

**LAWRENCE LIVERMORE
NATIONAL LABORATORY**

DIVERSITY PLAN

Contract Clause I.077, DEAR 970.5226-1 Diversity Plan

Affirmative Action and Diversity Program
Effective July 1, 2001 through June 30, 2002

DISCLAIMER

This document was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor the University of California nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise, does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or the University of California. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or the University of California, and shall not be used for advertising or product endorsement purposes.

This work was performed under the auspices of the U. S. Department of Energy by the University of California, Lawrence Livermore National Laboratory under Contract No. W-7405-Eng-48.

Table of Contents

EXECUTIVE SUMMARY	4
DIRECTOR'S STATEMENT	5
PURPOSE	6
INTRODUCTION	6
DIVERSITY INITIATIVES	8
1. Contractor Workforce.....	8
1.1 Equal Opportunity and Affirmative Action.....	8
1.2 Internal Diversity Efforts.....	9
1.3 Employee Training and Development.....	12
2. Educational Outreach	14
3. Community Involvement and Outreach	17
4. Subcontracting.....	18
5. Economic Development (Including Technology Transfer).....	19
6. Racial Profiling	20
 APPENDICES	
A. DOE Diversity Plan Guidance	23
B. Reference Table	25
C. LLNL Racial Profiling Report to UC President Atkinson.....	28
D. Nondiscrimination and Affirmative Action Policy	39
E. AADP Employee Network Group Guidelines.....	40

EXECUTIVE SUMMARY

The Lawrence Livermore National Laboratory (LLNL) is a federally funded research and development facility managed and operated by the University of California (UC) for the U.S. Department of Energy (DOE), and its predecessor organizations, under Prime Contract W-7405-ENG-48 (Contract 48). The Laboratory's primary mission is to ensure that the nation's nuclear weapons remain safe, secure, and reliable and to prevent the spread and use of nuclear weapons worldwide. This mission enables our programs in advanced defense technologies, energy, environment, biosciences, and basic science to apply Livermore's unique capabilities and to enhance the competencies needed for our national security mission. The Laboratory serves as a resource to the U.S. government and a partner with industry and academia. As a national security laboratory, we are part of DOE's National Nuclear Security Administration (NNSA). National Security programs represent about 75% of the Laboratory's budget, and the Stockpile Stewardship Program accounts for over half our resources.

The Laboratory's fifty-plus years of scientific and technological achievements and breakthrough accomplishments are the product of a highly talented, productive, motivated, flexible and diverse staff that is committed to the Laboratory's goals. Indeed, our principal asset is our quality workforce, which has and will continue to become more diverse over time. The size, job classification, and diversity of the Laboratory's career-employee workforce are summarized in Table A (page 6).

Valuing the diversity and creativity of our workforce is a LLNL core value that is further supported by institutional policies; procedures and mandatory training as well as numerous mechanisms for line management communication. The Laboratory has an effective, institutionally integrated Diversity Program, administered by the Affirmative Action and Diversity Program (AADP), that promotes greater awareness, understanding, respect, and inclusion for all members of the workforce; targets the development of women and minorities for future employment needs; and assures the continued excellence and diversity of our current work population. The Laboratory additionally has an extensive array of educational, community, and business outreach programs that focus on providing opportunities for women and people of color.

Diversity continues to be a management priority for the Laboratory Director and is a key element in our workforce planning. We consider the growing diversity of our workforce to be vital in the Laboratory's ability to maintain a work environment in which all employees can contribute to their fullest and feel valued for their role. Through the combined efforts of management and employees, we seek to create a work environment that stimulates and encourages all employees to contribute to the Laboratory's mission to the maximum extent of their abilities. This is done by ensuring that all Laboratory management systems and practices function in a manner that guarantees equal access to opportunities and rewards for all.

DIRECTOR'S STATEMENT

As the Laboratory enters the new century, there are significant challenges to be met as we fulfill our long-standing commitment to serve the nation. The growing diversity of the workforce of the Lawrence Livermore National Laboratory will continue to be vital in maintaining the Laboratory's institutional excellence as we engage these current and future challenges. Supporting our employees in achieving their potential for excellence will be critical, as will be achieving success in recruiting a top-notch, diverse future workforce.

Never before in the history of the Laboratory has there been such dynamism affecting the course of how we do business. In October 1999, while testifying before the Senate Armed Service Committee, I stressed the importance of maintaining a Laboratory "environment that attracts and motivates outstanding people" to meet the significant challenge of science-based stockpile stewardship. Livermore's successes in contributing to important national programs are due to the efforts of a top-notch, dedicated workforce. Outside circumstances have impacted our environment and I call upon the employees of the Laboratory to remain steadfast in their long-standing commitment to the nation, despite the increasing challenges.

Although, we are beginning to observe the impact of changes affecting the Laboratory's ability to recruit and retain world-class talent, we are confident that the efforts described in this plan will contribute greatly to reversing these effects.

*Bruce Tarter
April 2001*

PURPOSE

This document covers the Lawrence Livermore National Laboratory's (LLNL) plan for increasing opportunities to fully use the talents and capabilities of a diverse workforce. Specifically, this document addresses workforce diversity at LLNL, educational outreach, community involvement and outreach, subcontracting, economic development (including technology transfer), and the prevention of profiling based on race or national origin. The format used to address the six areas covered by this plan include a summary describing the Laboratory's current programs and actions within the subject area, followed by plans for the area in the coming year. This plan will be updated annually as required.

For further information on the various programs described in this plan, refer to the Laboratory's Web sites listed in Appendix B.

INTRODUCTION

On April 5, 2000, the Department of Energy issued a statement on "Diversity in the Workplace," reiterating the Department's position on zero tolerance for discrimination of any kind. The statement noted that the Department expects and requires full compliance with both the spirit and the letter of the civil rights laws, regulations and policies. But more than that, the Department emphasized that the diversity of the Department's Federal and contractor work force is critical to the Department's success in carrying out its vital national missions.

One of the principle means chosen by the Department of Energy to emphasize the Department's renewed commitment to workforce diversity is to require Contractors to develop Diversity Plans. Although the requirement to produce a Diversity Plan was included in Contract 48 prior to the Department's renewed emphasis on diversity, guidance for completing these plans was redefined as a result of the Department's most recent efforts to prevent racial profiling. In December 2000, the Department of Energy reiterated the requirement for diversity planning through the issuance of DEAR 970.5226-1 Diversity Plan. The DEAR states, "The Contractor shall submit a Diversity Plan to the Contracting Officer for approval within 90 days after the effective date of this contract (or contract modification, if appropriate). The Contractor shall submit an update to its Plan annually or with its annual fee proposal." The DOE-approved Diversity Plan is incorporated as Appendix R of the UC prime contract in accordance with Clause I.077, DEAR 970.5226-1 Diversity Plan.

Guidance for the preparation of the contractually required Diversity Plan has been incorporated within this plan and is reproduced in whole in Appendix A of this document. This guidance requires that the plan include innovative strategies for increasing opportunities to fully use the talents and capabilities of a diverse work force. The plan shall address, at a minimum, the Contractor's approach for promoting diversity through (1) the Contractor's workforce, (2) educational outreach, (3) community involvement and outreach, (4) subcontracting, (5) economic development (including technology transfer), and (6) the prevention of profiling based on race or national origin."

On January 12, 2001, Secretary Richardson issued a memorandum to Departmental and Contractor employees regarding "Preventing Discrimination and Promoting Diversity in the Department's Contractor and Federal Work Forces." In the memorandum, the Secretary stated, "I have concluded that, to avoid even the appearance of profiling based on race or national origin and to build the confidence of those within the DOE community and beyond that fairness and equal opportunity characterize all that we do, more needs to be done to integrate diversity considerations into the management of the Department's Contractor and Federal workforces. In addition, the memorandum required Departmental Contractors to develop specific diversity plans to address Contractors' commitment to diversity."

LLNL 2001 Diversity Plan

Evaluation of the Diversity Plan and the Laboratory's implementation of its provisions will be incorporated into Appendix F, Performance Measure 1.0, Laboratory Management.

Table A. LLNL Workforce Summary

CATEGORY	TOTAL	MEN	WOMEN	BLACKS	ASIANS	AM. INDIAN	HISPANIC	WHITE
MANAGERS	366	285	81	9	20	3	11	323
SUPERVISORS	902	654	248	32	41	17	62	750
ADMINISTRATORS	579	173	406	30	45	13	35	456
SCIENTISTS	1264	1009	255	21	140	3	34	1066
ENGINEERS	645	583	62	11	72	4	21	537
TECHNICIANS	1477	1180	297	50	76	28	106	1217
CLERICAL	616	19	597	38	19	11	88	460
SKILLED CRAFTS	291	282	9	11	14	11	33	222
SKILLED LABOR	183	132	51	9	16	0	29	129
SERVICE OFFICERS	174	167	7	24	13	5	28	104
TOTALS	6497	4484	2013	235	456	95	447	5264
		69.0%	31.0%	3.6%	7.0%	1.5%	6.9%	81.0%

DIVERSITY INITIATIVES

1. CONTRACTOR WORKFORCE

DOE guidance on workforce is as follows:

This contract includes clauses on Equal Opportunity and Affirmative Action. The contract should discuss its policies and plans for implementation of these clauses in its operations. If the contract already has procedures in place, these should be discussed and copies provided.

As stated in the LLNL strategic plan, Creating the Laboratory's Future: "The Laboratory's principal asset is its quality workforce. We will seek highly talented, productive, motivated, flexible people who are committed to Laboratory's goals and reflective of the diversity of California and the nation." A focal point for the Laboratory's efforts to ensure workforce diversity and equal employment opportunity is the Affirmative Action & Diversity Program (AADP). In addition to monitoring compliance with relevant executive orders and legislation, AADP develops the Laboratory's action plans to increase diversity, sponsors a variety of outreach programs and interacts with employee network groups to foster strong working relationships among these diverse associations. AADP represents the Laboratory to diverse communities as a resource for employment, education, and commercial ventures. These outreach programs also serve the Laboratory in our recruitment and collaborative efforts, following government regulations, which require outreach efforts to women, minorities, disabled persons, and veterans not currently in the workforce. The Laboratory's response to this provision of the guidance has been subdivided into three major components: **Equal Opportunity and Affirmative Action** addresses LLNL actions focused on affecting the composition of the workforce relative to gender and race/ethnicity; **Internal Diversity Efforts** describes actions taken to achieve a work environment equally supportive of all members of the workforce; and **Employee Training and Development** describes Laboratory programs designed to promote the success of employees from historically underrepresented groups within the workforce.

1.1. Equal Opportunity and Affirmative Action

1.1.1 Current Programs

Clause I.019 FAR 52.222-26 Equal Opportunity (b) (6) reads "The contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor." LLNL has had an institutional Affirmative Action Program since the 1970s administered by the AADP. To ensure integration and coordination with the Laboratory's 12 directorates, each directorate is required to have an Affirmative Action Coordinator (AAC) who reports to the Associate Director and is responsible for LLNL's Affirmative Action Program. AADP works with these AACs' to coordinate the efforts of

each directorate around statistical reporting and good faith efforts undertaken by the directorate to achieve directorate Affirmative Action Goals. This arrangement allows each directorate the maximum flexibility in addressing their unique workforce needs, while maximizing opportunities to partner and join forces where institutional efforts are warranted.

The Laboratory's Affirmative Action Program has helped to stimulate and promote greater outreach to educational institutions and professional organizations that target minorities and women. In addition to helping to address underutilization, these efforts also promote more inclusiveness among the existing workforce.

1.1.2. Planned Actions

Planned actions under LLNL's Affirmative Action Program for the current fiscal year are described in the Laboratory's Affirmative Action Plan which is produced annually (see web page referenced in Appendix B)

In January 2001, the Department of Labor's Office of Contract Compliance Programs (OFCCP) issued new guidelines for Affirmative Action programs. Nearly co-incident with this, LLNL reorganized a major portion of its administrative and personnel management functions. As a result, the Laboratory's Affirmative Action Program for 2001 will be modified from past years to reflect these changes. In general, these changes are directed towards creating systematic management practices that work to prevent bias, and ensure equity in employment practices.

1.2 Internal Diversity Efforts

The Laboratory's institutional diversity statement reads as follows:

LLNL values the diversity of its workforce. Through the combined efforts of management and employees, we seek to create a work environment that stimulates and encourages all employees to contribute to the Laboratory's mission to the maximum extent of their abilities. This is done by ensuring that all Laboratory management systems and practices function in a manner that guarantees equal access to opportunities and rewards for all.

The Laboratory's internal diversity efforts are designed to help realize the principles reflected in this statement by offering programs and activities to promote diversity. These efforts are strongly supported and encouraged by all levels of Laboratory management.

1.2.1. Current Programs

The Laboratory conducts a number of programs aimed at creating a more positive and fostering work environment for all employees. Below is a brief summary of LLNL's diversity programs and activities. For additional information refer to the AADP Web site listed in Appendix B.

1.2.1.a. Employee Network Groups (ENGs)

The Laboratory strongly encourages and supports employee network groups. AADP partners with these employee-managed associations for the purpose of promoting diversity awareness and understanding. These organizations include:

- Asian Pacific American Council (APAC)
- Association of Black Laboratory Employees (ABLE)
- American Indian Activity Group (AIAG)
- Amigos Unidos Hispanic Activity Group (AUHAG)
- LLL Women's Association (LLLWA)
- Lesbian, Gay, Bisexual, and Transgender Association (LGBT)
- LLL Armed Forces Veterans Association (LLAFVA)

AADP's support of these groups includes providing funding for cultural awareness activities, and scholarships (for groups who are also the subject of Affirmative Action statutes).

1.2.1.b Diversity Workshops and Dialogue Groups

In 1997, the Laboratory initiated workshops for employees to either lead or participate in Diversity Dialogue Groups. The workshops prepare individuals before they join a group and focus on cultural awareness, self-evaluation, group dynamics and leadership, conflict facilitation, and communication. Diversity Dialogue Groups were created by AADP to help break down barriers that derive from misunderstandings based on gender, ethnicity, sexual orientation, or other differences. The groups, which are facilitated by trained employees, are made up of seven to nine volunteers from diverse backgrounds who meet on a regular basis for at least one year to discuss as well as learn about "differences." The groups were created with the goals of reducing commonly held stereotypes and misconceptions; removing barriers and fears; teaching participants to be comfortable with differences; developing trust and finding value in diversity; as well as enhancing communications skills.

1.2.1.c Laboratory Facilitated Dialogue Series

This is a relatively new program, launched last October after a number of employees stated their desire to explore more deeply many of the topics discussed during the Laboratory's Diversity Stand Down held earlier in the year. This quarterly series features a prominent speaker who lectures at the Laboratory's main auditorium, after which the audience meets in smaller groups – with a facilitator – to further explore concepts presented during the talk. These talks are televised on internal LLNL TV, and the talk is summarized for all employees in the Laboratory's internal newspaper, Newsline.

1.2.1.d Institutional Diversity Forum

The Institutional Diversity Forum (IDF) consists of a representative from each directorate and one from each ENG. The Forum meets on a monthly basis to coordinate and share information about various diversity efforts occurring around the Laboratory. Also, because of its institutional make-up, it is an effective advisory body for institutional diversity initiatives. The AADP director chairs the IDF. Also, the AADP's Diversity Awareness Program manager is a prominent participant in the IDF.

1.2.1.e Day on the Green Multicultural Faire

The first Diversity Day on the Green celebration took place in September 1999. Now in its third year, the multicultural festival has become the Laboratory's largest celebration of diversity. The festival features ethnic foods, sold by the Laboratory-sponsored employee network groups. Proceeds from food sales go toward educational scholarships. These scholarships are dispersed through the Employee Network Group conducting the sale (see 1.2.1.a). The Laboratory matches up to \$1400 in funds raised by these groups for scholarships. Employee volunteers interested in sharing their heritage, culture and history set up booths displaying cultural and historical artifacts, educational materials, art, and other memorabilia. Diversity is also celebrated on stage as performance groups showcase their culture through music and dance.

The event is coordinated by AADP, and is co-sponsored by AADP and varying Laboratory directorates. The goal of the Diversity Day on the Green is to give employees an opportunity to share their backgrounds and history, and learn about each other. It is educational and entertaining at the same time.

1.2.2 Planned Actions

- 1.2.2.a The above diversity programs have done an excellent job of providing opportunities for employees to become more comfortable with each others differences, through increased awareness and understanding. Changes to the work environment as a result of these processes are typically slow in arriving. However, because such changes are self-motivated, they will have a more significant, substantive, and lasting effect in the workplace. Because LLNL is committed to achieving lasting improvements in the workplace, the Laboratory will continue sponsoring the above activities in the coming year.
- 1.2.2.b. The Lab Director has launched an effort to comprehensively address a broad range of subjects that impact the quality of work/life for all Laboratory employees. Major features of this new initiative include incorporating diversity within employee orientation training, and in the Laboratory's management training programs (see *Newsline* article web address referenced in Appendix B).
- 1.2.2.c. Additionally, an employee survey will be utilized to help identify aspects of the work environment most directly coupled to employee satisfaction. Planning for the employee survey is already underway, and is being guided by a diverse committee of employees and managers reflective of the diversity of the Laboratory's workforce. The survey is expected to be fielded in early summer. Results are expected to be compiled and follow-up actions initiated before the end of the fiscal year.

1.3 Employee Training and Development

1.3.1. Current Programs

1.3.1.a. Employee Development Division

LLNL supports continuing education for its staff at all levels. The Employee Organization Development Division (EODD) of Human Resources offers a comprehensive array of both degree and non-degree producing course offerings, over an equally broad range of subjects. These benefits are available to all employees. EODD programs also offer educational assistance, provision for outside training programs both within and outside of regular work hours, and executive training programs for both executive and non-executive employees.

1.3.1.b. Supervisory and Management Training

Mandatory supervisory and management training was institutionalized in 1997 and includes training modules on Affirmative Action, EEO, and Diversity.

1.3.1.c Employee Orientation

New hires, whether LLNL employees or contract workers, are required to attend a 1/2 day employee orientation course on their first day of work. The course includes modules on employee welfare, Affirmative Action, EEO, and Diversity.

1.3.1.d. Targeted Career Development Training

In addition to the above programs, AADP sponsors career development training designed to specifically address issues unique to women and minorities (these programs are available to all employees irrespective of gender or race). In particular, LLNL has offered training sponsored by Leadership Education for Asian Pacifics (LEAP) to its Asian/Pacific Island American (APA) employees for a number of years now. A similar course focusing on African Americans has been offered for two years now. Courses addressing Hispanic, American Indian, and Women's issues are also being planned.

1.3.1.e. Career Development Mentoring Program

LLNL offers employees a number of opportunities to obtain mentoring, both formal and informal. The Career Development Mentoring Program is sponsored by AADP, and is designed to pair women and minorities with Laboratory managers. An additional goal of this program is for the protégé to impart cultural understanding to the mentor. Customized Training and Workshops.

1.3.1.f. Cross –Cultural Mentoring Program

The Cross-Cultural Mentoring Program, created in 1994 and offered by AADP, fosters career growth, develops leadership skills and increases the effectiveness of protégés, as well as broadens perspective and increases awareness and sensitivity to cultural differences for both the mentor and the protégés. Mentors and protégés are matched according to career aspirations, job position, function and background. Emphasis is also placed on diversity. In addition to career guidance, many protégés involved in the program say the biggest benefits are the insight about unwritten rules, and

organizational culture, increased motivation, increased understanding of management thinking, and obtaining a long-term confidante and adviser for sensitive career issues. Mentors indicate they benefit by learning the values, expectations and work styles of a new generation of employees, increased sensitivity regarding diversity, and broadened perspectives on work-related issues.

1.3.1.g. Customized Training and Workshops

AADP consults on an as-needed basis with Laboratory organizations to develop training and workshops around the organization's specific needs.

1.3.2. Planned Actions

1.3.2.a Laboratory management continues in its commitment to and support of these educational and training programs. The Laboratory intends to continue to offer these types of employee education, development, and training programs in the coming years. Further analysis is necessary before a definitive link to improved performance or upward mobility can be shown. However, the participating employees continue to state their affirmation and support of the programs.

1.3.2.b AADP plans to make available training similar to the LEAP model for Women, Hispanics, and American Indians in calendar year 2001.

2. EDUCATIONAL OUTREACH

DOE guidance on educational outreach is as follows:

The contractor should outline or discuss any programs already provided, or which it intends to provide, which will provide employees an opportunity to improve their employment skills and opportunities. These programs may already be discussed in the proposal submitted for this contract or in the contract itself and could include: educational assistance allowance, provision for outside training programs either during or outside regular work hours, and executive training programs for non-executive employees. The contractor should also discuss any plans to participate in any program supporting Historically Black Colleges and Universities, Hispanic Serving Institution, and Native American Institutions.

2.1.1. Current Programs

- 2.1.1.a.** LLNL's outreach to educational institutions is sponsored primarily by three organizations. The majority of the Laboratory's post-secondary interactions are carried out under the auspices of the University Relations Program (URP). URP primarily accomplishes this outreach through its five institutes, which are focused on a variety of technical topics of importance to LLNL. The URP also includes a Historically Black College and University (HBCU) and Minority Institution (MI) component. This program was more active prior to the congressionally mandated DOE Education Program budget reductions of FY98.
- 2.1.1.b.** The second organization involved in Educational Outreach is the Science and Technology Education Program (STEP). STEP also functions under the URP umbrella, but primarily focuses on K-12 education in the local Livermore area. STEP also has programs that are tailored for undergraduate and graduate students. These are: Accelerated Strategic Computing Initiative Pipeline (ASCI Pipeline), Actinide Sciences Summer School Program (ASSSP), Computational Materials Science and Chemistry Institute, Graduate Interns for Defense Technology (GIDT), and High-Energy Density Physics Program (HED Physics Program)
- 2.1.1.c.** AADP is the third LLNL organization involved in Educational Outreach. AADP's efforts include both K-12 and post secondary institutions, with an emphasis on institutions that primarily focus on underrepresented minorities. Consistent with this goal, AADP maintains ongoing relationships with inner city K-12 schools, HBCUs, Hispanic Serving Institutions (HSIs), and American Indian colleges.
- 2.1.1.d.** LLNL supports continuing education for its staff at all levels. Opportunities for continuing education are publicized on a regular basis through a number of internal communications media, including *Newsline*, *NewsOnline*, and mass mailings. Additionally, employees' career development plans are discussed as a part of the annual performance appraisal process. Resources and programs available to employees for improvement of their skills and career opportunities derive from a number of sources, including:
- formal degree programs at accredited degree-granting institutions
 - participation in classes not intended to result in the granting of a formal degree
 - participation in professional development courses offered by training and development vendors (e.g., American Management Association)

- Participation in workshops and seminars in conjunction with professional association conferences and meetings.

In addition to the programs listed above, a number of Laboratory organizations sponsor their own training and development courses. The Employee Organization Development Division (EODD) of Human Resources serves as a central clearinghouse for all such educational opportunities. The division manages the administrative process utilized to offer, coordinate, and track employee participation in training and development activities. As previously stated in the section of this plan addressing internal diversity efforts (Section 1.3), these benefits are available to all employees. The following URL provides a cataloging of the Laboratory's full range of internal educational opportunities.

<http://www-r.llnl.gov/intranet/007training/training.html>

- 2.1.1.e.** The Laboratory also seeks to offer programs for employees who wish to broaden their cultural perspectives to facilitate professional growth and achievement. The Affirmative Action and Diversity Program (AADP) offers and procures programs designed to address issues of particular concern to women and minorities in response to this goal. As with all Laboratory programs and activities, these programs are available to all employees for participation, irrespective of gender or race. As previously mentioned these courses include professional development and leadership training addressing cultural perspectives frequently held by Asian Pacific Americans, African Americans, Hispanics, American Indians, and Women.

2.1.2 Planned Actions

- 2.1.2.a.** LLNL's continuing education and career development programs are popular among employees
- 2.1.2.b.** The programs and relationships with institutions described above have all grown stronger over time. As a result a number of institutions consider the Laboratory to be a major partner and supporter. LLNL intends to continue supporting these successful programs during the coming years. AADP is currently sponsoring an effort to identify promising women and minority science and engineering students at major research universities by strengthening ties with these institutions. This effort is being jointly carried out through LLNL/LANL collaboration, and is expected to jointly benefit both institutions. The program will be completed in FY2001.

3. COMMUNITY INVOLVEMENT AND OUTREACH

DOE guidance on community involvement and outreach is as follows:

Community involvement and outreach activity sections may be cross-referenced and do not need to be repeated. Contractor community relation activities could include support for the following activities: support for science, mathematics and engineering education; support for community service organizations; assistance to Governmental and community service organizations and for equal opportunity activities; and community assistance in connection with work force reduction plans. The contractor may provide support to these activities through direct sponsorship or making individual employees available to work with the specific community activity. The contractor's Diversity Plan should discuss the contractor's existing and planned activities promoting community involvement of its employees.

3.1.1. Current Programs

3.1.1.a. The Laboratory continues to have a strong and vital relationship with the community. LLNL community relations include: support for science, mathematics, and engineering education; support for community service organizations; and assistance to Governmental and community service organizations promoting equal opportunity programs. The Laboratory's support of these efforts includes financial assistance, as well as individual employee participation. The following programs are extremely active and foster good community relationships: Expanding Your Horizons; Fun with Science; Future Scientists and Engineers of America; Math Challenge; Parent-Student Opportunities in Optics Education; Science on Saturday; Tri-Valley Science and Engineering Fair; Chinese Americans and Public Affairs (CAPA); League of United Latin American Citizens (LULAC); and the Healing Institute (an African American community program).

3.1.2. Planned Actions

3.1.2.a All of the programs identified continue to attract participation from a diverse group of participants. The programs continue to expand as budgets allow. Program evaluations have led to some improvements to the content of the programs. The programs will reflect those improvements as they are operated in the coming year. The Edward Teller Technology Center is a new program that is being instituted. This program is in partnership with the University of California, Merced. It is anticipated that more partnerships with UC Merced will enhance all of the programs in the future.

4. SUBCONTRACTING

DOE guidance on community involvement and outreach is as follows:

The contractor should briefly summarize its subcontracting plan. If the contractor is participating, or plans to participate in the Department's Mentor-Protégé Program, this involvement or planned involvement, should be summarized. Information concerning its subcontracting plans already submitted and approved does not need to be redeveloped or renegotiated.

4.1.1. Current Programs

4.1.1.a. Diversity efforts in the area of subcontracting are addressed by the Laboratory's Business Affirmative Action Office (BAAO). This office is both thorough and comprehensive in its efforts to identify and utilize diverse small business suppliers and vendors. Approximately four years ago, the BAAO was instrumental in establishing a supplier management program within the Procurement & Materiel Department. The primary focus of this program is to identify a procedure for the acquisition, qualification, assessment and selection of suppliers to perform work at the Laboratory. The BAAO's principle function is to assure that Small Business Enterprises (SBEs), Small Disadvantaged Businesses (DBEs) and Woman-Owned Small Businesses (WOSBs) are sufficiently represented under each North American Industrial Classification Code (NAIC) utilized by the Laboratory in its' procurements. As a result of the BAAO's efforts, the database currently includes over 8,000 SBEs, DBEs and WBEs from the local area as well as nationally. The office also participates in a number of conferences and meetings to gain exposure to small and disadvantaged businesses, including Jet Propulsion Laboratory (JPL) Annual High-Tech Small Business Conference; the Reservation Economic Summit (an American Indian Council Trade Fair); and the Northern California Supplier Development Trade Fair. A web address for the entire list of BAAO outreach activities is referenced in Appendix B.

4.1.1.b. The Laboratory is also committed to continuing its membership/liaisons with the following organizations: The Hispanic Chamber of Commerce, The African American Chamber of Commerce, Northern California Minority Opportunities Committee (NCMOC), Northern California Supplier Development Council (NCSDC), Industry Council for Small Business Development (ICSBD), East Bay Conservation and Reinvestment Commission (EBCRC), National Association of Minority Contractors (NAMC) and the Northern California 8(a) Association.

- 4.1.1.c. The BAAO has also cultivated a network among organizations specifically designed to help us meet our women-owned business goals. This coalition includes, but is not limited to, the following groups: the East Bay Women in Business Roundtable (EBWIR), Professional Businesswomen of California Conference (PBWC), the Women's Business Network (WBN), Women Construction Owners and Executives (WCOE), the National Association of Women Business Owners (NAWBO), the Women's Self Initiative for Self-Employment (WISE), and the East Bay Women in Technology (WITI).
- 4.1.1.d. If a procurement is estimated to be \$500,000 or more, the Contractor is required to submit a Small Business Subcontracting Plan to LLNL in accordance with the requirements as stated in FAR 52.219-9 Small Business Subcontracting Plan (OCT 2000), unless the Subcontractor is a small business or there are no subcontracting possibilities. This requirement can be found in the General Provisions section of each subcontract issued by the Laboratory. Upon its completion by an authorized representative of the company, the Small Business Plan is submitted to the Business Affirmative Action Office for review and approval. In their review the BAAO looks at the proposed percentage of usage for SBE's, DBE's and WBE's on the procurement effort. If the proposed percentages are too low for any of these categories, the BAAO representative will negotiate a higher percentage of utilization with the company submitting the plan.

4.1.2. Planned Actions

- 4.1.2.a. The Laboratory will continue utilizing the activities above to vigorously pursue opportunities to identify and utilize small/disadvantaged business in its procurement actions. The head of the Business Affirmative Action Office recently retired. A search for the new manager is currently underway, and is expected to be finalized during the second quarter of the calendar year. The Laboratory currently does not participate in DOE's Mentor-Protégé Program. However, this decision may be revisited at the discretion of the new office director. More information on the Laboratory's small/disadvantaged business subcontracting plans may be found at the web address provided in Appendix B.

5. ECONOMIC DEVELOPMENT (INCLUDING TECHNOLOGY TRANSFER)

DOE guidance on economic development is as follows:

Technology Transfer planning or activities developed under the contract apply to this element of the contractor's Diversity Plan. Additionally, some of the subcontracting activities planned by the contractor with small business, small disadvantaged businesses, or woman-owned small businesses may be entered into for the purpose of assisting the economic development of or transferring technology to such a business. The contractor's Diversity Plan should outline and discuss its planned activities promoting economic diversification of the local community.

5.1.1. Current Programs

5.1.1.a. The Laboratory's Economic Development activity with respect to diverse communities are primarily addressed in the area of small, disadvantaged, or women-owned (SDWO) businesses described above. LLNL sponsors a viable and effective technology transfer program through its Industrial Partnerships and Collaborations (IPAC) office. The IPAC office posts all opportunities to develop licensing agreements in the Commerce Business Daily (as required), and as such a measure of equality of opportunity for all interested businesses is achieved. However, more focused activities to promote such opportunities among diverse businesses are not a part of the office's operations at this time.

5.1.2. Planned Actions

5.1.2.a. As noted above, the BAAO supports a database of SDWO businesses that wish to do business with the Laboratory. While technology transfer is typically a rather esoteric and specialized activity, there may be any number of these vendors who are both interested in and capable of participating in a Laboratory technology transfer project. Therefore, in the coming year IPAC will work with BAAO and AADP to explore possible ways to assist these companies in participating in LLNL technology transfer opportunities. Further information on LLNL's IPAC office and current technology transfer opportunities are located at the web address shown in Appendix B.

6. RACIAL PROFILING

DOE guidance on racial profiling is as follows:

- 1. The facility's policy on avoidance of profiling based on race or national origin;*
- 2. Informational or educational programs that ensure managers and employees understand these issues and the facility's policy;*

3. *The means by which the contractor will provide employees with avenues for raising issues or concerns about profiling;*
4. *The contractor's use of education, training, and community outreach to partner with its workforce and with established advocacy groups to recruit, retain, and promote a diverse workforce and to review administrative processes that may impact achievement of a truly diverse workforce and workplace; and*
5. *The means by which the contractor will hold management and leadership responsible and accountable for performance under the diversity plan, for example: performance appraisals, compensation, promotions, etc.*

6.1.1. Current Programs

6.1.1.a. Racial Profiling has been a major focus at LLNL since June 1999. At this time, the Laboratory launched a series of events to help ensure all employees, particularly Asian Americans, that they would not be subject to harmful judgments based solely on their race or ethnicity. This prohibition against discrimination has always been a part of LLNL's Equal Employment Opportunity posture. However, events in the aftermath of the Wen Ho Lee case at Los Alamos brought special attention to profiling as a potential problem – particularly for Asian Americans. LLNL Director Bruce Tarter has unequivocally stated his strong opposition to racial profiling, and at the same time has reiterated LLNL's official policy stances against it. In November 2000, UC President Atkinson asked the Lab Directors to report on the actions they have taken to prevent racial profiling. The information submitted is extensive and comprehensive, and gives a rather complete overview of Livermore's actions in this area. The report is attached as Appendix C. AADP continues through a variety of means, to reiterate to the Laboratory population the important message that all forms of discrimination are wrong and prohibited at LLNL.

6.1.2. Planned Actions

6.1.2.a. The Laboratory's anti-profiling campaign has been very successful. Lab employees understand that racial profiling is a type of discrimination, and also understand that it has no place in our efforts to become an employer of choice for members of all groups. Since many of these responses have been incorporated into the Laboratory's AA/EEO/Diversity infrastructure, these efforts will continue to be utilized and refined in LLNL's quest for excellence in this area.

6.1.2.b. The guidance for this section of the plan includes provisions for the Laboratory to address "the means by which management

and leadership will be held responsible and accountable for performance under this plan.” The Laboratory’s intent in this regard is to ensure that managers are cognizant of their duties and responsibilities under the plan, and that they execute these actions accordingly. The specific means by which accountability will be ensured are:

- 6.1.2.b. (1).** Line managers directly responsible for implementing various aspects of this plan will meet on a regular basis with the appropriate senior management representatives and the AADP Director to ensure that:
 - The plan’s provisions with respect to their areas are understood
 - Individual performance criteria and implications are understood
 - Implementation and progress of plan provisions is monitored

- 6.1.2.b. (2).** All other managers and supervisors will be encouraged to participate in and support diversity awareness activities and programs to increase their sensitivity to and understanding of diversity.

- 6.1.2.b. (3).** All managers and supervisors will have included on their performance appraisal an assessment by their supervisor of their support of Diversity and Equal Opportunity.

APPENDIX – A

DOE DIVERSITY PLAN GUIDANCE – (APPENDIX R)

This Guidance is to assist the contractor in understanding the information being sought by the Department for each of the Diversity elements and, where these issues are already addressed in a contract, the contractor need only cross-reference the location.

Work Force

This contract includes clauses on Equal Opportunity and Affirmative Action. The contractor should discuss its policies and plans for implementation of these clauses in its operations. If the contractor already has procedures in place, these should be discussed and copies provided.

Educational Outreach

The contractor should outline or discuss any programs already provided, or which it intends to provide, which will provide employees an opportunity to improve their employment skills and opportunities. These programs may already be discussed in the proposal submitted for this contract or in the contract itself and could include: educational assistance allowance, provision for outside training programs either during or outside regular work hours, and executive training programs for non-executive employees. The contractor should also discuss any plans to participate in any program supporting Historically Black Colleges and Universities, Hispanic Serving Institutions, and Native American Institutions.

Community Involvement and Outreach

Community involvement and outreach activity sections may be cross-referenced and do not need to be repeated. Contractor community relations activities could include support for the following activities: support for science, mathematics and engineering education; support for community service organizations; assistance to Governmental and community service organizations and for equal opportunity activities; and community assistance in connection with work force reduction plans. The contractor may provide support to these activities through direct sponsorship or making individual employees available to work with the specific community activity. The contractor's Diversity Plan should discuss the contractor's existing and planned activities promoting community involvement of its employees.

Subcontracting

The contractor should briefly summarize its subcontracting plan. If the contractor is participating, or plans to participate in the Department's Mentor-Protégé Program, this involvement or planned involvement, should be summarized. Information concerning its subcontracting plans already submitted and approved do not need to be redeveloped or renegotiated.

Economic Development (Including Technology Transfer)

Technology Transfer planning or activities developed under the contract apply to this element of the contractor's Diversity Plan. Additionally, some of the subcontracting

LLNL 2001 Diversity Plan

activities planned by the contractor with small business, small disadvantaged businesses, or women-owned small businesses may be entered into for the purpose of assisting the economic development of or transferring technology to such a business. The contractor's Diversity Plan should outline and discuss its planned activities promoting economic diversification of the local community.

Racial Profiling

Plans shall include, at a minimum, the following elements:

1. The facility's policy on avoidance of profiling based on race or national origin;
2. Informational or educational programs that ensure managers and employees understand these issues and the facility's policy;
3. The means by which the contractor will provide employees with avenues for raising issues or concerns about profiling;
4. The contractor's use of education, training, and community outreach to partner with its workforce and with established advocacy groups to recruit, retain, and promote a diverse workforce and to review administrative processes that may impact achievement of a truly diverse workforce and workplace; and
5. The means by which the contractor will hold management and leadership responsible and accountable for performance under the diversity plan, for example, performance appraisals, compensation, promotions, etc.

APPENDIX – B

REFERENCE TABLE

PLAN SECTION	REFERENCE	DESCRIPTION
1. Workforce	<p><u>Creating the Laboratory's Future</u> www.llnl.gov/director/arr128045/010contents.html http://www.llnl.gov/aadp</p>	LLNL's Strategic Plan Web Page
1.1.2.a	<p>http://www.llnl.gov/aadp</p>	2000 AAP Online Version 2000 Hard Copy
1.2.1.	<p>www.llnl.gov/aadp</p>	AADP Web Page
1.2.1.a	<p>http://www.llnl.gov/aadp/zemploy.html</p>	Employee Network Group Homepage
1.2.1.b	<p>http://www.llnl.gov/aadp/divers</p>	ENG Guidelines - Hard Copy Diversity Dialogue Groups Web Page
1.2.2.b	<p>http://www.llnl.gov/PAO/Newsstand/articles/2001/01-12-01-tarter.html</p>	DDG Brochure (Hard Copy)
1.3.1.a	<p>http://www.eodd-server.llnl.gov/eodd/</p>	EODD Homepage (intranet only)
1.3.1.b	<p>http://eodd-server</p>	Online EDD Training Bulletin (intranet only)
1.3.1.d	<p>http://www.leap.org</p>	LEAP Homepage
2. Educational Outreach	<p>http://www-r.llnl.gov/intranet/007training/training.html</p>	University Relations Web Page University Relations HBCU Web Page
2.1.1.a	<p>http://www.llnl.gov/urp</p>	University Relations HBCU Web Page
2.1.1.b	<p>http://www.llnl.gov/urp/hbcu/</p>	University Relations STEP Web Page
2.1.1.b	<p>http://step.llnl.gov/step_outreach/html</p>	STEP Outreach Activity Web Page

LLNL 2001 Diversity Plan

<p>3. Community Involvement</p> <p>3.1.1.a</p> <p>3.1.2.a</p>	<p>http://step.llnl.gov/step_outreach.html</p> <p>http://education.llnl.gov/teller2k</p>	<p>University Relations STEP Web Page</p> <p>STEP Teller Program Web Page</p>
<p>4. Subcontracting</p> <p>4.1.1.a</p>	<p>Vendor List</p> <p>http://www.llnl.gov/procurement/baao/html/newwendop.html</p>	<p>Business AAO Web Page</p>
<p>5. Economic Development</p> <p>5.1.2.a</p>	<p>http://www.llnl.gov/IPandC/</p>	<p>IP and C Web Page</p>
<p>6. Racial Profiling</p> <p>6.1.1.a</p>	<p>LLNL Report to UC President</p> <p>http://www.energy.gov/HQDocs/rprofilerpt.pdf</p> <p>http://www.llnl.gov/PAO/Newsstand/articles/2000/3-24-00-diversityday.html</p> <p>http://www.llnl.gov/PAO/Newsstand/articles/2000/4-7-00-diversitystanddown.html</p> <p>http://www.llnl.gov/PAO/Newsstand/articles/2000/4-10-00-diversityletter.html</p> <p>http://www.llnl.gov/PAO/Newsstand/articles/2000/10-27-00-diversity.html</p> <p>http://www-r.llnl.gov/newstand/articles/3-24-00-diversityday.html</p> <p>http://www.llnl.gov/PAO/Newsstand/articles/2000</p>	<p>Hard copy</p> <p>DOE Web Page</p> <p>LLNL Newsline Web Page</p>

LLNL 2001 Diversity Plan

	<p>/12-15-00-spiros.html</p> <p>http://www.llnl.gov/PAO/Newsstand/articles/2000/3-31-00-tommymith.html</p> <p>http://www.llnl.gov/PAO/Newsstand/articles/1999/6-25-99ethnic_profiling.html</p>	<p>LLNL Newsline Web Page</p> <p>LLNL Newsline Web Page</p> <p>LLNL Newsline Web Page</p>
--	--	---

APPENDIX – C



Lawrence Livermore National Laboratory

November 6, 2000

Richard C. Atkinson, President
University of California
1111 Franklin St., 12th Floor
Oakland, CA 94607-5200

Dear President ^{David} Atkinson:

I am pleased to respond to your recent request for a summary of actions the Laboratory has taken to address allegations of racial profiling against Asian Americans. My comments below are accompanied by a summary of our past actions and future plans in this area (see attached).

To the specific issue of racial profiling against Asian Americans in the security and counterintelligence efforts at LLNL, I can find no evidence that such has, or is occurring. And we have indeed looked. I want to point out that the Department of Energy is in full control of the investigations for and granting of all DOE security clearances. Our only role is in requesting such clearances for our employees, and the process is automatic for everyone joining the Laboratory who is to engage in classified work. Additionally, the opportunity for foreign travel, as well as the counterintelligence pre-briefing and post briefing processes associated with such travel, have been reviewed and show no patterns that would suggest profiling.

Given recent allegations and apparent perceptions, however, I have started and will continue to look for ways to assure us and our employees that we operate our facility in a manner that is free of bias and discrimination, inadvertent or otherwise. As part of this effort, I have personally met recently with two groups of Asian American employees at the Laboratory, one consisting of people who work in our nuclear weapons program, and the other of representatives of our Asian Pacific American Council, an ethnic/cultural group similar to other such groups for African Americans, Hispanics, and Native Americans. In both meetings I have identified some areas in which we can take both short-term and longer-range improvement of our environment.

I intend to continue these dialogues and information exchanges while broadening the effort to include all employees to ensure we fully understand the breadth of issues and perspectives from all sectors of our workforce. This is part of a major initiative I have recently announced. My goal is to revisit a broad

spectrum of workforce issues, and respond appropriately to ensure the Laboratory provides a work environment that will attract and retain the premier workforces of today and tomorrow.

Finally, you asked for my assessment of the implications of this issue on the Laboratory's ability to recruit, retain and promote an outstanding staff. Similar "brain drain" concerns were identified in the report of the Department of Energy's Task Force Against Racial Profiling. At this point, this is extremely difficult to assess.

Our data as of September 30, 2000, show a slight increase in both the total number of career Asian American employees as well as the career scientist and engineer (S&E) population at LLNL this year versus last. The percentage of our career population of S&Es who are Asian Americans (10.8%) actually exceeds the Laboratory's affirmative action availability for Asian American scientists and engineers (9.9%). And the data for attrition show a relatively small difference for career Asian S&Es (6.1%) as compared to attrition of our career S&E population (5.7%) which, as you know, has increased significantly in the past year. While a preliminary review of application data from June 30, 2000, suggests that the level of applications from Asian Americans may have dropped slightly over the past year (from 9% to 7% of the total number of applications received), the accuracy of this information is difficult to assess since many individuals do not provide ethnicity information, and the percentage of "unknowns" has increased in the same period.

Clearly, the impact on recruitment and retention will take a longer time to play out. The data that we have at present is limited, but I think this overall picture says something significant as to the continuing attractiveness and suitability of the LLNL work environment to Asian American S&Es. We are certainly concerned about the attrition among our Asian S&Es, just as we are concerned with our overall attrition. And the decrease in Asian American applicants, if any, is probably due to the same reasons as the overall drop in our total applicant pool. It is difficult to attribute these effects differentially between the recent stress on the Laboratory's work environment and the particular competitiveness of the Bay Area market for S&Es. There is no doubt in my mind, however, that this past year's frenzy around security, polygraphs and apparent distrust of Laboratory employees is having a profoundly negative impact on all of our dedicated and valued employees.

It is critical for the future of the Laboratory that we continue our efforts to address needs of the entire workforce to assure that we are able to attract and retain the quality workforce for needs of today and the future. Asian American employees, in particular, constitute such an important part of the technical workforce in the Bay Area, as well as nationally, that it is absolutely incumbent upon us to make our Laboratory an attractive place for them to work. For these reasons, I have committed the Laboratory to looking at these issues in detail and developing programs to meet our workforce goals.

Richard C. Atkinson, President
November 6, 2000

Page 3

I hope this letter is responsive to your interests and concerns. If I can be of further assistance, please let me know.

Sincerely,



C. Bruce Tarter
Director

Attachment

**Response to President Atkinson's Request for Information Concerning
the Lab's Response to DOE Racial Profiling Concerns**

I. LLNL has been proactive in its response to issues raised by TFARP

A. Task Force Report Findings

The Department of Energy's Task Force Against Racial Profiling (TFARP) released its official report in January 2000. Among the report's findings regarding LLNL was that the Laboratory faced unique challenges with respect to its Asian Pacific American (APA) workforce's morale. In particular, LLNL APA employees who spoke with TFARP members appeared to question and reevaluate their reasons for coming to, and remaining at the Laboratory. The report notes that the specific causes of these concerns may not be fully known for some time. LLNL supports the report recommendations, and in some cases is ahead of the implementation team's guidance for implementing the report recommendations. This has been aided by the inclusion of the Laboratory's Director of Affirmative Action and Diversity as a member of the DOE implementation team. LLNL began taking actions in response to the situations created by the Lee case well before the release of the Task Force report. Some of these actions coincide with Task Force recommendations. Additionally, other actions have been taken specifically in response to the Task Force report. These actions, as well as others not called for by the Task Force or that were in place prior to profiling issues, are summarized below:

B. LLNL Actions and Initiatives:

1. EEO/Diversity Standdown Program

LLNL participated in the EEO/Diversity Stand Down as requested by DOE. The Stand Down began with Director Tarter giving a welcome and introduction to the nationally broadcast 90 minute program from DOE headquarters. Following the completion of the national program, Director Tarter presented an overview of the local LLNL program. He was followed by Tommy Smith, the Laboratory's Director for Affirmative Action and Diversity, who gave an update on the status of diversity at LLNL and the Laboratory's available AA/EEO and Diversity resources. Smith was followed by the keynote speaker, Dr. Franklin Zimring of the University of California Berkeley Boalt School of Law. Dr. Zimring is a recognized expert on the subject of profiling who spoke on the topic "line *Social Cost of Profiling*. " Zimring in his talk gave an excellent overview of the various uses of profiling in law enforcement applications. This background helped employees to appreciate the security challenges at the center of DOE profiling concerns, while reinforcing the importance of not unfairly singling people out for inordinate scrutiny. After fielding questions and answers, the local program ended with closing comments from Director Tarter, who tasked senior managers with performing an assessment of diversity in their organizations by June 2000.

Based on employee feedback, one of the most positive aspects of the program was that it provided a means for ensuring that all employees were apprised of the Laboratory's and DOE's views on diversity. The Stand-Down ensured that all employees heard these important ideas.

2. Increased Communication Efforts

LLNL has undertaken a number of measures to improve communication across the Laboratory. At the onset of the Lee case and racial profiling concerns, Ron Cochran, the Laboratory's Executive Officer and the AADP Director met on two occasions with APA employees to attempt to gain a better understanding of their issues and concerns. Other communication measures and actions pertinent to this issue include:

- The Laboratory's internal newspaper *Newsline* published statements from Director Tarter and Deputy Director Bob Kuckuck in support of diversity and prohibiting discrimination of any kind - including racial profiling. *Newsline* also provided extensive coverage of the Diversity Stand Down, and other diversity events and functions (5/99 - present).
- Director Tarter met with members of the Laboratory's institutional Diversity Forum, consisting of representatives from every Directorate in the Laboratory, to assess the impact of the Wen Ho Lee case on the diversity environment across the Laboratory (7/99).
- Compilation of anecdotes and experiences of some of the Laboratory's APA employees relating to racial profiling was communicated and discussed with Associate Directors (1/2000).
- In his televised State of the Laboratory address, the Director spoke at length on the importance of diversity and equity to the continued health of the Laboratory, and strongly reiterated his personal commitment to these principles (6/2000).
- Director Tarter, along with the AADP Director met with the chairs of each of the Laboratory's Employee Network Groups (ethnic/cultural groups), including the Asian Pacific American Council, to discuss diversity issues and recommendations for addressing diversity concerns. One immediate result of the meeting was to formally include representatives from the Employee Network Groups on the Institutional Diversity Forum (8/2000).
- Director Tarter has conducted follow-up meetings with members of Asian Pacific American Council (APAC) and other APA employees to better understand to breadth of APA diversity concerns and issues (10/2000).

3. Policy/Administrative Actions to Address Ongoing Concerns

The Laboratory has taken a number of steps to emphasize the importance of diversity including the introduction of new programs, and reviews of administrative processes and policies. Examples of these actions include:

- Management/Supervisory Training - Developed following the Laboratory's 1995 Diversity Survey, LLNL internal supervisory and management development training programs have, since their inception in 1997, included components on diversity awareness and importance of diversity to LLNL's ability to attract and retain a top quality workforce. Discussion of these issues is also a part of the recently inaugurated Management Institute involving mid-level managers (3/2000).
- Leadership Lecture Series - Inaugurated this year, the series brings prominent lecturers at the forefront of leadership research to diverse audiences in the Laboratory's main auditorium and by Lab TV to employees at Site 300. Lectures were followed by group sessions and working lunches with senior Laboratory managers. David Tulin recently spoke on "Leveraging Emotional Intelligence Leadership Competencies to Advance Diversity Best Practices and High Performance Teams" (3/2000).
- Workforce Demographics - Data regarding the demographic composition of the Laboratory's workforce are now available on the web. Currently, data shown is as of 4/7/2000. This action is also consistent with a TFARP recommendation to publish baseline human resources data on "...diversity representation by grades, with respect to all Federal and Contractor employees" (4/2000).
- Directorate Diversity Status - Director Tarter tasked each Associate Director with performing an in-depth review of their directorate to assess the status of diversity; in particular, ADs were asked to identify any issues remaining from the Laboratory's 1995 Diversity Survey. The Laboratory's Diversity office and the Institutional Diversity Forum assisted with this effort. Director Tarter is currently reviewing these reports for appropriate subsequent action (7/2000).
- Screening Committees - The Laboratory has a number of openings for senior management positions in technical and programmatic organizations. Screening committees reflecting LLNL's diversity have been formed for each of these positions. Deputy Director Jeff Wadsworth worked with the AADP Director to develop strategies to ensure diverse applicant pools for these positions (9/2000).

4. Programs/Activities Expanded in Response to Employee Requests

The Laboratory's Affirmative Action and Diversity Program continued to plan and sponsor a number of activities designed to increase diversity awareness. Some of these efforts involved an increased emphasis on APA concerns, while others promoted the importance of mutual respect among and for all groups. Activities of this type included:

2. Asian Pacific Heritage Month - In May the Laboratory observed Asian Pacific Heritage month with a variety of speakers and-cultural performances, as it has done for many years. In addition to participants from outside of the UC system, speakers and performers also included Laboratory employees (5/2000).
3. Diversity Day on the Green - This annual event is a "multicultural faire" that celebrates the heritages of all members of LLNL's workforce. In addition to ethnic food and dress, it also includes dance and other cultural performances. Featured in this year's event were Japanese "Taiko Dojo" drummers, along with performers from Russian, Brazilian, and Aztec cultural traditions (8/2000).
4. Facilitated Dialogue Series - One observation of the Diversity Stand Down was that it did not offer an opportunity for extended dialogue around the issues of Diversity. This new quarterly series will address this concern by hosting eminent speakers to address relevant diversity topics in the main auditorium, which will be followed by smaller facilitated dialogue sessions. The inaugural speaker for this series will be Prof. Eric Foner of Columbia University, President of the American Historical Society and author of *"The Story of American Freedom"* (11/2000).

5. Additional Efforts to address Diversity and Workforce Issues

The Director has initiated a review of a broad set of workforce issues in FY2001 that will include diversity, recruitment and retention, career development, and worklife. Part of this effort will be to gather Laboratory employees' views through surveys and/or focus groups. The Director intends to involve a diverse set of employees in these activities, including soliciting their input for solutions. One effort that has already been determined will focus on understanding the elements for individual success at the Laboratory, including factors that may have contributed to the success of minority and female employees. Plans to proceed with this effort have been positively received by the Employee Network Group leadership and the Institutional Diversity Forum.

II. LLNL has had an active program in this area pre-dating the Wen Ho Lee incident

Prior to the Wen Ho Lee incident and allegations of racial profiling at DOE and contractor facilities, the Laboratory's diversity organization was focused on completing the implementation of the action items resulting from the 1995 Diversity Survey. These actions were substantially completed by 1998, and AADP, working in conjunction with the Institutional Diversity Forum was in the process of developing new initiatives to promote diversity and achieve AADP's 10 strategic diversity goals. Initiatives under consideration at that time included:

A. Development of Culturally-Based Leadership Training for all Employees LLNL has offered Leadership Education for Asian Pacifics (LEAP) training to Asian Pacific American (APA) employees since 1992, and is responsible for LEAP's largest number of Northern California participants. Using LEAP as a model, AADP's initiative was to develop or procure similar training opportunities for other cultural/ethnic groups.

B. Professional Development Mentoring Program
This effort was a revision of AADP's cross-cultural mentoring program to have a more overt focus on career development

C. Specific Outreach to Asian Pacific American Community
AADP's outreach to APAs prior to the advent of concerns regarding racial profiling included:

- Attendance at the Asian Pacific Americans in Higher Education (APAHE) annual conference and job fair. Although APAs overall are less underutilized than other minority groups and women at LLNL, AADP attends this function to continue to have access to talented APA potential employees.
- Attendance at the Organization of Chinese Americans (OCA) annual conference and job fair, for the same reasons stated above regarding APAHE.
- Participate in LEAP training. LLNL has participated in this program since 1992 to increase the numbers of APA managers and supervisors. Attendees include two APA employees from each directorate annually, jointly funded by AADP and the sponsoring directorate.
- Asian Pacific American Council (APAC). AADP provides funding and support for APAC, as it does for other ethnic/cultural groups. Funding also includes matching funds for scholarships.

APPENDIX

CHRONOLOGICAL OVERVIEW OF EVENTS RESULTING FROM LEE CASE

- Statement from Laboratory Director and Deputy Director affirming value of all employees and zero tolerance for racial discrimination **(May - 1999)**
- APA employees meet with executive officer and AADP director to discuss racial profiling and related concerns **(June/July - 1999)**
- DOE Fact-Finding Delegation visits LLNL, meets with a variety of employee groups and individual employees. AADP coordinates visits and ensures that employees have access to delegation members. Delegates include Tom Tamura, John Robinson, and Yvonne Lee (U.S. Commission on Civil Rights) **(June - 1999)**
- LLNL takes a delegation of approximately 18 employees to LEAP annual awards banquet in Los Angeles. LLNL has offered LEAP training to APA employees since 1992, and is responsible for LEAP's largest number of Northern California participants **(July - 1999)**
- AADP's compliance/recruitment manager attends Organization of Chinese Americans (OCA) annual conference and job fair **(July- 1999)**
- LLNL *Newsline* publishes Director's Office column by AADP director detailing organization's approach to diversity **(August -1999)**
- AADP works with Asian Pacific American Council (APAC) to compile a compendium of anecdotes, incidents, and concerns of individual APA employees. Query was sent to over 600 indeterminate time (permanent) and term employees; approximately 25 responses are received. Results were assembled into an eight page document and transmitted to AADP **(July/August - 1999)**
- LLNL receives report of Fact-Finding Delegation summarizing observations of their visits around the DOE complex, including their 6/30/99 visit to LLNL. *Report notes that career development and salary concerns (as opposed to loyalty issues) appear to be the predominate concern at LLNL* **(September - 1999)**
- LLNL produces an action plan report, detailing actions the Laboratory will take in response to the Fact Finding Delegation's reported findings **(September - 1999)**
- LLNL adds Action Plan and Fact-Finding delegation report to AADP's web page **(September - 1999)**

LLNL 2001 Diversity Plan

- LLNL hosts visit by portion of DOE Task Force Against Racial Profiling (TFARP). Delegates include Deputy Secretary T.J. Glauthier (TFARP Chair), Daphne Kwok (Organization of Chinese Americans), and Yvonne Lee. Visit includes meetings with employee groups and individual employees **(October - 1999)**
- LLNL sponsors funding for Chinese American Public Affairs (CAPA) Educational Forum **(November- 1999)**
- LLNL Executive Officer and AADP Director attend TFARP meeting at DOE Headquarters to participate in developing the Task Force final report **(November-1999)**
- AADP Director begins series of briefings with Associate Directors to inform them of the status of the situation regarding racial profiling, the concerns raised by APA employees in the August report compiled by them, to review directorate demographics, and to discuss the implications of this situation on recruitment and retention **(December- 1999 through February - 2000)**
- LLNL hosts visit by James Lewis (Director, DOE Office of Economic Impact and Diversity). Mr. Lewis meets with senior managers and is briefed on LLNL's efforts to address racial profiling concerns **(January - 2000)**
- Secretary Richardson holds press conference to announce release of Task Force report; announces appointment of Jeremy Wu as DOE ombudsman, and intention to hold EEO/Diversity Stand Down **(January - 2000)**
- AADP Director and compliance manager attend meeting of DOE EEO and Diversity directors to discuss planning of the EEO/Diversity Stand Down **(February - 2000)**
- AADP's compliance/recruitment manager attends Asian Pacific Americans in Higher Education (APAHE) annual conference and job fair **(March - 2000)**
- AADP Director meets with all Employee Network Groups (ENGs') to discuss the Stand Down, and get their input on what should be addressed by and included in the stand down **(March - 2000)**
- AADP Director and two other APA employees attend a public forum to discuss the findings of a newly-published LEAP public Policy report; "*Transforming Race Americans - The Status of Asian Pacific America*" **(March - 2000)**
- DOE Task Force Implementation Team Meeting at DOE OAK, 3-21 **(March-2000)**
- Jeremy Wu visits LLNL to meet with employee groups and individuals **(March -2000)**

LLNL 2001 Diversity Plan

- LLNL conducts EEO/Diversity Stand Down (**April - 2000**)
- LLNL APA employees participate in annual LEAP training program (**April - 2000**)
- LLNL sponsors funding for Chinese American involvement in Public Affairs (CAPA) Asian American Leadership Recognition Awards (**May - 2000**)
- LLNL takes a delegation of approximately 10 employees to LEAP Annual Awards Banquet in Los Angeles. LLNL has offered LEAP training to APA employees since 1992, and is responsible for LEAP's largest number of Northern California participants (**July - 2000**)
- AADP's compliance/recruitment manager attends Organization of Chinese Americans (OCA) annual conference and job fair. Two other Laboratory APA employees also attend (**July - 2000**)
- Laboratory Director meets with representatives of Employee Network Groups to discuss their views/concerns regarding diversity at the Laboratory (**August - 2000**)
- AADP Director meets with LANL compliance manager to discuss implementation of Task Force recommendation to publish workforce demographic data (**August -2000**)

APPENDIX – D

NONDISCRIMINATION AND AFFIRMATIVE ACTION POLICY

Policy - Section A - General

II. Nondiscrimination and Affirmative Action

II.1. Nondiscrimination

The Laboratory is committed to a discrimination-free workplace and neither condones nor tolerates practices that discriminate against any person employed or seeking employment on the basis of race, color, religion, marital status, national origin, ancestry, sex, sexual orientation, physical or mental disability, medical condition (cancer-related or genetic characteristics) as defined in California Government Code Section 12926, status as a covered veteran (Vietnam-era veteran or special disabled veteran or any other veteran who served on active duty during a war or in a campaign or expedition for which a campaign badge has been authorized), age, or citizenship. This policy is intended to be consistent with the provisions of applicable State and Federal laws and University Policies. See Section D.II.4 for Laboratory policy on sexual harassment and See Procedure D.II.4 for sexual harassment complaint resolution procedure.

II.2. Affirmative Action

It is the policy of the Laboratory to undertake affirmative action, consistent with its obligations as a Federal contractor, for minorities and women, for persons with disabilities, and for special disabled veterans, Vietnam-era veterans, and any other veterans who served on active duty during a war or in a campaign or expedition for which a campaign badge has been authorized.

II.2.1. Medical Condition

"Medical condition," as used in Section A.II.1, means "health impairment related to or associated with a diagnosis of cancer or a record or history of cancer" or "genetic characteristics," as defined in the California Fair Employment and Housing Act, Government Code Section 12926 (h).

APPENDIX – E

AADP EMPLOYEE NETWORK GROUP GUIDELINES

Guidelines for the Operation of AADP Employee Network Groups

The following guidelines are established to clarify the requirements which Affirmative Action and Diversity Program (AADP) –sponsored employee network groups (ENG) must meet in order to receive formal Laboratory recognition, including AADP funding support.

I. GROUP DEFINITIONS:

AADP-sponsored ENG's reflect a broad cross section of the diversity represented within the Laboratory's workforce and the nation as a whole. Currently, these groups include:

- American Indian Activity Group (AIAG)
- Amigos Unidos Hispanic Activity Group (AUHAG)
- Asian Pacific American Council (APAC)
- Association of Black Laboratory Employees (ABLE)
- Lesbian/Gay/Bisexual/Transgender Association (LGBTGA)
- Lawrence Livermore Laboratory Armed Forces Veterans Association (LLAFVA)
- Lawrence Livermore Laboratory Women's Association (LLWA)

These groups, when hosting activities co-sponsored by AADP, act in an official Laboratory capacity. Therefore, all ENG officers must be LLNL career-indefinite employees. General membership requirements for non-officers, including participation at ENG events, shall be determined by the ENG, in accordance with other applicable LLNL and University of California (UC) policies and procedures. ENG's are officially identified as affiliated with AADP and LLNL by having the group president or chair sign the *Employee Network Group Sponsorship Agreement* (AADP99-028).

II. PURPOSE:

AADP's primary diversity objectives include helping to promote inclusion, awareness, understanding, and mutual respect within LLNL's workforce. An initial and fundamental step in achieving these goals involves increasing awareness of groups not represented by the dominant culture. Partnering with ENG's to gain insights and help educate the workforce on cultural issues and concerns of ENG's broader constituencies will improve AADP's effectiveness in this area.

The purpose of the Network group's involvement with AADP shall therefore be to promote AADP's diversity goals, including increasing understanding and awareness of the constituency represented by the group, through educational and other related

activities. The AADP director, or the director's designee, shall determine whether the group's activity is consistent with AADP's diversity goals and mission.

III. AADP CONTACTS FOR ALL MATTERS RELATING TO ENGs

Lorie Valle, ext. 2-1770	Diversity Awareness Program Manager
Michele Cardenas, ext. 3-2796	Administrative Support
Kathleen Martinez, ext. 3-4142	Administrative Support (alternate)

IV. LABORATORY-PAID PARTICIPATION:

Network group participation shall be on non-work (volunteer) time, unless pay status is approved in advance by either the participant's department or AADP. Network events should be scheduled around the noon hour to best accommodate and increase network group participation and support.

V. CONDITIONS OF EMPLOYMENT ADVOCACY:

LLNL guidelines:

http://www.hr.llnl.gov/PDF/hr_admin/pppm/J_Employee_Org.pdf

HEERA info: <http://www.ucop.edu/humres/labor/heera/>

University of California employees are free to seek union representation to represent their issues to management. Such interactions are regulated by the Higher Education Employer-Employee Relations Act (HEERA). Laboratory management's official interface with such groups is Human Resources, Staff Relations Division. AADP ENGs are not intended to perform this role; therefore, AADP ENGs are not permitted to serve as advocates for or to represent individual employees or groups in negotiations, grievances, complaints, or other disputes with management. ENGs that engage in any of these types of activities could then be identified as a union and should more appropriately interface through the Laboratory organization (Staff Relations) officially tasked with ensuring HEERA compliance. Consistent with Laboratory policy, official Laboratory-sponsored funding and endorsement through AADP must then be withdrawn.

VI. OPERATING GUIDELINES:

In addition to the guidance provided in this document, all other AADP guidelines and all applicable Laboratory policies will be in effect. Specific guidelines for the disbursement of AADP funds are described in Section XII, FINANCIAL SUPPORT.

VII. PUBLISHED IDENTITY:

The ENG must identify affiliation with AADP and LLNL for co-sponsored events by indicating so on all published documentation concerning such events. This applies to network group notices and announcements of all Laboratory-wide events (e.g., fliers) carried out in partnership with LLNL, letterhead (if applicable), and correspondence outside of LLNL. AADP shall approve all co-sponsored documentation before publication is made.

VIII. COMMUNICATION:

LLNL computer use policy applies. All Laboratory-wide network group communication must be approved in advance by AADP (e.g., fliers, *Newsline*). Operation of an LLNL Web page requires approval by AADP. AADP maintains a web page that is available for network group use (refer to Web site: <http://www.llnl.gov/aadp/>).

IX. ON-SITE EVENTS:

Sponsored, on-site events require prior approval from AADP.

Insurance coverage is provided for AADP-approved official LLNL events only. Funding aspects of on-site events are listed in Section XII. FINANCIAL SUPPORT.

X. FUNDRAISING:

On-site fundraising is limited and requires AADP prior approval. Food sales are not allowed unless approved by AADP. Network group food sales events must be in compliance with Hazards Control guidelines.

Solicited donations are not allowed unless approved in advance by AADP. Product sales are not allowed on-site. Sale of network group goods may be accommodated by the LLESA Employee Store.

XI. OFF-SITE EVENTS:

Requires prior approval from AADP, if the ENG is participating in the activity as an official LLNL Employee Network Group.

XII. FINANCIAL SUPPORT:

Employee network groups are eligible to receive available AADP funding. AADP shall notify the ENG at the beginning of the fiscal year as to the amount of funding available

LLNL 2001 Diversity Plan

to each group. Funds shall be divided equally among the identified AADP employee network groups. Disbursement of funds is subject to the guidelines and procedures listed below.

AADP will be responsible for assuring that the dispersal of funds in each particular case is allowable under LLNL's contractual agreements with the Department of Energy (DOE) and permitted under UC policy.

Each employee network group should maintain a bank account. Sponsored ENG's may use the LLNL nonprofit Tax ID number when establishing bank accounts.

Each ENG may use its budget for purposes that the group deems appropriate—e.g., scholarships, speakers, special events, etc.—as long as the activities are allowable under Laboratory guidelines and consistent with the goals and practices of AADP. Overall budget responsibility for these funds rests with the AADP director, who reserves the right to redirect funds based on overall Laboratory and AADP objectives.

Approval for disbursement of funds must be obtained in advance from the AADP Office and the Laboratory's Business Services Office. This approval will ensure that the expenditure is allowable, meets AADP programmatic objectives, and is consistent with Laboratory policy and that appropriate protocol is employed. Noncompliance with the approval process for disbursement of funds may result in an unauthorized procurement and personal liability to the employee.

Examples of allowable expenditures include the following:

- Speaker honorarium and travel expenses
- Scholarships
- Catering (by LLNL's food service vendor) for special events
- Labor charges for event setup
- Multimedia support
- Travel expenses for group members to attend appropriate conferences, meetings, or training
- TID printing

These funds may not be used for entertainment, speaker gifts, recognition awards, or other items specifically prohibited by Laboratory policy. Detailed procedures for completing approved expenditures are provided in subsequent sections of this memo. Items that your groups may want to handle that are not mentioned in this memo or fall into areas where policy is ambiguous should be discussed with the AADP office before any funding commitments are made. The procedures provided below are designed to ensure compliance with Laboratory policy and AADP's programmatic objectives.

A. General Guidelines:

1. Involve AADP in the planning process as early as possible. AADP will ensure that the proposed activity is within the scope of allowable items and grant approval for

that activity. AADP will begin any required paperwork and identify which tasks can be handled through the AADP office and which tasks should be handled by the ENG.

2. Funding requests must be received by the appropriate AADP contact **no less than two weeks prior** to an activity, but as much lead time as possible would be preferred in order to minimize problems associated with last-minute arrangements. Late requests may result in approval being denied.

B. Cultural Awareness Events:

1. The FY01 budget for cultural awareness events is \$1400 for each group. In addition, AADP will cover the cost to print one flier for Lab-wide distribution per ENG. All requests should be worked through the appropriate AADP contact.

2. In order to minimize unauthorized requests, all funding requests must have the endorsement of the ENG president, chair, or co-chair and must be submitted to the AADP contact.

C. Outside Speakers:

General. Speakers for ENG events must be approved by AADP. In general, speakers must be relevant to the event, and be credible professionals in their field. Speakers also should demonstrate cultural sensitivity and respect for diversity. The speakers' topics should be appropriate for the Laboratory's role as a federally funded institution and should not be political or religious in nature. Honorariums for speakers are not required but may be provided when deemed appropriate by the sponsoring ENG and AADP.

General guidelines for establishing speaker honorariums are as follows:

- \$250 For local and/or relatively unknown speakers
- \$500 College professors and similarly situated professionals
- \$1000 Chief executives and community leaders
- \$1500 Nationally renown speakers

Note: Per Laboratory policy, honorariums cannot be paid to an organization but must be paid directly to an individual. Social security number is required.

Transportation and/or lodging costs for guest speakers may also be provided with AADP approval. AADP will establish the appropriate protocol for high-level speakers and will determine if guests from DOE, UC, or other organizations should be invited to meet with the speaker. AADP will also handle all paperwork required for payment to the speaker.

ENGs electing to use speakers not funded by AADP must obtain approval from AADP; however, ENGs are expected to handle all their own arrangements or work with the funding department.

Procedure. The procedure for securing speakers for LLNL-funded events is as follows:

1. Once the proposed speaker is identified, contact AADP. It would be helpful if an ENG representative had already made a preliminary informal inquiry to the speaker as to availability and cost. AADP will confirm what current policy is with respect to honorarium amounts and other allowable expenses. **Please note that these inquiries must not be construed as constituting a guarantee of payment** (see earlier discussion on unauthorized procurements). If it is necessary to reserve a date and time with your proposed speaker, indicate that an official offer will come from AADP.

2. AADP will determine whether it is appropriate to sponsor the speaker, verify that sufficient funding is available, and as appropriate, make all honorarium and travel expense arrangements. This process will include obtaining Business Services' approval, sending out an official invitation to the speaker as an invited guest, and coordinating honorarium payments and travel reimbursements as well as determining what travel costs are allowable with the invitation (if any).

3. AADP will work with the ENGs on any other arrangements that may be necessary (scheduling meeting rooms or auditoriums, arranging working lunches and badging, and setting up additional tours or meetings as desired).

4. AADP will invite all appropriate guests (DOE, UC, etc.) according to protocol.

D. Scholarships:

General. AADP provides funding for scholarships in conjunction with our commitment to affirmative action and increasing the numbers of women and minorities within LLNL's workforce. As such, ENGs representing a group targeted by federal affirmative action regulations (i.e., women, African Americans, Asians, Hispanics, American Indians, veterans, and people with disabilities) are eligible to receive these funds in accordance with the following guidelines.

Procedures. Funds are available to eligible associations on a funds-matching basis. The maximum limit on these funds for FY01 is \$1400 per network group. This amount may vary in future budget years depending on AADP's overall funding levels, but every attempt will be made in future years to meet or exceed this level.

1. Up to \$1400 will be matched, on a dollar-for-dollar basis, with scholarship funds raised by ENGs. Monies must be raised from sources other than LLNL programmatic funds.

2. The following groups are eligible to receive scholarship funding:

- American Indian Activity Group (AIAG)
- Amigos Unidos Hispanic Activity Group (AUHAG)
- Asian Pacific American Council (APAC)
- Association of Black Laboratory Employees (ABLE)

LLNL 2001 Diversity Plan

- Lawrence Livermore Laboratory Armed Forces Veterans Association (LLLAFVA)
- Lawrence Livermore Laboratory Women's Association (LLLWA)

3. The employee network group must submit scholarship procedures and criteria to the AADP contact for approval prior to committing scholarship awards to selected candidates. The information submitted should include:

- Eligibility requirements (e.g., school enrollment status, required GPA, association membership status, etc.)
- Selection criteria
- Selection process
- Receipts of generated funding for matching funds

4. Approvals:

In general, AADP's intent is to allow the ENG as much autonomy as possible in administering its scholarships. However, certain administrative policies and legal statutes must be adhered to by the Laboratory in order to comply with Contract 48 cost allowability requirements. These include:

- **Race/gender requirements.** Legislation and policy within the University of California and the State of California prohibit race, gender, color, ethnicity, or national origin from being used as eligibility criteria for scholarship awards.
- **Academic standing.** LLNL has traditionally placed a high value on technical and academic excellence. In keeping with these values, ENGs are encouraged to require grade point averages of 3.0 ("B") or higher for scholarship awards. However, incentive awards for lower achieving students (2.0 minimum GPA) who demonstrate significant improvement or potential may be granted with AADP approval.
- **Institutions.** Scholarship recipients shall be enrolled or accepted in an accredited community college, college, university, or approved vocational school.
- **Citizenship.** Scholarship funds shall be awarded to U.S. citizens only.

ENGs requiring assistance with developing scholarship procedures and criteria may contact AADP.

Funds shall be requested two weeks in advance, in accordance with the procedure discussed in the paragraph labeled **General Guidelines** (on page 5). Receipts for matching generated funding should accompany AADP funds request.

E. Budget Overruns:

Budget overruns are disruptive and unfair to other ENGs who have been careful in their spending and, therefore, are to be avoided at all costs. Should overruns occur, the amount of the overrun will be deducted from the following year's funding.

AADP99-027:TS:lv:ld