BSA will maintain and demonstrate effective processes to hold Laboratory management accountable for performance, including self-assessment and corporate-led assurance.

Target 4.2.1.2
BSA Corporate elements will engage constructively with Laboratory management to fully understand and, where necessary, assist in resolution of Laboratory issues.

Objective 4.3 - Provide Efficient and Effective Corporate Support as Appropriate.

The weight of this Objective is 30%.

Measure 4.3.1
BSA Corporate will provide resources to demonstrate its commitment to the success of BNL.

Target 4.3.1.1
Tangible resources will be provided by BSA Corporate to facilitate BNL objectives.

Consideration will be given to the strategic impact and the magnitude of corporate support, which may be in any form, such as:

- Enhancing relationships with state and local entities.
- Assuring leadership positions are filled in a timely manner.
- Leveraging agreements with external partners.
- Assisting with infrastructure improvement opportunities.
- Establishing joint appointments that are aligned with the strategic objectives of the Lab.
- Providing staff, expert advice, management systems, or similar assistance to achieve BNL objectives.

ELEMENT	Letter Grade	Numerical Score	Objective Weight	Total Points	Total Points
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			30%		
4.2 Provide for Responsive and Accountable Leadership throughout the Organization			40%		
4.3 Provide Efficient and Effective Corporate Office Support as Appropriate			30%		
				Goal 4.0 Total	

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

THE CONTRACTOR PROTECTS THE SAFETY AND HEALTH OF THE DOE CONTRACTOR WORKFORCE, SUBCONTRACTORS, THE COMMUNITY, AND THE ENVIRONMENT IN ALL DOE-SPONSORED WORK AT THE SITE, AND 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 20%.

Objective 5.1 - Provide a Work Environment that Protects Workers and the Environment

The weight of this Objective is 20%.

Measure 5.1.1
BSA will demonstrate progress in achieving and maintaining "best in class" safety and health performance

Target 5.1.1.1
BSA will improve safety performance as measured by the days away, restricted or transferred case rate.
Expectation: BSA will meet the Office of Science FY 2007 goal of 0.25 cases per 200,000 hours worked

Target 5.1.1.2
BSA will improve safety performance as measured by the OSHA total recordable case rate.
Expectation: BSA will meet the Office of Science FY 2007 goal of 0.65 cases per 200,000 hours worked

Objective 5.2 - Provide Efficient and Effective Implementation of Integrated Safety, Health and Environmental Management

The weight of this Objective is 60%.

Measure 5.2.1
BSA will implement, maintain, and continually improve an integrated safety management system that:

- Clearly states environmental and occupational health and safety (ESH) policies, programs and objectives appropriate for BNL operations,

- Identifies ES&H risks and legal requirements,
- Takes a proactive approach to ES&H risks and involves employees in the development and implementation of procedures,
- Controls or eliminates ES&H risks to prevent accidents,
- Monitors environmental management system (EMS) and occupational safety and health management (OSH) system performance, and
- Ensures continual review, evaluation, and improvement of the system.

BHSO will evaluate the achievement of these objectives, measures and targets through their oversight and assessment activities.

Target 5.2.1.1
Work Planning and Control - Verify that the criteria used to clarify when skill-of-the-worker is to be used and for integrating hazards analysis requirements into skill-of-the-worker determinations have been implemented and are functioning as designed.

Target 5.2.1.2
Work Planning and Control - Integrate the use of job risk assessments and human performance into work planning and control practices: this includes the use of error precursors in the hazard analysis processes and pre-job briefings.

Target 5.2.1.3
Work Planning and Control - Establish and implement Laboratory-wide training and qualification requirements for work control managers and coordinators and qualify work control managers and coordinators.

Target 5.2.1.4
BSA will implement a safety observation process for Level 1, 2, and 3 managers. Expectations for the implementation and performance of the process will be directed by the Laboratory Director and will include:

- training for Level 1, 2 and 3 managers as appropriate
- expectations for the frequency and quality of field observations
- documentation of field observations
- dispositioning field observations and follow through tracking and trending of observation results

Target 5.2.1.5
Verify the completion of all corrective actions described in the ISM/Safety Improvement Plan related to "Evolve institutional performance and risk analysis to improve feedback to institutional decision-making". BSA will demonstrate, from a selected set of completed actions, the effectiveness of the corrective actions and improvements implemented to prevent recurrence – 3rd quarter FY 2007. At a minimum, the selection will include all associated actions within "Renew Events/Issues Management."

Measure 5.2.2
ISO 14001 EMS and OHSAS 18001 Certification - BSA has acquired and maintained third-party certifications for the Environmental Management System (ISO 14001:2004) and the Occupational Safety and Health Management System (OHSAS 18001). These external certifications provide credibility and rigor to the implementation of the systems.

Target 5.2.2.1
Since many of the components of the BNL Environmental and OHS Management Systems are mandatory for maintaining registration, a simple measure of the robustness of these systems is the ability to maintain current certifications. Consequently, for this measure BNL shall maintain external certification of the Environmental Management System and Occupational Safety and Health Management System.

- Environmental Management System recertified to the ISO 14001:2004 standard by third party auditor.
- Occupational Safety & Health Management System recertified to the OHSAS 18001 standard by third party auditor.

Objective 5.3 – Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention.

The weight of this Objective is 20%.

Measure 5.3.1
Legacy Environmental Projects - Over the past three years, good progress has been achieved identifying existing known environmental liabilities that are not included in the EM baseline, prioritizing the projects based on environmental and potential human health risks, and preparing high-level planning documents for some of the highest priority projects. To support more detailed planning and actions to address these projects, it is important that the risks and uncertainties are fully understood and communicated.

Target 5.3.1.1 Risk Screening/Assessment - Develop and implement a strategy to reduce the risks and uncertainty associated with the highest priority projects. To accomplish this, the following will be implemented:

- An initial risk screening and prioritization will be completed for all of the legacy environmental projects identified.
- A more detailed risk assessment will then be completed on the top four priority projects which would include key information on ways to eliminate or mitigate risks associated with each project.
- This information will be used to revise the ADSs for the top four priority projects, including development of phased cost estimates

for initial risk mitigation and ultimate disposal and/or D&D activities.

Target 5.3.1.2
Management Awareness and Communication - Once the risk assessments are completed, BSA management will be made aware of the results and a communications strategy will be developed.

- The information will be communicated to management on a schedule that ensures it is considered during the risk ranking process of Project, Planning, Programming and Budgeting Process (3PBP).
- A strategy and approach will be developed to communicate these issues to external stakeholders.

Measure 5.3.2
Nuclear Materials Disposition - Implementation of the Nuclear Materials Disposition Plan removes excess and un-needed nuclear materials and sources from BNL resulting in lower risk, reduced security concerns, and fewer administrative requirements related to maintaining these materials.

Target 5.3.2.1
Dispose of additional un-needed nuclear materials and sources and update documentation to identify programmatic need or lack thereof.

- Dispose or recycle all Thorium, Natural and Depleted Uranium and Pu-238 materials in the custody of the Isotopes and Special Materials Group that does not have an immediate and well-defined current (FY 2007), near future (early FY 2008) programmatic need or strategic value. Amend the Excess/Legacy Radiological Material report database to add a description of the project, routine activity, or research activity for which each remaining item is being retained, or a cost estimate for disposal of the material if funding is not sufficient to clear all excess items.

Measure 5.3.3
Pollution Prevention - BSA has maintained an active Pollution Prevention (P2) program and has provided overhead funding for projects with good return-on-investments. This program has had significant positive results in terms of reduced waste generation and cost savings. In FY 2007, P2 implementation funds have been zeroed out due to flat or declining budgets in ESHQ. In order to sustain this important program, it is proposed that line organizations will fund P2 projects that make economic sense and support BNL environmental stewardship goals.

Target 5.3.3.1
Each Directorate shall prepare a Pollution Prevention proposal and shall evaluate that proposal for internal funding. These proposals may address hazardous, radioactive or industrial wastes and may include efforts in

energy conservation, office recycling, or management of electronic wastes.

- By December 31 each Directorate shall submit one P2 proposal to the P2 council for evaluation of applicability and viability.
- By January 31 each Directorate will evaluate the proposal including preparing detailed cost estimates and calculation of a return-on-investment. Any proposal that results in a payback period of less than 3 years shall be made part of the FY 2008 budgeting process for funding consideration.
- By September 30 each Directorate shall prepare a full description of the proposed project, the source of funding for the coming year and provide a rough schedule for implementation. If a P2 proposal is not funded the organization shall provide justification as to why the proposal was not chosen for funding.

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			20%		
5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management			60%		
5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention			20%		
				Goal 5.0 Total	

<u>Goal 6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of Laboratory Missions</u>
THE CONTRACTOR SUSTAINS AND ENHANCES CORE BUSINESS SYSTEMS THAT PROVIDE EFFICIENT AND EFFECTIVE SUPPORT TO LABORATORY PROGRAMS AND ITS MISSIONS.

The weight of this Goal is 20%.

Objective 6.1 - Provide an Efficient, Effective, and Responsive Financial Management System(s).

The weight of this Objective is 30%.

Measure 6.1.1
The effectiveness of the Financial Management System as validated by internal and external audits and reviews.

Target 6.1.1.1
Results of internal and external audits conducted by BSA's implementation of OMB Circular A-123, Internal Audits, DOE, GAO and external organizations demonstrate adequate control over unallowable costs and adequate internal controls.

Measure 6.1.2
The continual improvement of the Financial Management System through the monitoring of audit and review results, self-assessments/internal performance measures, and other information.

Target 6.1.2.1
Quarterly, CFO demonstrates improvements to financial system through self assessment process which takes into account recommendations from internal and external reviewers as well as self-identified improvements. Also actions taken to address issues in the management system during normal operations.

Measure 6.1.3
The Financial Management System meets performance expectations.

Target 6.1.3.1
The Financial Management System processes will meet the following expectations:

- Timely annual budget submission (FWPs)
- Budget execution - successful month-end and year-end closings
- Day-to-day utilization of system for reporting to DOE and Lab management

Measure 6.1.4
BSA will exercise effective management of costs (direct and indirect).

Target 6.1.4.1
Effective cost management will be measured by:

- Generation of revenue and cost projections
- Management and control of overhead and support costs
- Generation of variance analyses.

Objective 6.2 - Provide Efficient, Effective, and Responsive Acquisition and Property Management Systems.

The weight of this Objective is 25%.

Measure 6.2.1
The following items will be considered in determining the performance level of effective and efficient Acquisition and Property Management Systems:

- The continued certification of the procurement and property systems
- Meeting the needs of the internal and external customers
- The establishment and maintenance of appropriate internal controls
- The continuous improvement of the acquisition and property management systems in accordance with audits, reviews, strategic and corrective action plans
- The development of responsible corporate citizenship by establishing desirable business practices
- The continuous professional development of staff including awareness of acquisition and property management processes and procedures.

The overall evaluation of the measure may also consider any other relevant information directly or indirectly related to the acquisition and property management systems that provide evidence (either positive or negative) of the effectiveness/efficiency of the contractor in meeting the performance objective.

Target 6.2.1.1
The performance target will be the summary result of the laboratory's Procurement Balanced Scorecard self-assessment that has been verified and validated by DOE. The summary result must range from 3.1 to 3.4 in order to receive a B+ rating.

Target 6.2.1.2
The performance target will be the summary result of the laboratory's Property Balanced Scorecard self-assessment that has been verified and validated by DOE. The summary result must range from 3.1 to 3.4 in order to receive a B+ rating.

Objective 6.3 - Provide an Efficient, Effective, Responsive Human Resources Management System, and Diversity Program.

The weight of this Objective is 20%.

Measure 6.3.1
Effectiveness of HR systems/processes/services as validated through the use of a customer service survey.

Target 6.3.1.1
Customer feedback is between 3.5 and 4.0 on a five-point scale (with 5 highest), or

Action plans are implemented and measurable progress/action taken.

Measure 6.3.2
One major system or two processes are reviewed annually.

Target 6.3.2.1
Analysis against baseline data validates effective system/process, or Demonstration that system/process is clearly improved.

Measure 6.3.3
Success in attraction/retention of highly qualified employees.

Target 6.3.3.1
Acceptance rate for all new hires of 85%.

Target 6.3.3.2
Percent of terminating employees with the two highest performance levels (DP and CP) is 10% less than the percentage of the overall population with those two performance levels.

Measure 6.3.4
Demonstrate effective compensation management through high quality job documentation.

Target 6.3.4.1
Validate and update 90% of the job classifications on the Technical Monthly and Engineer/Scientific Associate Salary Schedules.

Measure 6.3.5
Demonstrate effective benefits management.

Target 6.3.5.1
Demonstrate proactive efforts in monitoring effectiveness of benefit plans.

Measure 6.3.6
Track employee participation in cultural awareness and Special Emphasis Month activities and events and grant credit in the HR Training system.

Target 6.3.6.1
For every hour of participation in cultural or Special Emphasis Month activities/events employees will receive ¼ hour of diversity training credit, not to exceed one hour of training credit in any fiscal year. The goal is to have 10% of the Laboratory workforce participate in cultural or Special Emphasis Month activities or events in FY 2007 using the new credit monitoring approach. Employees/participants will be asked to complete a Training Evaluation form for each activity or event to measure feedback.

Measure 6.3.7
Complete the recommendations of the Hewitt Diversity Emphasis Study.

Target 6.3.7.1
Complete 50% of the outstanding recommendations from the Hewitt Diversity Emphasis Study in FY 2007. Design a quarterly Diversity Newsletter that highlights the Laboratory's workforce demographics.

Target 6.3.7.2
Develop Section II of a tool to address diversity management accountability of Lab Managers and link to the performance appraisal process. Section II of the Diversity Engagement Practices (DEP) checklist should include 10 additional items to address diversity management practices. Section II of the DEP checklist will be reviewed by the Diversity Management Steering Council (DMSC) and Policy Council. 85% of Level I Managers will complete 100% of the items contained in Section I of the DEP checklist.

Measure 6.3.8
Success in delivery of diversity educational awareness with Laboratory wide participation in FY 2008.

Target 6.3.8.1
Achieve 75% of Basic Energy Science (BES) employee participation in FY 2007.

Target 6.3.8.2
Achieve 50% Lab-wide employee participation in FY 2007.

Measure 6.3.9
Plan and execute a recruitment program aligned with the Lab's Science &Technology strategic goals.

Target 6.3.9.1
Establish partnerships with recruitment personnel at six (6) additional Historically Black Colleges and Universities (HBCUs) or Minority Serving Institutions (MSIs). Report at least one measure of success resulting from partnerships with the initial six (6) HBCUs.

Target 6.3.9.2
Strengthen partnerships with recruitment personnel at the six (6) BSA colleges and universities

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

The weight of this Objective is 15%.

Measure 6.4.1
BSA will demonstrate efficient and effective business management systems, aside from the ones addressed in the Goal's other objectives, as validated by utilization and audit/assessment/benchmarking that drives continual improvement as appropriate.

Target 6.4.1.1
Based on the FY 2006 Third Party review of Independent Oversight, BSA will work with BHSO in evaluating the results and the development of improvement actions. Additionally, BSA will put together an independent Third Party Team, to review the effectiveness of the internal audit function in accordance with professional internal auditing standards. The Team will be put together within the first & second quarter and the review will take place in time to initiate actions. The Team will articulate whether or not the function is effective, efficient and responsive and/or needs improvement.
Where improvement is necessary, the team will identify those areas for improvement and BSA will respond in a timely manner to address necessary improvement action.

Target 6.4.1.2
In fiscal year 2006 BSA used a third party review team, to assess the Quality Assurance Program. The team made several recommendations for the improvement of BNL's Quality Assurance Program. In FY 2007 an assessment will be performed to evaluate . the effectiveness , and responsiveness towards implementing the recommendations of the 2006 review.

Target 6.4.1.3
Through the use of a third party, The Hackett Group, BSA will conduct a follow up study of the IT Business Systems originally benchmarked in FY 2003. This Study will take the FY 2003 IT Business System portion of the study and evaluate the effectiveness of the current IT Business Systems.

Objective 6.5 - Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets.

The weight of this Objective is 10%.

Measure 6.5.1
BSA exercises proper stewardship of intellectual assets and Laboratory owned or originated technology.

Target 6.5.1.1
BSA will report new inventions to DOE, filing U.S. and, where appropriate, foreign patent applications to create intellectual property assets. The Laboratory provides DOE with all intellectual property related reports and documents.

Measure 6.5.2
BSA created/generated technology transfer and deployment activities (e.g., licenses, option agreements) have impacted the market.

Target 6.5.2.1
BSA will operate its licensing program to identify inventions with commercial potential and to license at least 25% of these inventions to industry. BSA will provide incentives to its Licensees to invest in the development and deployment of licensed technologies.

Measure 6.5.3
BSA effectively communicates how to transfer technology to Laboratory researchers and potential licensees.

Target 6.5.3.1
BSA will conduct periodic intellectual property seminars in research departments and divisions as appropriate. Also, prospective licensees will be identified through market research and receive targeted licensing opportunities packages.

Measure 6.5.4
BSA realizes net revenue from its deployment of intellectual assets.

Target 6.5.4.1
BSA will operate its Licensing Program at a cost less than 25% of gross revenue, resulting in a significant share of licensing revenue being returned to the Laboratory.

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)			30%		

6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s)			25%		
6.3 Provide an Efficient, Effective, Responsive Human Resources Management System, and Diversity Program			20%		
6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate			15%		
6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets			10%		
				Goal 6.0 Total	

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

THE CONTRACTOR PROVIDES APPROPRIATE PLANNING FOR LABORATORY FACILITIES AND INFRASTRUCTURE NEEDS REQUIRED TO EFFICIENTLY AND EFFECTIVELY CARRY OUT CURRENT AND FUTURE S&T PROGRAMS, AND MANAGES DOE FACILITIES AND INFRASTRUCTURE IN A COST EFFECTIVE MANNER THAT ENSURES THEIR SAFE AND RELIABLE OPERATION CONSISTENT WITH PROGRAM MISSIONS NEEDS AND DOE STEWARDSHIP REQUIREMENTS.

The weight of this Goal is 15%.

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

The weight of this Objective is 50%.

Measure 7.1.1
The management of real property assets to maintain effective operational safety, worker health, environmental protection and compliance, property preservation, and cost effectiveness while meeting program missions, through effective facility utilization, maintenance and budget execution.

Target 7.1.1.1
Maintain balanced priorities through effective utilization of the BNL Project, Planning, Programming and Budgeting Process (3PBP) project tracking and prioritization process. Have the Consolidated Unfunded

Requirements List (CURL) funded projects approved by the BNL Policy Council in a timely manner.

Measure 7.1.2
The maintenance and renewal of building systems, structures and components associated with the Laboratory's facility and land assets.

Target 7.1.2.1
BSA will maintain reliable electrical and building infrastructure. (Use existing infrastructure reliability index)

Target 7.1.2.2
The Laboratory's Maintenance Investment Index will meet DOE goals of MII $\geq$ 2.0.

Target 7.1.2.3
The Laboratory's Deferred Maintenance Reduction expenditures will meet DOE proposed target for FY 2007.

Objective 7.2 - Provide Planning for and Acquire the Facilities and Infrastructure Required to Support Future Laboratory Programs.

The weight of this Objective is 50%.

Measure 7.2.1
Integration and alignment of the Ten Year Site Plan to the Laboratory's comprehensive strategic plan.

Target 7.2.1.1
BNL's Ten Year Site Plan is aligned with BNL's Business Plan. BNL's Project, Planning, Programming and Budgeting Process (3PBP) outcomes (e.g., projects approved by Policy Council) are aligned with BNL Business Plan. BNL will continue to study electric power supply options beyond the current three-year NYPA contract.

Measure 7.2.2
Efficiency in meeting Cost and Schedule Performance Index for construction projects (when appropriate).

Target 7.2.2.1
BSA manages Line Item and GPP projects effectively to agreed scope, schedule, obligation and cost baselines using agreed upon Project Management measures.

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 an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs			50%		
7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs			50%		
				Goal 7.0 Total	

<u>Goal 8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems</u>
THE CONTRACTOR SUSTAINS AND ENHANCES THE EFFECTIVENESS OF INTEGRATED SAFEGUARDS AND SECURITY AND EMERGENCY MANAGEMENT THROUGH A STRONG AND WELL DEPLOYED SYSTEM. COMMENSURATE, TO THE GREATEST DEGREE POSSIBLE, WITH AN "OPEN CAMPUS" PHILOSOPHY, PROTECT LABORATORY FACILITIES, PERSONNEL, AND CLASSIFIED AND SENSITIVE INFORMATION FROM HARM BY IMPLEMENTING EFFECTIVE SAFEGUARDS, SECURITY, AND EMERGENCY MANAGEMENT PROGRAMS.

The weight of this Goal is 20%.

Objective 8.1 - Provide an Efficient and Effective Emergency Management System.

The weight of this Objective is 35%.

Measure 8.1.1
The commitment of laboratory management to strong Emergency Management is appropriately demonstrated.

Target 8.1.1.1
The development (as necessary), maintenance and appropriate utilization of emergency management procedures and processes are effectively demonstrated.

Target 8.1.1.2
Emergency management events are reported and mitigated as necessary.

Target 8.1.1.3

Results of external reviews, surveys and inspections demonstrate that emergency management systems are effective.

Objective 8.2 - Provide an Efficient and Effective System for Cyber-Security.

The weight of this Objective is 35%.

Measure 8.2.1
BSA will demonstrate an effective cyber security system through external reviews, surveys and inspections.

Target 8.2.1.1
BSA will maintain Plans of Actions and Milestones (POA&M) schedules on or ahead of schedule.

Target 8.2.1.2
The results of the November 2006 SP-42 cyber security review will be satisfactory, with only minor areas for improvement noted.

Target 8.2.1.3
BSA participates with SC cyber security initiatives and is recognized by DOE and SC peers as a leader and/or has critical cyber security systems which are viewed as the "standard" for SC.

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

The weight of this Objective is 15%.

Measure 8.3.1
The commitment of leadership to strong safeguards performance is appropriately demonstrated.

Target 8.3.1.1
Integration of Safeguards into the culture of the organization for effective deployment of the system is demonstrated.

Target 8.3.1.2
The maintenance and appropriate utilization of safeguards risk identification, prevention and control processes are demonstrated.

Measure 8.3.2
Safeguards events are reported and mitigated as necessary.

Target 8.3.2.1
BSA will demonstrate an effective Safeguards system through external reviews, surveys, and inspections.

Target 8.3.2.2
BSA will demonstrate employee and management awareness of their Safeguards responsibilities.

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

The weight of this Objective is 15%.

Measure 8.4.1
The commitment of leadership to strong protection of classified and sensitive information is appropriately demonstrated.

Target 8.4.1.1
Events involving protection of classified and sensitive information are reported and mitigated as necessary.

Target 8.4.1.2
Demonstrate an effective Security system for the protection of classified and sensitive information through external reviews, surveys and inspections.

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) and Emergency Management Systems					
8.1 Provide an Efficient and Effective Emergency Management System			35%		
8.2 Provide an Efficient and Effective System for Cyber-Security			35%		
8.3 Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property			15%		
8.4 Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information			15%		
				Goal 8.0 Total	

U.S. Department of Energy

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ATTACHMENT J.5

APPENDIX E

KEY PERSONNEL

Applicable to the Operation of
The Brookhaven National Laboratory

Contract No. DE-AC02-98CH10886
Modification No. M153

Appendix E
Key Personnel

Pursuant to the clause entitled, "Key Personnel," the following positions are considered to be essential to work being performed.

Name	Title
Dr. Samuel Aronson	Director
Mr. Michael Bebon	Deputy Director for Operations
Dr. Peter Bond*	Interim Deputy Director for Science & Technology
Dr. Peter Bond*	Interim Associate Laboratory Director, Nuclear and Particle Physics
Dr. Steven Dierker	Associate Laboratory Director, Light Sources
Mr. Gregory Fess, J.D.	General Counsel
Dr. Doon Gibbs	Associate Laboratory Director, Basic Energy Sciences
Mr. John Hauser	Assistant Laboratory Director, Finance
Dr. Fritz Henn	Associate Laboratory Director, Life Sciences
Mr. Leslie M. Hill	Director, Environmental Restoration Projects
Dr. Ralph James	Associate Laboratory Director, Energy Environment, & National Security
Dr. J. Patrick Looney	Assistant Laboratory Director, Policy and Strategic Planning
Ms. Margaret Lynch	Assistant Laboratory Director, Community, Education, Government & Public Affairs
Mr. Andrew McNerney	Assistant Laboratory Director, Facilities & Operations
Mr. James Tarpinian	Assistant Laboratory Director, ESH & Quality

* Positions designated as "Interim" have not been officially approved as Key Personnel by DOE, but reflect the personnel functioning in the position.

U.S. Department of Energy

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ATTACHMENT J.9

APPENDIX I

DOE DIRECTIVES/LIST B

Applicable to the Operation of
The Brookhaven National Laboratory

Contract No. DE-AC02-98CH10886
Modification No. 153

APPENDIX I

DOE DIRECTIVES

There is no List A to this Appendix.

List B to this Appendix contains two parts as follows:

Part I: "Directives List"

This section contains a list of Directives that are considered by DOE as applicable to the BNL contract.

Part II: "Partial Deletions of Directives"

This section contains a list of Directives that were accepted and implemented by the previous contractor but have subsequently been revised by DOE to remove certain sections.

Appendix I - Part I

CRD=Contractor Requirements Document

DIRECTIVES LIST		
DATE	**DOE DIRECTIVE NUMBER**	**SUBJECT TITLE**
2/26/01	N 153.1	CONNECTIVITY TO ATMOSPHERIC RELEASE ADVISORY CAPABILITY
8/11/03	N 153.2	CRD - CONNECTIVITY TO NATIONAL ATMOSPHERIC RELEASE ADVISORY CENTER (NARAC)
10/02/00	N 203.1	CRD - SOFTWARE QUALITY ASSURANCE
11/1/99	N 205.2	CRD - FOREIGN NATIONAL ACCESS TO DOE CYBER SYSTEMS (Extended until 8/12/05 by DOE N 205.14 dated 8/12/04) (Extended until 9/30/06 by DOE N 205.16 dated 9/15/05)
11/23/99	N 205.3	CRD - PASSWORD GENERATION, PROTECTION, AND USE (Extended until 8/12/05 by DOE N 205.14 dated 8/12/04) (Extended until 9/30/06 by DOE N 205.16 dated 9/15/05)
6/4/03	N 205.6	EXTENSION OF DOE DIRECTIVE ON CYBER SECURITY (N 205.4)
2/11/04	N 205.8	CRD - CYBER SECURITY REQUIREMENTS FOR WIRELESS DEVICES AND INFORMATION SYSTEMS (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
2/19/04	N 205.9	CRD – CERTIFICATION AND ACCREDITATION PROCESS FOR INFORMATION SYSTEMS INCLUDING NATIONAL SECURITY SYSTEMS (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
2/19/04	N 205.10	CRD – CYBER SECURITY REQUIREMENTS FOR RISK MANAGEMENT (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
2/19/04	N 205.11	CRD – SECURITY REQUIREMENTS FOR REMOTE ACCESS TO DOE AND APPLICABLE CONTRACTOR INFORMATION TECHNOLOGY SYSTEMS (Extended until 03/18/06 by DOE N 205.15 dated 3/18/05)
8/12/04	N 205.14	EXTENSION OF DOE DIRECTIVES (N 205.2 and N 205.3)
3/18/05	N 205.15	EXTENSION OF DOE DIRECTIVES – NOTICES 205.8, 205.9, 205.10, 205.11, 205.12
9/15/05	N 205.16	EXTENSION OF DOE DIRECTIVES (N 205.2 and N 205.3)
4/20/04	N 251.56	EXTENSION OF DOE N 481.1A
7/6/04	N 251.58	EXTENSION OF DOE DIRECTIVES (O 471.1A, M 471.1-1, AND O 473.2)
3/3/05	N 251.61	EXTENSION OF DOE M 475.1-1A
4/21/05	N 251.62	EXTENSION OF DOE N 481.1A
7/7/05	N 251.64	EXTENSION OF DOE DIRECTIVES (O 471.1A, M 471.1-1 Change1, M 472.1-1B, O 473.2, and N 473.9)
6/28/06	N 251.66	SUSPENSION OF DOE N 351.1, CONTRACTOR EMPLOYEE PENSION AND MEDICAL BENEFITS POLICY
10/17/01	N 450.7	CRD - THE SAFE HANDLING, TRANSFER, AND RECEIPT OF BIOLOGICAL ETIOLOGIC AGENTS AT DOE FACILITIES (Extended until 06/30/04 by DOE N 450.12 dated 6/27/03) (Extended until 6/30/06 by DOE N 450.14 dated 6/3/05)
6/27/03	N 450.12	EXTENSION OF DOE N 450.7, THE SAFE HANDLING, TRANSFER, AND RECEIPT OF BIOLOGICAL ETIOLOGIC AGENTS AT DEPARTMENT OF ENERGY FACILITIES

DIRECTIVES LIST		
DATE	**DOE DIRECTIVE NUMBER**	**SUBJECT TITLE**
6/3/05	N 450.14	EXTENSION OF DOE N 450.7, The Safe Handling, Transfer, and Receipt of Biological Etiologic Agents at Department of Energy Facilities
4/21/03	N 481.1A	CRD – REIMBURSABLE WORK FOR DEPARTMENT OF HOMELAND SECURITY (Extended until 04/20/05 by DOE N 251.56 dated 4/20/04) (Extended until 04/21/06 by DOE N 251.62 dated 4/21/05)
11/3/99	O 110.3	CRD - CONFERENCE MANAGEMENT
9/29/95	O 130.1	CRD - BUDGET FORMULATION PROCESS
9/30/95	O 135.1	BUDGET EXECUTION-FUNDS DISTRIBUTION AND CONTROL
1/13/04	O 142.1	CRD – CLASSIFIED VISITS INVOLVING FOREIGN NATIONALS
1/7/04	O 142.2	CRD – SAFEGUARDS AGREEMENT AND PROTOCOL WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY
6/18/04	O 142.3	CRD – UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS PROGRAM
10/29/03	O 151.1B	CRD - COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM
9/30/96	O 200.1	CRD - INFORMATION MANAGEMENT PROGRAM
1/7/05	O 203.1	LIMITED PERSONAL USE OF GOVERNMENT OFFICE EQUIPMENT INCLUDING INFORMATION TECHNOLOGY
3/21/03	O 205.1	CRD – DEPARTMENT OF ENERGY CYBER SECURITY MANAGEMENT PROGRAM
9/30/04	M 205.1-1	CRD – INCIDENT PREVENTION, WARNING AND RESPONSE (IPWAR) MANUAL
6/26/05	M 205.1-2	CRD – CLEARING, SANITIZATION, AND DESTRUCTION OF INFORMATION SYSTEM STORAGE MEDIA, MEMORY DEVICES, AND RELATED HARDWARE MANUAL
4/17/06	M 205.1-3	TELECOMMUNICATIONS SECURITY MANUAL
6/12/06	O 210.2	CRD – DOE CORPORATE OPERATING EXPERIENCE PROGRAM
3/22/01	O 221.1	CRD - REPORTING FRAUD, WASTE, AND ABUSE TO THE OFFICE OF INSPECTOR GENERAL
3/22/01	O 221.2	CRD - COOPERATION WITH THE OFFICE OF INSPECTOR GENERAL
11/26/97	O 225.1A	CRD - TYPE A AND B ACCIDENT INVESTIGATIONS
9/15/05	O 226.1	CRD – IMPLEMENTATION OF DEPARTMENT OF ENERGY OVERSIGHT POLICY
3/19/04 9/9/04	M 231.1-1A Change 1	CRD - ENVIRONMENT, SAFETY, AND HEALTH REPORTING MANUAL
8/19/03	M 231.1-2	CRD - OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION
4/9/01 10/14/03	O 241.1A Change 1	CRD - SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT
1/30/98	O 251.1A	CRD - DIRECTIVES SYSTEM
11/19/99	O 252.1	CRD - TECHNICAL STANDARDS PROGRAM
9/30/96 5/8/98	O 350.1 Change 1	CRD - CONTRACTOR HUMAN RESOURCE MANAGEMENT PROGRAMS CRD - EMPLOYEE BENEFITS

DIRECTIVES LIST		
DATE	**DOE DIRECTIVE NUMBER**	**SUBJECT TITLE**
10/29/03	O 350.2A	CRD - USE OF MANAGEMENT AND OPERATING OR OTHER FACILITY MANAGEMENT CONTRACTOR EMPLOYEES FOR SERVICES TO DOE IN THE WASHINGTON, D.C., AREA
4/21/05	O 412.1A	WORK AUTHORIZATION SYSTEM
4/18/02	O 413.1A	CRD - MANAGEMENT CONTROL PROGRAM
4/19/06	O 413.2B	CRD - LABORATORY DIRECTED RESEARCH AND DEVELOPMENT
7/28/06	O 413.3A	CRD - PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS
03/28/03	M 413.3-1	PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS
6/17/05	O 414.1C	CRD - QUALITY ASSURANCE
5/20/02	O 420.1A	CRD - FACILITY SAFETY
7/23/04	O 420.2B	CRD - SAFETY OF ACCELERATOR FACILITIES
3/13/03	O 425.1C	CRD - STARTUP AND RESTART OF NUCLEAR FACILITIES
09/24/03	O 430.1B	CRD – REAL PROPERTY ASSET MANAGEMENT
4/15/02	O 430.2A	CRD - DEPARTMENTAL ENERGY AND UTILITIES MANAGEMENT
6/01/01	O 433.1	CRD - MAINTENANCE MANAGEMENT PROGRAM FOR DOE NUCLEAR FACILITIES
7/9/99 8/28/01	O 435.1 Change 1	CRD - RADIOACTIVE WASTE MANAGEMENT
7/9/99 6/19/01	M 435.1-1 Change 1	RADIOACTIVE WASTE MANAGEMENT MANUAL
3/27/98	O 440.1A	CRD - WORKER PROTECTION MANAGEMENT FOR DOE CONTRACTOR EMPLOYEES (Attachment 1, paragraph 8, and Attachment 2, paragraph 22, has been canceled by DOE O 414.1B, Quality Assurance dated 4/29/04)
11/27/02	O 440.2B	CRD - AVIATION MANAGEMENT AND SAFETY
6/6/01	O 442.1A	CRD - DEPARTMENT OF ENERGY EMPLOYEE CONCERNS PRG.
5/15/00	O 443.1	PROTECTION OF HUMAN SUBJECTS
1/15/03 1/24/05	O 450.1 Change 1	CRD – ENVIRONMENTAL PROTECTION PROGRAM
8/2/04	P 450.7	DOE ENVIRONMENT, SAFETY AND HEALTH GOALS
7/15/03	P 455.1	USE OF RISK-BASED END STATES
4/4/03	O 460.1B	CRD - PACKAGING AND TRANSPORTATION SAFETY
12/22/04	O 460.2A	CRD - DEPARTMENTAL MATERIALS TRANSPORTATION AND PACKAGING MANAGEMENT
9/23/02	M 460.2-1	CRD – RADIOACTIVE MATERIAL TRANSPORTATION PRACTICES MANUAL
10/31/02	O 470.2B	CRD - INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM

DIRECTIVES LIST		
DATE	**DOE DIRECTIVE NUMBER**	**SUBJECT TITLE**
10/18/04	O 470.3	DESIGN BASIS THREAT POLICY (CLASSIFIED)
8/26/05 3/7/06	M 470.4-1 Change 1	CRD – SAFEGUARDS AND SECURITY PROGRAM PLANNING & MANAGEMENT
8/26/05 3/7/06	M 470.4-2 Change 1	CRD – PHYSICAL PROTECTION
8/26/05 3/7/06	M 470.4-3 Change 1	CRD – PROTECTIVE FORCE
8/26/05	M 470.4-4	CRD – INFORMATION SECURITY
8/26/05	M 470.4-5	CRD – PERSONNEL SECURITY
8/26/05	M 470.4-6	CRD – NUCLEAR MATERIAL CONTROL AND ACCOUNTABILITY
6/30/00	O 471.1A	CRD - IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION (Extended until 06/30/05 by DOE N 251.58 dated 7/6/04) (Extended until 07/7/06 by DOE N 251.64 dated 7/7/05)
6/30/00 10/23/01	M 471.1-1 Change 1	IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION MANUAL (Extended until 06/30/05 by DOE N 251.58 dated 7/6/04) (Extended until 07/7/06 by DOE N 251.64 dated 7/7/05)
8/3/99	M 471.2-2	CRD - CLASSIFIED INFORMATION SYSTEMS SECURITY MANUAL (DOE N 205.3, dated 11/23/99 cancels Paragraphs 4j(2) and 4j(6) of Chapter VI, and Paragraph 12a(2)(a) of Chapter VII.) (Notice 205.4 dated 3/18/02 cancels Chapter III Section 8)
4/9/03	O 471.3	CRD - IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION
4/9/03	M 471.3-1	CRD - MANUAL FOR IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION
2/26/01	M 475.1-1A	CRD - IDENTIFYING CLASSIFIED INFORMATION (Extended until 03/03/06 by DOE N 251.61 dated 3/3/05)
7/8/04	O 475.1	COUNTERINTELLIGENCE PROGRAM
1/03/01 9/28/01	M 481.1-1A Change 1	REIMBURSABLE WORK FOR NON-FEDERAL SPONSORED PROCESS MANUAL
1/12/01	O 482.1	CRD - DOE FACILITIES TECHNOLOGY PARTNERING PROGRAMS
1/12/01	O 483.1	CRD - DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS
1/12/01	M 483.1-1	DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS
11/3/04	O 522.1	CRD - PRICING OF DEPARTMENTAL MATERIALS AND SERVICES
1/6/03	O 534.1B	CRD - ACCOUNTING
8/19/03	O 551.1B	CRD - OFFICIAL FOREIGN TRAVEL
7/12/00	M 573.1-1	MAIL SERVICES USER'S MANUAL

DIRECTIVES LIST		
DATE	**DOE DIRECTIVE NUMBER**	**SUBJECT TITLE**
12/7/05	O 580.1	CRD – DEPARTMENT OF ENERGY PROPERTY MANAGEMENT PROGRAM
5/2/01	P 141.1	DEPARTMENT OF ENERGY MANAGEMENT OF CULTURAL RESOURCES
5/8/01	P 205.1	DEPARTMENTAL CYBER SECURITY MANAGEMENT POLICY
6/10/00	P 413.1	PROGRAM AND PROJECT MANAGEMENT POLICY FOR THE PLANNING, PROGRAMMING, BUDGETING, AND ACQUISITION OF CAPITAL ASSETS
5/15/00	P 443.1	PROTECTION OF HUMAN SUBJECTS
9/15/05	P 456.1	SECRETARIAL POLICY STATEMENT ON NANOSCALE SAFETY
5/08/01	P 470.1	INTEGRATED SAFEGUARDS AND SECURITY MANAGEMENT POLICY
5/20/02	P 580.1	MANAGEMENT POLICY FOR PLANNING, PROGRAMMING, BUDGETING, OPERATION, MAINTENANCE AND DISPOSAL OF REAL PROPERTY
11/12/92	1450.4	CONSENSUAL LISTENING-IN TO OR RECORDING TELEPHONE/RADIO CONVERSATIONS
2/8/90 6/5/90 1/7/93	5400.5* Change 1 Change 2	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT
5/15/84 5/16/88 5/16/89 9/20/91 1/7/93	5480.4* Change 1 Change 2 Change 3 Change 4	ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION STANDARDS
7/9/90 5/18/92 10/23/01	5480.19 Change 1 Change 2	CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES
11/15/94	5480.20A	PERSONNEL SELECTION, QUALIFICATION AND TRAINING REQUIREMENTS FOR DOE NUCLEAR FACILITIES
1/14/92 4/10/92	5530.3 Change 1	RADIOLOGICAL ASSISTANCE PROGRAM
7/10/92 12/2/92	5530.5 Change 1	FEDERAL RADIOLOGICAL MONITORING AND ASSESSMENT CENTER
5/8/85	5560.1A	PRIORITIES AND ALLOCATIONS PROGRAM
8/1/80	5610.2	CONTROL OF WEAPON DATA
5/26/94	5660.1B	MANAGEMENT OF NUCLEAR MATERIALS

***See Part II, Partial Deletions**

ACCOUNTING PRACTICES AND PROCEDURES HANDBOOK		
5/2/83	Chapter V	INVENTORIES
6/30/80	Chapter X	PRODUCT COST ACCOUNTING

Appendix I - Part II

PARTIAL DELETIONS OF DIRECTIVES				
DATE	**DOE DIRECTIVE NUMBER**	**SUBJECT TITLE**	**DELETION DIRECTIVE DATE**	**SECTIONS DELETED**
2/8/90 6/5/90 1/7/93	5400.5 Change 1 Change 2	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT	O 231.1 9/30/95 Change 1 10/26/95	Chapter II: Para 1a(3) (a)
5/15/84 5/16/88 5/16/89 9/20/91	5480.4 Change 1 Change 2 Change 3	ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION STANDARDS	O 440.1 9/30/95 Change 1 10/26/95	Attachment 2: Paras 2c, 2d(2) - (3), 2e(1) - (8); and Attach. 3: Paras 2c,; 2d(2) - (3), 2e(1) - (7)

*See Part II, Partial Deletions

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ATTACHMENT J.12

APPENDIX L

COMPUTATION OF FEE
FY2007

Applicable to the Operation of
The Brookhaven National Laboratory

Contract No. DE-AC02-98CH10886
Modification No. M153

APPENDIX L
FY2007 FEE COMPUTATION
FEE BASIS

For FY2007, the performance measure model has one class of performance measures in Appendix B of the Prime Contract that is directly associated with fee (fee bearing). This reflects the approved FY2007 Performance Goals, Objectives, Measures and Targets for Science & Technology and Management and Operations. The FY2007 fee structure is in consonance with the following guidelines:

1. The maximum fee is to be in consonance with fees paid for the operation of similar FFRDC laboratories and will have a single tier structure;

2. While there are no current integrated subcontractor(s), the fees for integrated subcontractor(s), when and if they are again added to the BSA management structure, are included in the total fee set forth in Section B.3 for FY04 through the first quarter of FY08;

3. The fee structure is to be based on individual Target outcomes and their associated weights as determined separately;

4. The Performance Goal of Science and Technology will act as a "gate," in that a final Grade of C (1.8) or above is required; there will be no fee if either Performance Goal outcome is D (1.0) or below.

Maximum Fee

The maximum fee that BSA can earn under this matrix for FY 2007 is established at $7,400,000, if the performance goal for Science & Technology is scored 4.1 or above and Management and Operations is scored 3.1 or above. The scoring process is described in Appendix B.

Fee Matrix (Table 1)

Appendix B of the Prime Contract describes the scoring system for BSA's performance. The "Percent S&T Fee Earned" from Appendix B is multiplied by the "M&O Fee multiple" from Appendix B to arrive at the total earned fee percentage. That percentage is then multiplied by the total available fee to arrive at BSA's earned fee. See Fee Matrix below.

Table 1

Overall Fee Determination

Percent S&T Fee Earned from Appendix B, Table C.		M&O Fee Multiplier from Appendix B, Table C.		Overall Earned Performance-Based Fee		Maximum Performance Fee		Earned Fee
%	X		=	%	X	$7,400,000	=	$