

Exhibit to the Laboratory Centers SOW

PERFORMANCE ASSESSMENT SCHEME (PAS) LABORATORY CENTER

I. Introduction

The purpose of this Performance Assessment Scheme (PAS) (formally called Quality Assurance Surveillance Plan or QASP) for the RS & G Program Laboratory Center is to define the basis for comparing actual performance with established performance goals in terms of technical requirements, timeliness, quality, and cost. The PAS specifies the level of performance that will be considered acceptable (Performance Standards and Allowable Deviation from Standard), the methods that will be used to monitor and measure performance, the application of the performance evaluation to incentive awards, and the roles and responsibilities of participating Government officials.

For the RS & G Program Laboratory Centers, it is anticipated that the Performance Requirements Summary (See Attachment 1) will be equivalent for all Laboratory Centers.

II. Roles and Responsibilities of Government Officials

The Project Officer (PO) will be responsible for monitoring, assessing, and recording the technical performance of the Contractor on a routine basis. The Project Officer is responsible for providing timely feedback to the Contractor on all deliverables.

The Contracting Officer (CO) will have overall responsibility for overseeing the Contractor's performance. The CO will also be responsible for the routine monitoring of the Contractor's performance in the areas of contract compliance, contract administration, cost control, and property control; reviewing the PO's assessment of the Contractor's performance, and resolving any differences. The CO may call upon the expertise of other individuals as required.

III. Performance Evaluation Methodology

Even though the Government will monitor the Contractor's performance on a continuing basis, the volume of tasks makes technical inspection of every task impossible. Accordingly, the NHLBI will use a quality assurance review process to evaluate the Contractor's performance under this contract. The Contractor's performance of the Key Performance Requirements will be evaluated as follows:

Following each contract year, the Contractor will submit a report comparing actual performance during the period to the Key Performance Requirements, the Performance Standards, and the Allowable Deviation from the Standard (See IV. below and Attachment 1.) The report will be provided to the Oversight Committee of the RS& G Program for the Committee's evaluation and recommendation for the Total Score using the Weight scale in Item IV. The Total Score is the sum of the Weight scores. The Total Score earned can range from 0 to 100. The Project Officer and Contracting Officer will

consider the recommendation of the Oversight Committee and any other relevant information to determine any resulting incentive award. The Contracting Officer will notify the Contractor of the NHLBI determination of any resulting incentive award.

In the event of an Excusable Delay (reference FAR 52.249-14, Excusable Delays), the NHLBI and the Contractor shall work together to modify the contract in regard to the due date for Deliverables. If due dates for Deliverables are modified, the Contractor’s performance, where subject to this PAS, shall be measured by the date agreed upon in the modification.

IV. Performance Requirements Summary

The contractor shall perform all tasks in the Statement of Work and provide all Deliverables in accordance with the contract. For purposes of this PAS, the Contractor’s performance will be evaluated using the scheme at Attachment 1.

V. Award/Incentive Fee Payment Plan

An annual incentive award will be paid to the Contractor if the Total Score for the year is 75 or higher. For example, if, for the first evaluation period, the Contractor receives a Total Score of 85, the incentive award for the period would be \$20,400 (85% of \$24,000). The incentive payment, if any, is additional to the Total Estimated Cost Plus Fee (if any) of the contract. The use of the incentive payments is at the discretion of the Contractor, although employee awards are recommended for some portion of the incentive award.

Months	Maximum Incentive Award	Total Score < 75 *	Total Score 75 – 95	Total Score Better than 95
1 - 12	24,000	0	75 – 95%	100 %
13 – 24	24,000	0	75 – 95%	100 %
25 – 36	24,000	0	75 – 95%	100 %
37 – 48	24,000	0	75 – 95%	100 %
49 – 60	24,000	0	75 – 95%	100 %

* If the Total Score is less than 75, the contract workload and funding for the upcoming year may be reduced.

Total Estimated Cost Plus Fee of the Contract	\$
Maximum Incentive Award	<u>\$ 120,000</u>
Total Possible Contract Amount	\$

Key Performance Requirement	Phase and Task Number	Performance Standard	Allowable Deviation from Standard	Method of Surveillance	Weight
Total Cost Plus Fee (Not subject to Oversight Cmt Review)	N/A	95 % of awarded amount for period	< 95 % 5 95 < 96% 4 96 < 97% 3 97 < 98% 2 98 < 99% 1	PO & CO monitoring of complete, current and accurate invoice or financial report	0 - 5
Facilitates Protocol Development and Pilot Testing for Overall RS & G Program	Entire Period: 3-9 I : 1 - 4 II : 1 – 11	PI or Co-PI attends each Steering Committee, Oversight Committee, and Eval Panel Meeting and all conf calls; Laboratory specific Manual of Operations is complete by the due date of 12/1/04; Contributes to successful SC decision making process for Protocol, guidelines, and procedures; Materials for SC, Oversight, and Eval Panel are complete and timely; Assists with pilot testing; Implements revisions promptly. Monthly Status Reports are timely.	PI or Co-PI attends each Steering Committee, Oversight Committee, and Eval Panel Meeting and is absent from no more than one conf call during the period; Laboratory specific Manual of Operations is complete no later than 10 working days after the due date; Monthly Status Reports are received no later than 10 working days after the due date.	Oversight Cmt and PO review of self report by the Contractor; Monitoring of actual receipt dates of deliverables; Monitoring of actual attendance at meetings and calls.	0 - 35
Meets Production Requirements	Entire Period: 1 II: 2 – 4 6 - 8	Production begins as scheduled by the SC. Resequencing Center: At least 5000 kb per month of resequencing data; Genotyping Center: At least 41,515 genotypes per month.	Production begins no later than 10 working days after the start date scheduled by the SC. Resequencing Center: At least 95% of Performance Std. Genotyping Center: At least 95% of Performance Std.	Oversight Cmt and PO monitoring of self report and reports from the Administrative Coordinating Center	0 - 20

Attachment 1		DRAFT Laboratory Center	Phases I and II	Page 2 of 3 pages	
Key Performance Requirement	Phase and Task Number	Performance Standard	Allowable Deviation from Standard	Method of Surveillance	Weight
Meets Quality Requirements	Entire Period: 1 & 5 I - 2 II - 4 II: 9 - 11	Resequencing Center: Error rate of no more than 1/10,000 bases. Genotyping Center: Error rate of no more than 1 %. For both: Problems are identified promptly and corrective actions are implemented promptly.	To be determined by the Oversight Committee. For example: Error rate in excess of the standard by no more than ??? * is evident during no more than three months. # of repeats does not exceed ???* * To Be Established by the Oversight Committee	Oversight Cmt review of Lab Center self report and other information collected by the Oversight Cmt	0 – 20
Provides Community Assistance	Entire Period: 1, 8 – 13	Complies with confidentiality and security requirements; Assists in informing the research community of the Program's availability; Assists investigators in selecting variants for genotyping; Data is provided to investigators in a timely manner; SNPs are forwarded to public databases in a timely manner starting Aug 2005; Updates in providing information for the RS & G web site are timely; Advances the state of the art through methodology publications.	No deviation is allowable on confidentiality and security requirements. A score of 0 shall be applied for any deviation in confidentiality and security requirements; Usual processing time is no longer than 125% of the average time for the RS&G Program Lab Centers; Delays in forwarding SNPs to public databases are no greater than 10 working days; Delays in providing information updates for the RS & G Program web site are no greater than 10 working days;	Oversight Cmt and PO review of self report by the Contractor; Monitoring of comments and complaints from the public and investigators; Monitoring of actual delivery dates.	0 – 15

Attachment 1		DRAFT Laboratory Center	Phases I and II	Page 3 of 3 pages	
Key Performance Requirement	Phase and Task Number	Performance Standard	Allowable Deviation from Standard	Method of Surveillance	Weight
Effectively meets NHLBI Needs (Not subject to Oversight Committee Review)	Entire Period: 2, 7, II – 8 Contract terms and provisions	Monthly Status Reports are complete and timely; Progress reports are complete and timely; Administrative reports are complete and timely; Requests from the Contracting Office are met promptly and completely.	Monthly Status Reports are received no more than 10 working days after the due date; Progress Reports are received no more than 10 working days after the due date; Administrative reports are received no more than 10 working days after the due date.	PO & CO monitoring of self report by the Contractor; PO Monitoring of technical delivery dates; CO monitoring of administrative delivery dates.	0 – 5

NOTE: For Phases III and IV, the Key Performance Requirement “Facilitates Protocol Development and Pilot Testing for Overall RS & G Program” will be removed and an additional Key Performance Requirement will be added regarding the “Change in Cost per Unit”. It is anticipated that the Performance Standard will be “Reduction by Half in Cost per Unit.” It is anticipated that a Weight Score of 0 – 10 will be applicable to the requirement for “Change in Cost per Unit”.

Anticipated Weight Scale for Phases III and IV:

Total Cost	5
Change in Cost per Unit	10
Production	35
Quality	35
Community Assistance	10
Meets NHLBI Needs	5