U.S. Department of Energy
Energy Efficiency and Renewable Energy

Foreword

Multi-Year Program Plans (MYPP) are intended primarily to serve as operational guides for programs to manage their activities and as a source of information to help Energy Efficiency and Renewable Energy (EERE) management identify clear linkages between key program activities and progress toward goals. It is understood, however, that they are also read by a broad group of program stakeholders and may serve other purposes as well.

Strategic planning in government is closely integrated with budgeting. In effective organizations, planning and strategy guide budget requests, not the other way around. Strategic planning enables programs to create logical budgets and manage their activities toward programmatic and agency goals. MYPPs, which are more tactical in nature, should be closely integrated with program and EERE strategic plans. A program's strategic plan should inform its MYPP, which in turn informs its annual operating plan (AOP).

The MYPP should present the pathways and activities that a program will pursue over a five-year planning horizon toward achieving its goals and objectives, based on reasonable expectations of the program budget. While programs should write their MYPP with funding assumptions in mind, they are not required to indicate those assumed funding levels in the MYPP. Programs should conduct separate scenario analyses to determine the sensitivity of their program outputs to differing budget levels. Multi-year planning enables programs to link performance outputs and outcomes to the budget process, an increasingly important requirement. With adequate planning, a program clearly defines the relationship between resource allocation decisions and the expected outputs of funded activities. A sound multi-year planning process enables programs to implement a strategy that can be adjusted over time. The MYPP provides a guide for implementing that strategy, communicates value to program stakeholders, and provides a metric for public sector accountability.

Congressional, administrative, and departmental guidance and requirements underscore the need for effective planning. The Government Performance and Results Act (GPRA) calls for the linkage of budget requests to strategic plans. Congress has also called for five-year budget submissions that include detailed

resource requirements. The President's Management Agenda (PMA) and the Office of Management and Budget's (OMB) Program Assessment Rating Tool (PART)
require program justification based on performance goals, funding links to activities, established milestones, progress measurements, and end points. In addition, the Department's Chief Financial Officer (CFO) increasingly has used program plans in the budgetary process.

Furthermore, programs should keep in mind the timing of planning, budgeting, and performance assessment activities, and their relationship to one another.

Multi-Year Program Plan Template: At a Glance

The MYPP template provides guidance to EERE programs on developing effective program plans. It provides a general framework for multi-year planning, and includes the rationale for the various sections to be included in the MYPP. This Phase II Guidance is an update to the Phase I guidance released in January 2005.

The revisions to this MYPP guidance are based on extensive interviews with each of EERE's Technology Development (TD) programs and selected staff from the Office of Planning, Budget, and Analysis (OPBA). The results of the Strategic Technical Review (STR) meetings, held by the Deputy Assistant Secretary-TD for each of the TD programs in the Fall of 2005, also informed the decision to make these revisions. OPBA took the lead in making the template modifications and working with a review group (Douglas Goodman, OPBA; David Rodgers, Building Technologies Program; and JoAnn Milliken, Hydrogen, Fuel Cells, and Infrastructure Technologies Program) to finalize the MYPP Template.

It is understood that EERE programs need flexibility in developing their MYPP. On the other hand, flexibility must be balanced with the need for consistency across EERE that enables the reader to understand how the programs are unique parts of an integrated organization. Efforts have been made in this Phase II guidance to address any redundancies or shortcomings found in the Phase I guidance and to give programs more flexibility in certain sections of the MYPP while striving to maintain a consistent MYPP scope across all programs. While programs should strive to adhere to the guidance presented in this template, they should also feel free to add additional components to their MYPP not specifically called for in this template where they feel appropriate. Some of the changes made in this Phase II guidance include the following:

- An Executive Summary has been added in which programs can give a succinct overview of their MYPP in one or two pages.

- The Program Overview section has been streamlined to reduce redundancies with the Technology Research, Development, and/or Deployment Plan section. The Program Overview also includes a new subsection on program logic that demonstrates how the program's designed structure will apply resources to produce outputs and achieve intended outcomes consistent with the goals, vision, and mission.

- The Technology Research, Development, and/or Deployment Plan section gives programs more flexibility in the manner in which they present their technical plans. Specifically, programs are given the option of describing each program element or subprogram separately (as was required in the Phase I guidance) or using a more crosscutting approach in cases where program elements are closely linked (e.g., they share similar goals, market barriers, etc.). Programs are also encouraged to include a rolled-up summary of program milestones, decision points, and critical paths at the beginning of this section before going into each of the program elements. Also, a subsection on crosscutting issues that includes communications and outreach has been added to this section. Finally, this section now directly follows the Program Overview, making it the focal point of the document.

- The Program Portfolio Management section (now the final section in the template) replaces what was called Program Critical Functions in the Phase I guidance. It gives a more cohesive picture of the planning, analysis, and evaluation activities conducted by the programs, and puts these activities within a multi-year planning framework.

- The Program Administration section from the Phase I guidance has been eliminated, with one element (communications and outreach) moved to the Technology Research, Development, and/or Deployment Plan. This section was moved because communications and outreach are parts of a program's approach rather than administrative functions.

- Examples from past MYPPs that are representative of the sections called for in this guidance have been moved to an Appendix. The examples can be accessed through hyperlinks that are embedded in the relevant sections of the guidance.

The MYPP guidance is laid out in the following order: Executive Summary; Program Overview; Technology Research, Development and/or Deployment Plan; and Program Portfolio Management; followed by appendices that include sample sections from past MYPP, a glossary, MYPP Drivers, and a guide to assist

programs in developing logic diagrams. A brief overview of what should be included in each section of a program's MYPP in the following sections.

Executive Summary

The Executive Summary should succinctly summarize the key components of the MYPP in one to two pages. It should briefly introduce the program, its goals and its structure, and should give an overview of the program's portfolio, highlighting the program's approach, major targets, and critical paths. The Executive Summary should provide a general overview of what type of R&D and/or deployment/market penetration activities the program is pursuing over the next five years and why those activities are important. Programs are encouraged to include a Gantt chart in the Executive Summary that summarizes major programmatic milestones and decision points.

Section 1: Program Overview

The Program Overview provides an introduction to the program, including an examination of the external context and market in which the program operates, the program's history, the reason for funding a federal program in this area, as well as the program's mission, vision, and goals. This section also describes the logic of the program, that is, how the program's designed structure will apply resources to produce outputs and achieve intended outcomes consistent with the vision, mission, and goals.

Section 2: Technology Research, Development, and/or Deployment Plan

This section presents the technical plan for both R&D and deployment programs as the level of detail of the MYPP shifts from the program level to the element or subprogram level. Some programs may choose to write a separate technical plan for each program element or subprogram, in which the details of each program element will be examined as if each were a separate program with goals, approaches, markets, challenges and barriers, and the related tasks, milestones and decision points addressed for each element. This deeper examination is especially helpful to those programs whose activities range across a wide variety of areas and who find it difficult to "roll up" activities into broad, program-level descriptions.

Other programs whose various program elements are closely linked or share similar issues may find it more cumbersome or repetitive to write a separate section for each element that addresses goals, barriers, and strategies. Such programs may opt to address these issues in a more crosscutting fashion as they see fit. Programs are strongly encouraged to use Gantt charts to illustrate milestones and decision points.

Section 3: Program Portfolio Management

This section describes how the program develops and manages its portfolio of research, development, and/or deployment activities. It identifies planned activities for portfolio management functions including portfolio decision making, analysis, performance assessment, and data collection to support performance assessment and describes how those functions inform one another. The detailed results of current portfolio management activities can be provided in the Technology Research, Development, and/or Deployment Plan in Section 2, whereas plans for such activities should be discussed in this section (Section 3).

Appendix A: Examples from Past Multi-Year Program Plans

Where available, links to representative examples from past MYPPs are included throughout the template as a reference for programs in developing their MYPP. The links embedded throughout this MYPP guidance connect directly to examples listed in Appendix A and vice versa.

Appendix B: Glossary

A glossary of key terms used in this guidance is included in Appendix B.

Appendix C: MYPP Drivers

Appendix C provides a brief overview of some of the drivers for the MYPP.

Appendix D: Logic Diagram Development Guide

Appendix D explains the scope and purpose of a logic diagram and includes a step-by-step development process.

Reference

Department of Energy's Office of Energy Efficiency & Renewable Energy (2006). *Multi-Year Program Plan Template Phase II Guidance.* United States Federal Government, USA. The MYPP Template Phase II Guidance in its entirety may be accessed at:
http://www1.eere.energy.gov/ba/pba/pdfs/eere_guide_mypp_0606.pdf

The purpose of execution planning, which encompasses the Annual Operating Plan (AOP), is to facilitate program planning and communication and to establish a baseline for measuring the progress over the course of each fiscal year (FY).

The AOP will identify the program mission and functions, which support the overall mission and functions of the higher-level organizations, program strategic objectives, FY tasks planned under each strategic objective, and the personnel and fiscal resources assigned for task accomplishment. The AOP will also identify responsibilities, planned milestones, controls for program execution, and interfaces and interrelationships with other organizations.

A general framework for conducting one-year operational planning is as follows:

- Assemble planning team,

- Review goals and objectives,

- Identify planned accomplishments for the year with associated measures and standards,

- Identify what work will be assigned,

- Identify who the work will be assigned to,

- Identify required funding,

- Identify vehicles for assigning the work,

- Identify milestones for ensuring vehicles are in place to assign and fund the work,

- Plan and establish projects,

- Identify scope of projects, major milestones, technical goals, and probable cost, and

- Establish Project Managers and provide necessary staff resources.

The Annual Operating Plan (AOP):

- *Facilitates planning,*

- *Establishes a baseline for measuring progress, and*

- *Identifies the program's mission, functions, and resources.*

A. Background and Purpose

The purpose of a program AOP is to facilitate program planning and communication, and to establish a baseline for measuring the progress (over the course of each FY) of programs established within Energy Efficiency and Renewable Energy (EERE). The AOPs are prepared annually prior to each FY for all identified programs within EERE.

B. Development

The Program Manager is assigned responsibility for preparing the AOP by the respective Deputy Assistant Secretary for Energy Efficiency (EE), Deputy Assistant Secretary for Renewable Energy (RE), and Deputy Assistant Secretary of Business Administration.

It is expected that the majority of the information will be communicated by tables and charts that can also be used as a baseline for Program Progress Reviews. Narrative information should be as brief as possible, and should reference reports and Multi-Year Program Plans where appropriate. The primary intent is to establish an efficient FY planning process that will assist all management levels in effectively communicating and tracking progress of various programs. Since the AOPs will be developed prior to the FY and it is necessary that the program managers plan their execution of funds, the Spend Plan is developed and included as part of the AOP. In addition, a complete project listing is required. The project listing centralizes basic program information that often needs to be communicated quickly to the Assistant Secretary.

Contractor personnel can assist in the formulation of AOPs; however, since approved AOPs contain sensitive budget information (e.g., program Spend Plan), they are for internal distribution only.

The Deputy Assistant Secretaries for EE and RE and the Deputy Assistant Secretary for Business Administration are authorized to approve the AOP and all revisions thereto. Revisions are required when changes in the planned FY program funding exceed ±25% of original value, or if programmatic changes occur that have a significant effect on management of projects.

Approved AOPs will be distributed under a cover memorandum to the program and business management personnel responsible for program success. In addition, the following individuals, as a minimum, should receive copies of the approved AOP:

- Deputy Assistant Secretaries;

- Administrative Officer;

- Office of Planning, Budget & Analysis Budget Specialist; and

- Principal Deputy Assistant Secretary.

C. Instructions for the Preparation of Annual Operating Plans

Instructions for preparing the AOP are provided below. The AOP consists of ten sections not including the cover sheet, change sheet, and appendix. Each page of the AOP must be appropriately marked, "For the Department of Energy's (DOE) Internal Use."

COVER AND CHANGE SHEETS

Cover Sheet: Include the program name, fiscal year, revision number, date, and preparer/approval signatures. The cover sheet is the official program approval sheet and must be signed each time a revision is issued.

Change Page: Provide a statement explaining that the revision is a result of programmatic, technical, or funding changes. Include the page number i.

TABLE OF CONTENTS

Include a table of contents with the page numbered ii.

SECTION 1.0 PURPOSE

Explain the purpose of the AOP. For example:

"The purpose of this AOP is to specify the planned activities during FY 20XX in support of the Program. This plan identifies what activities will be accomplished, when they will be accomplished, and what resources are necessary for these activities. It serves as a basis for periodic program reviews and documents basic project information."

SECTION 2.0 SCOPE

Explain that the AOP is for internal use only and is not to be distributed to contractors. It is an internal program execution document and is not meant to be a strategy or multi-year planning document. Remember to appropriately mark each page of the AOP, "For DOE Internal Use."

SECTION 3.0 PROGRAM MISSION AND FUNCTIONS

Describe the overall mission and functions of the program. Explain why the program exists, what the major technologies or program elements are, and how they relate to Program/EERE/DOE missions and functions. The program mission and functions should describe the type of activities for which the program management team is responsible (e.g., propulsion system technology development, vehicle/ fuel deployment, exploratory development, materials, etc.). If necessary, some brief background information may be included in this section.

SECTION 4.0 PROGRAMMATIC STRATEGIC OBJECTIVES

Describe in narrative form the strategic or multi-year objectives of the program. Number strategic objectives sequentially.

Under each strategic objective, briefly describe the ongoing and planned program activities. These activities may span several years with a multitude of supporting programs and tasks.

SECTION 5.0 FISCAL YEAR TASKS

Identify the tasks or projects to be completed in the upcoming FY that will help accomplish the strategic objectives of the program. Each task or project should be aligned with a strategic objective.

SECTION 6.0 MILESTONE PLAN

Provide a Milestone Plan organized by strategic objective that identifies the major program milestones for the FY. Include the responsible program office personnel and planned completion dates. The milestone plan will be used as a basis for measuring the progress of program execution. The milestone plan may be a table or Gantt chart.

SECTION 7.0 RESOURCES

Describe the assignment of personnel and fiscal resources required for executing the program. Identify program manpower assignments in a responsibility matrix by task. Include the names of the program staff and an approximate percentage of time spent on the program. It may also be helpful to include an organizational chart which identifies the functional responsibilities of major participants (e.g., program/technical management support, national laboratory role, procurement offices, etc.). Provide FY budget resources in the form of a Spend Plan based on the average of the House and Senate marks, unless further information is known about the upcoming FY budget. Provide this FY Spend Plan as part of the AOP. Identify fiscal resources by strategic objective along with planned capital equipment dollars and previous year carryover dollars.

SECTION 8.0 PROGRAM INTERFACES AND SUPPORT

Provide a listing of contacts by organizations supporting the program and list work agreements and reporting requirements. Identify cooperative agreements with other organizations or agencies. Include phone numbers of key individuals to contact should the cognizant personnel not be available.

SECTION 9.0 HARDWARE AND DOCUMENT DELIVERABLES

List the major hardware and report deliverables planned for the FY (e.g., brassboard systems, subsystems, vehicles, conceptual design reports, cost studies, benefit analyses, etc.). List the large end products that represent tangible results of the research and development invested. It is not necessary to list all contract deliverables (e.g., routine test plans, management plans, etc.); however, significant hardware or deliverable items should also be included in the milestone plan.

SECTION 10.0 COMPLETE PROJECT LISTING

List the ongoing or FY planned projects. Include the project listing. Include on the listing: the prime contractor and key subcontractors, points of contact, contract amounts, cost share percentage, start dates, durations, and an indication of small business status. Enter the project information into the EERE Corporate Planning System (CPS).

Help Menu

AOP/Program Execution Plan:

The EERE Corporate Planning System provides EERE management with the ability to produce the AOP and the Annual Spend Plan.

Additional information about the CPS's role in AOP development can be located in Chapter 8 of this Guide: EERE Information and Business Management Systems.

Does Your Plan . . .

- Identify work necessary to achieve or make significant progress towards program goals and objective?

- Align with and map to field activity/national laboratory/contractual plans for the fiscal year?

- Act for resources needed to execute the expected level of available funding?

- Put in place or plan for tasking/financial assistance instruments e.g., contracts, task orders?

Reference

The Standard Operating Procedure (SOP) Annual Operating Plan (AOP) guidance may be accessed at: http://eere-intranet.ee.doe.gov/BA/IBMS/pdfs/annual_operating_plan_guidance.pdf.

U.S. Department of Energy
Energy Efficiency and Renewable Energy
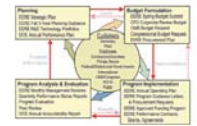
A. Background and Purpose

The Program Progress Review (PPR) provides a program status for management review, in a standard format.

PPR presentations are prepared based on scheduled PPRs.

The purpose of the Program Progress Review (PPR) is to present periodic status of each program for management review. To ensure that the information presented is complete, a standard presentation slide format has been developed.

The PPR presentation slides and handouts will be prepared for scheduled PPRs at times set by management. The PPR presentations outline the mission, tasks, schedule, resources (both personnel and fiscal), deliverables, and other agency interface issues for each program.

B. Program Progress Review Development

The Program Manager is responsible for preparing and delivering the PPR presentation.

The Program Manager is assigned responsibility for preparing the PPR by the cognizant Office of the Deputy Assistant Secretary for Technology Development (e.g. the Deputy Assistant Secretary for Energy Efficiency or the Deputy Assistant Secretary for Renewable Energy). The Program Manager delivers the PPR presentation on dates set by management. Approved PPR presentation materials will be collated into a booklet that will be made available on the date of the PPR. The Program Manager should provide approximately 15 copies.

C. Instructions for the Preparation of Program Progress Reviews

PPR preparation is assigned to the Program Manager.

The Program Manager delivers PPR presentations.

The PPR consists of a series of slides to present program status to all levels of management. The following instructions for preparing PPRs are provided to ensure consistency. These instructions are meant to establish the minimum content required and a recommended style and format for the first round of PPR presentations. A sample PPR is provided on page C-2. Program managers have the flexibility to change the format and graphics to suit their needs. As reviews are held, it is likely that the requirements will be updated.

Program

On the first slide state the presentation title, "Program Progress Review." Below the revision number state the name of the Program Manager followed by a short description of the program mission. Place the presentation date and the page number on the lower right hand corner of the slide.

For the remaining slides in the presentation, the header will contain the program title. The footers will contain the presentation date and the page number in the lower right hand corner.

Program — Program Progress Review

Program Title

Name of Program Manager

Short Description of the Program Mission

Date Page #

Programmatic Strategic Objectives Slide

List the program strategic objectives in bullet form. If needed, a continuation slide may be used with the same headers and footers.

Program Title

Programmatic Strategic Objectives

- Program Strategic Objective

- Program Strategic Objective

- Program Strategic Objective

Date Page #

Key Fiscal Year Tasks
Supporting Strategic Objectives Slide

Detail each key task, the strategic objective that it supports the description of the task, the person responsible, the deliverable / accomplishment schedule, the financial expenditures, technical accomplishments, and technical issues. Present each key task on a separate slide and format in the same order as described above. Continuation sheets using the same headers and footers can be used as needed to present the remaining tasks or to present more detail.

Program Title

Key Fiscal Year (FY) Task Supporting Strategic Objective

Key Task (one key task per slide)

- Task Description

- Responsible Individual

- Deliverable/Accomplishment Schedule

- Financial Expenditures

- Technical Accomplishments

- Technical Issues

Date Page #

Fiscal Resources Slide

Outline the FY budget broken down by each strategic objective and identify capital expenditures and whether carryover funds from prior FYs exist. The slide is generated by creating a table or pie chart with each strategic objective and dollars (in thousands) identified, which are budgeted for that strategic objective. Total the last column to represent the entire program budget. Identify carryovers from previous FYs and capital equipment expenditures on the bottom of the slide.

Program Title

Fiscal Resources

(Table or Pie Chart)

- Strategic Objective Fiscal Year Budget

- Capital Expenditure

- Carryover Funds

Date Page #

Program Expenditure Summary Report Slide

Provide a graph that details program expenditures relative to planned, actual authorized, and actual obligated funds. This graph should be generated using the data from the Spend Plan. Be sure to list the amount of funds planned, actual authorized, and actual for each month throughout the FY. Plot on the graph the planned, actual authorized, and actual funds on the vertical axis with date (by month) on the horizontal axis.

Program Title

Program Expenditure Summary Report

(Graph)

- Funds Planned

- Actual Authorized

- Actual for Each Month of the Fiscal Year

Date Page #

Funding Issues Slide

Detail relevant issues with respect to program funding. The slide is formatted by listing funding issues in a prioritized bullet format. This slide can be deleted if no relevant funding issues exist. Any carryover funds should be listed and justified.

Program Title

Funding Issues

- Funding Issue

- Funding Issue

- Funding Issue

Date Page #

Personnel Resource Issues Slide

Detail, in a bullet format, any personnel resource issues such as labor shortfalls or surpluses which impact the program. This slide will be generated on an as-needed basis.

Program Title

Personnel Resource Issues

- Personnel Resource Issue

- Personnel Resource Issue

- Personnel Resource Issue

Date Page #

Major Hardware Deliverables Slide

Identify each major hardware deliverable and its completion status. Minor deliverables can be consolidated for the presentation. The slide is prepared as a table or Gantt chart listing the project number, the number of the strategic objective on which the project is focused, the name of the deliverable, the name of the person responsible, the planned completion date, and the status of each major hardware deliverable. The status will be reported as "on schedule," "expected to slip/ (new date)," or "completed/ (date)."

Program Title

Major Hardware Deliverables

(Table or Gantt Chart)

Major Hardware Deliverable — Completion Status and Date, Project Number, Strategic Objective Number, Document Name, Responsible Person

Date Page #

Major Document Deliverables Slide

Identify each major document deliverable and its completion status. The slide is prepared similarly to the hardware deliverable slide, again as a table or Gantt chart listing the project number, the number of the strategic objective on which the project is focused, the name of the deliverable document, the name of the person responsible, the planned completion date, and the status of each major document deliverable. The status will be reported as "on schedule," "expected to slip/ (new date)," or "completed/ (date)."

Project Title

Major Document Deliverables

(Table or Gantt Chart)

Major Document Deliverable — Completion Status and Date, Project Number, Strategic Objective Number, Person Responsible, Completion Date

Date Page #

Interagency Initiatives/Issues Slide

Identify any current or recently accomplished interagency initiatives and issues. The slide is formatted by listing interagency initiatives/issues in a bullet format. This slide will only be presented for the first PPR and whenever new initiatives/ issues develop.

Program Title

Interagency Initiatives/Issues

- Interagency Initiative/Issue #1

- Interagency Initiative/Issue #2

- Interagency Initiative/Issue #3

Date Page #

International Activities Slide

Detail any significant international activities that affect the program. The slide will be presented on an as-needed basis.

Program Title

International Activities

Significant International Activity Information Impacting Program

Delete slide if no international activity exists.

Date Page #

Program Interfaces & Support Slide

Identify outside organizations and activities contributing to the project. The slide highlights new partners and issues, and will be prepared as a table listing the organization, the name and phone number of each contact person, and the activity with which that person/organization is involved. This slide only needs to be presented for the first PPR and whenever there have been changes to this information.

Program Title

Program Interfaces & Support

(Table)

Outside Organization and Activity

Contact Person, Phone Number

Date Page #

U.S. Department of Energy
Energy Efficiency and Renewable Energy

The EERE Peer Review Guide can be viewed in its entirety at: www1.eere.energy.gov/ba/pdfs/2004peerreviewguide.pdf

Background and Purpose

Objective review and advice from peers are both standard mechanisms for effective management of highly complex and/or technically challenging projects and programs; and are widely used in industry, government, and academia. Experience has demonstrated that peer review is a powerful and effective tool for enhancing the relevance, effectiveness, and productivity of the Office of Energy Efficiency and Renewable Energy's (EERE) research, development, demonstration, and deployment programs and business administration activities because it taps the experiences and insights of experts in the field. This can provide a competitive advantage to those programs that undergo regular, systematic peer review over those that do not.

Peer review is based on the premise that the people best qualified to judge a program or project are experts in that or related fields of knowledge. Seeking advice from experts is useful in all aspects of managing a program because it adds to the perspective and broad knowledge of a Program Manager.

Peer review is essential in providing robust, documented feedback to EERE program planning. Knowledge about the quality and effectiveness of current projects and programs is absolutely essential in designing future programs and/or enhancing existing efforts.

Peer review also provides management with independent confirmation of the effectiveness and impact of its programs. For these and other reasons, peer reviews are used, for example, as part of the evidence accepted by the Office of Management and Budget's (OMB) Program Assessment Rating Tool.

Each review will be tailored to the specific program's characteristics. This includes such considerations as budget, output generated, management structure and complexity, type of program, stakeholder participation, and information needed to support management decisions. Thus, a "one size fits all" approach to peer review would not be appropriate.

Knowing that no "one size fits all," EERE formed a Peer Review Task Force of staff experienced in peer review from across the EERE programs, with representatives from Technology Development programs, the Board of Directors, Planning, Budget Formulation and Analysis staff, and two external evaluation experts. Over a period of ten months the Task Force met, listened to experts, surveyed and identified best practices in peer review in EERE, the U.S. Department of Energy (DOE), and other federal agencies, and drafted these guidelines.

The guide has been developed to raise the overall consistency and quality of the peer review process within EERE, and to reduce the burden on Program Managers and staff in implementing them. It lays out core evaluation criteria and consistent review processes, while retaining the necessary flexibility to conduct a peer review that fits the characteristics of the program and addresses the program's need for particular information at different times for different stakeholders. Multiple examples demonstrate a variety of review processes. It provides information and examples useful for planning, conducting, and utilizing peer reviews based on best practices found in EERE, other parts of DOE, and other federal agencies.

Best practices are those that are: (1) utilized with success by EERE's own programs, and (2) suggested by multiple widely recognized experts outside of EERE, including the U.S. Government Accountability Office and OMB. Best practices improve the quality and credibility of both the peers and the process in order to produce effective and useful peer review products.

All parts of EERE's programs will implement peer reviews of their program and key projects. Program reviews necessarily encompass projects and portfolios of projects. This guide focuses on in-progress program activities and projects, and does not cover expert merit review of proposals, which is already covered by other management procedures in EERE. The guide also does not consider peer reviews that look across the entire, and highly diverse, EERE portfolio of programs, such as EERE multi-year program reviews.

Research, development, demonstration, and analysis programs and projects are knowledge-based and can be reviewed in a short period by experts in the field, as conventionally done by the scientific and engineering communities. Many programs and projects in the Office of Business Administration (BA) tend to be process-based, requiring more detailed, longer-term reviews for external experts to sufficiently understand the processes used and to identify ways to improve them.

Expert review of the BA and EERE deployment programs is less common; thus, the Task Force recommends that the guidelines provided here be tested in these areas in practice to determine what modifications to this guide may be needed. Deployment, communication, and other such outreach activities are customer-based, often requiring detailed external surveys and analyses as well as evaluations by experts of their broader strategies and techniques. Just as occurs with research and development programs, expert review for business administration and deployment programs may serve as a capstone that brings together data from several sources.

The guide reflects the need for flexibility in peer reviews. For example, there are situations where the best peer review process may seek to minimize the audience to ensure frank exchanges. There are other situations where a program may wish to have the review open to the public. The decision is left to the program to weigh the advantages and disadvantages and determine the best process for the particular situation. Although the guide is based on best practices within and outside of EERE, lessons learned through application of the guidelines will be assessed. The guide will be revised to reflect these lessons over time. A mechanism will be developed that includes:

- Gathering data on the implementation and use of peer reviews in EERE and lessons learned from that experience, and

- Establishing a forum where program and office managers can share peer review experiences and lessons learned.

References:

Office of Energy Efficiency and Renewable Energy's Peer Review Task Force (2006). United States Federal Government, USA. Retrieved from: www1.eere.energy.gov/ba/pdfs/2004peerreviewguide.pdf.

Program Evaluation

How should the quality of Energy Efficiency and Renewable Energy (EERE) programs and projects be assessed? What role should advisory committees play in both formulating and evaluating the EERE programs? What is the role of merit and peer review in the decision-making process? Is a uniform merit and peer review process necessary or desirable? Is merit and peer review a guide or determinant to the Program Manager? At what stage in the decision-making process do programmatic and societal considerations come into play? How should the need to meet broader, non-technical goals influence EERE's priorities? How can the effectiveness, productivity, and impact of the EERE programs be measured?

A. Assess and Ensure Quality

Excellence is the key to EERE's achievements. In planning its projects and programs, in choosing research and development to support, and in selecting the participants in these activities, EERE's focus will be on excellence. It will achieve excellence by selecting the best ideas to be carried out by highly capable people, thereby providing the American public the greatest return on its investments in EERE programs.

A key to excellence is open competition and merit review. These will be the bases for deciding on participation in EERE programs.

Merit review generally will be used in selecting among competitors, but other forms of merit review may be used as well. The peer and merit review processes used in various parts of the EERE programs will be documented and assessed periodically for appropriateness, efficiency, and effectiveness. EERE is committed to ensuring a level playing field in the competition for new projects and supporting research.

EERE is committed to establishing, maintaining, and measuring quality based on informed judgments, multiple lines of evidence, and views from both the participants in and beneficiaries of EERE programs. Many different mechanisms are available for assessing and ensuring quality. Each of these mechanisms can play a significant role at some stage in the

decision-making and evaluation process.

These mechanisms include:

- The use of external advisory committees to help establish major directions for EERE's programs or program priorities;

- The use of scientific project or discipline-oriented working groups (composed of EERE and non-EERE members) to help define projects or programs, look at balance and quality within a given program area, or assess progress on a project;

- Visiting committees to assess institutional programs; the use of traditional peer review applied to fair and open competition to support decision-making regarding the support of individual tasks; and

- Relying on the informed judgment of technically and scientifically competent Program Managers.

The appropriate use of expert review groups to assess progress on projects in development is also an important part of enhancing quality. EERE uses all of these mechanisms as appropriate to ensure the quality of its programs.

Assessments of the quality, effectiveness and impact of EERE projects and programs will be made on a regular basis through all stages of a program's or project's lifetime:

- When programs and projects are first identified and defined;

- When the actual participants are selected to carry out the work;

- During development and implementation for activities having well-defined costs, schedules, and milestones;

- Whenever major new scientific, technical, or programmatic developments raise significant questions about a particular program's validity or approach;

- Following completion of a project's prime operating phase to see whether continued operations are warranted; and

- Following project or program completion to see whether a program's goals were actually achieved and to assess the broad scientific and/or other contributions made by a given program.

Effort will be made to ensure consistent criteria over the life of a program. Continuing programs will be assessed on a periodic basis. Such assessments are necessary not only for EERE self-evaluation, but also to meet new legislative mandates such as the Government Performance and Results Act (GPRA). Further, EERE is committed to developing explicit criteria for making decisions and assessing quality; and making both the criteria and the way the criteria are applied publicly available. EERE's decision-making will be based on principles that are broadly disseminated and are well understood by all participants.

B. External Review

Two mechanisms for evaluating quality that involve the external community—advisory committees and peer review—are of particular importance.

I. The Use of Advisory Committees

Advisory committees and other external groups will continue to have a key role to play in the formulation and oversight of EERE's programs to ensure the highest quality in the national interest. EERE will seek advice, analysis, and assistance from external communities. Although EERE has the ultimate responsibility for program formulation and evaluation, EERE seeks assistance in these and other tasks from, for example, the National Academies of Science and Engineering, as well as through mechanisms such as EERE-formed advisory committees, working groups, management operations groups, steering committees and program review bodies.

The National Academies of Sciences and Engineering and the Institute of Medicine, for example, provide broad, often long-range advice, particularly concerning goals, objectives, strategies, and priorities. EERE-formed committees and groups focus more on programmatic issues and detailed technical questions. Both types of information are important for the planning and implementation of EERE programs and projects.

Members of such groups will be selected on the basis of individual competence and will come from a wide range of institutions, backgrounds, and perspectives. Memberships on such groups will rotate on a regular basis to broaden the advice received and will include individuals not directly involved in EERE activities.

It must also be recognized that advisory committees and other external groups, while providing a vital mechanism for external community involvement in and ownership of EERE programs, are not always in a position to consider the full range of criteria that EERE must address, including political, budgetary, and programmatic issues. EERE managers must therefore combine the advice

and information they receive from such groups with other information on priorities, costs, etc. to reach final decisions. In all cases, however, the criteria on which decisions are based will be made explicit.

II. Peer Review

Along with strategic planning and program evaluation, the use of peer reviewing is an integral part of EERE's practices to ensure quality. In general, EERE evaluates program merit and priorities on the basis of peer review and advice from committees broadly representative of our customers.

Peer review is a process in which an unbiased group judges the significance and technical validity of proposed work of members of its own community. The goals of peer review are to:

- Determine the quality, relevance, and value of the work being judged;

- Identify the work most likely to succeed;

- Investigate the relative merits of similar work proposed by competing groups; and

- Demonstrate to internal and external communities that balance and fairness are achieved in arriving at decisions by making the relevant communities of experts themselves participants in the selection process.

EERE subscribes to these goals and will fully utilize peer review to ensure that fairness and quality are the foundations on which decisions concerning participation in its scientific programs are based. To accomplish the goals of peer review, EERE will strive to ensure that:

- Reviewers are genuinely knowledgeable and collectively cover the full range of expertise required for thorough proposal evaluation;

- Attention is paid to conflicts of interest;

- EERE programmatic and technical needs and requirements are understood; they will be spelled out in the relevant solicitation; and

- Criteria for evaluation are well-defined and understood; accepted by the reviewers; traceable to the needs and requirements outlined in the solicitation; and spelled out in that solicitation.

A central role for EERE Headquarters (HQ) is to form diverse, expert review panels which encompass the full range of expertise required. Such expertise must be drawn from the widest possible talent pool. EERE HQ must also ensure that peer review panels are adequately informed about the requirements

and constraints that proposals are expected to satisfy and that are an important part of the basis for evaluation. Another role is to identify and eliminate potential conflicts of interest in the peer review process. Since factors other than peer review may enter the decision-making process (see below), final selections are always the purview of an EERE official.

While the general principle regarding the use of competition and peer review applies across the Agency, an EERE-wide set of criteria or a uniform review process does not appear to be necessary. Different approaches are warranted by differences in goals, customer base, etc. among the various disciplines.

C. Other Factors Entering the Decision-Making Process

Although the results of peer review are exceedingly important, other factors may enter the decision-making and selection process. Policy directions or programmatic considerations (such as programmatic balance and cost) play a significant role.

One example of a justified departure from the principle of open competition and peer review is new activities or innovative but risky ideas that promise high gain. EERE is committed to funding such projects for a limited period with seed money to develop them to the point where they can compete. Managers may also select work needed to achieve particular programmatic needs. The results of such activities will be reviewed on a regular basis. In cases where commercial products may result from the research, internal government-only review may be most appropriate to protect proprietary information.

Programmatic or societal considerations can enter the decision-making process at several stages. Contributions to broad national needs identified by the Secretary, Administration, or Congress play a substantial role in establishing priorities and in shaping or arriving at the decision to proceed with a particular project or program. EERE is part of the political system and its priorities are determined within that context.

For a given program, all considerations that are to play a significant role in the decision-making process (including, for example, contributions to technology and economic competitiveness) will be clearly spelled out in program and project participation solicitations and appropriate evaluation criteria identified. Peer review panels then may be suitably augmented to include appropriate expertise. Alternatively, peer review panels may focus on purely scientific and technical matters to define a competitive range within which programmatic, societal, and other factors can then be used as discriminators in the final selection.

The application of these other factors is then the responsibility of the selecting official. Other approaches are also possible. Whatever approach is to be taken will be spelled out in advance so that all interested parties understand the process that will be used and the basis on which decisions will be made.

D. Metrics

There are increasing demands for all federal programs to measure the performance and effectiveness of their programs. GPRA requires each federal agency to develop a strategic plan, set yearly goals and performance objectives for every major program area, and measure and report how well programs accomplish these goals. EERE also needs improved assessments of the effectiveness and contributions of its programs.
In response to these requirements, a number of efforts are now underway both inside and outside of EERE to define and develop metrics for assessing the value and contributions of EERE programs.

EERE consults with its stakeholders and others to develop a meaningful and useful set of metrics. In developing these metrics, a number of general considerations are taken into account:

- No single metric or group of metrics is likely to apply to EERE on a broad scale. Appropriate metrics have to be developed for different parts of the EERE programs.

- In general, projects and programs have three distinct (but coupled) phases, each of which requires a different set of metrics.

  — The Program Initiation Phase, for which metrics are focused on evaluating the importance of a program vis-à-vis competing programs, state-of readiness for initiation, and the level of resources needed for development. Scientific or technical merit, programmatic considerations, and contributions to meeting larger public needs may all play a role at this stage. Criteria to be developed also must be explicitly linked to EERE and the EERE programs able to make progress towards achieving their Vision.

  — The Program Development or Implementation Phase, for which metrics are focused on measuring expected accomplishments or performance versus cost and schedule.

  — The Program Retrospective Phase, for which metrics are focused on understanding the degree to which intended goals were achieved and larger public benefits derived. Retrospective phase metrics must provide a genuine measure of value, must give the political system the

information that it needs, must satisfy legitimate demands for accountability, and must measure true effectiveness and not just activity.

- It is generally easier to develop metrics for short-term activities that have a clear goal from their outset, than for long-term activities whose full impact is often not realized for many years and then in unexpected ways. Retrospective metrics are therefore often the most effective for evaluating the contributions of the latter.

- Metrics are needed to assess the effectiveness of EERE efforts to broaden participation in particular, to evaluate progress in broadening the responsibilities of universities and industry, in the formation of partnerships between EERE and these and other organizations, and in the inclusion of under-represented groups.

Each evaluation should include metrics to assess the effectiveness and efficiency of EERE management of the programs and projects being evaluated.

Deputy Assistant Secretary, Office of Technology Development
Office of Energy Efficiency and Renewable Energy

Introduction

The Office of Technology Development provides effective program management leadership for all of the Office of Energy Efficiency and Renewable Energy's (EERE) energy efficiency and renewable energy programs. The Office of Technology Development is led by two Deputy Assistant Secretaries: The Deputy Assistant Secretary for Renewable Energy; and, the Deputy Assistant Secretary for Energy Efficiency. The two Deputy Assistant Secretaries are supported by 10 program offices, one for each EERE program—Solar Energy Technology; Wind and Hydropower Technologies; Geothermal Technologies; Biomass; Industrial Technologies; Vehicle Technologies; Hydrogen, Fuel Cells, and Infrastructure Technologies; Building Technologies; Weatherization and Intergovernmental; and the Federal Energy Management Program. Efforts to accomplish this mission are aligned with the National Energy Policy, the Department of Energy's Strategic Plan, EERE's Strategic Plan, and congressional appropriations.

Major Duties

1. Manages and directs the formulation and implementation of the U.S. Department of Energy (DOE) policies and programs related to the development of energy efficiency and renewable energy technologies. In this effort, manages and directs the work of the highly qualified technical and scientific Program Managers.

2. Directs development of technical content for annual Presidential budget requests for energy efficiency and renewable energy technologies.

3. Represents the Assistant Secretary within and outside DOE, and assists in the administration of all energy efficiency and renewable energy program technologies activities, ensuring implementation and adherence to program policies.

4.　Represents DOE and EERE as a senior scientific and management official in meetings with representatives of domestic and foreign governments concerning joint technology programs; and negotiates arrangements pertaining to program logic, pace, and funding.

5.　Directs the identification, analysis, and development of technical programs, ensuring that program plans meet the technical needs of the nation and are complementary to private industry research and development activities.

6.　Manages special highly scientific, technical, and institutional studies and analyses involving senior scientific, technical, and managerial representatives from the private sector; and advises the Assistant Secretary of the findings along with associated recommendations.

7.　Works collaboratively with appropriate EERE elements to improve and implement planning, budgeting, and evaluation processes; and management and information systems. Interacts with senior DOE officials and staff to identify, analyze, and resolve technical, institutional, environmental, public, and managerial issues impacting the office's programs.

8.　Ensures the integration and coordination of activities among the programs and other relevant DOE offices and federal agencies.

Supervisory Controls

The Deputy Assistant Secretaries for Technology Development report to the Principal Deputy Assistant Secretary for EERE. The incumbent has full authority to develop, implement, and administer assigned programs within the framework of agency policy, mission objectives, and time and funding limitations. Due to the incumbent's scientific training and technical expertise, work is reviewed in terms of the effectiveness of the EERE programs to deliver their planned goals and milestones and anticipated benefits.

Program Manager, Office of the Federal Energy Management Program
Office of the Deputy Assistant Secretary for Technology Development
Office of Energy Efficiency and Renewable Energy (EERE).

Introduction

The mission of the Federal Energy Management Program (FEMP) is to provide federal leadership to increase the energy security and decrease the environmental impact and cost of government by advancing energy efficiency and water conservation, promoting the use of distributed and renewable energy, and improving utility management decisions at federal sites.

FEMP represents and provides the national programmatic expertise in federal facilities energy management, formulates and executes national energy policies and programs, and is responsible for establishing priorities among subprograms within the office. The program is identified as an entrepreneurial organization that takes maximum advantage of unique legislated authorities to reduce federal energy use, water use, and costs.

Major Duties

1. Manages and directs the development, implementation, and evaluation of a national FEMP of technology planning, research, development, demonstration, and regulatory strategies. Administers products and services to federal agencies to enable them to "lead by example."

2. Directs the implementation of the Departmental Energy Management Program within the U.S. Department of Energy (DOE) facilities to "lead by example" in energy efficiency, water conservation, renewable and distributed energy, procurement, and utility management. Develops, coordinates, and maintains standards, procedures, and guidelines under the Departmental Energy Management Program for the management of energy use in DOE facilities to achieve the lowest cost and most efficient use of energy with minimum use of fossil fuels to achieve Departmental mission and FEMP objectives.

3. Provides federal agencies with an array of expert technical assistance and information for implementing energy (renewable and efficiency) and water projects, including design assistance for high-performance buildings, industrial process assessments, training, procurement recommendations, energy evaluations and audits, peak load assessments, best practices, and energy planning guidance.

4. Directs the implementation of federal energy legislation and executive order guidance by coordinating federal policy development activities and organizing the Interagency Federal Energy Management Task Force, a variety of interagency working groups, and public-private groups such as the Federal Energy Management Advisory Committee.

5. Manages the transfer of EERE technology to the federal sector in cooperation with other EERE programs, enabling the federal government to become early adopters and "market pull" enablers of energy efficient and renewable technologies.

6. Directs the development and implementation of innovative contracting and alternative financing approaches, such as the Super Energy Savings Performance Contracts, to provide mechanisms for agencies to implement energy projects through non-appropriated funds and that substantially involve the private sector.

7. Provides FEMP technical and programmatic considerations for analysis and support of planning and policy development, and provides policy and analytical support to the Deputy Assistant Secretaries for Technology Development and other senior management. Directs analysis and reviews to ensure conformance of program execution within established policies, and develops, with support from the Deputy Assistant Secretary for Business Administration, funding and guidance issued to field organizations and other recipients.

8. Manages FEMP activities performed by DOE field offices, national research laboratories, universities, contractors, utilities, and Energy Service Companies, including evaluation and feedback regarding technical and managerial objectives. Develops best practices and guidelines for the regional offices to market FEMP's products and services, and conduct periodic customer surveys to evaluate performance.

9. Oversees the development and implementation of multi-year program plans and annual operating plans and manages the application of assigned resources to effectively achieve planned objectives. Develops annual program budget requirements, manages the utilization and distribution of

approved funds, and provides interpretive guidance to organizations performing research.

10. Consolidates federal agency reporting to the President and Congress. Coordinates and develops annual reports, scorecards, and guidance including life-cycle costing methods. Organizes annual recognition and awards for the Department and for the federal government. Coordinates with Office of Management and Budget (OMB) to organize the annual Presidential award for federal leadership in energy management. Develops awareness materials for use by all federal agencies to promote energy efficiency, renewable energy, and water conservation during Energy Awareness Month and throughout the year.

11. Serves as a focal point for U.S. participation in matters related to the FEMP community and the FEMP aspects of the international energy efficiency and renewable energy community, including supporting the Office of the Weatherization and Intergovernmental Program, exchanges of technical information, conferences, workshops, and summit meetings. Interacts with relevant DOE staff to identify those institutional or managerial requirements that impact FEMP needs, identifies the basic issues involved, and develops programmatic positions concerning these issues. Assists in the development of responses to queries from DOE senior management, the White House, OMB, Government Accountability Office, and congressional committees and subcommittees to assigned technologies.

Supervisory Controls

The Program Manager of FEMP reports directly to the Deputy Assistant Secretary for Technology Development, who provides general guidance and direction on the scope and objectives of assignments. The incumbent has full authority to develop, implement, and administer assigned programs within the framework of agency policy, mission objectives, and time and funding limitations. Work is reviewed in terms of the fulfillment of program objectives and its contribution to overall energy efficiency goals and the advancement of these technologies.

POSITION:

Program Manager
Office of the Federal Energy Management Program
Office of the Deputy Assistant Secretary for Technology Development
Office of Energy Efficiency and Renewable Energy

Qualification Requirements:

Applicants must possess the following technical qualifications:

1. Knowledge of national economic environmental and energy research and development policies and statutes, domestic energy demands and utilization, and funding availability in order to structure an effective energy research and development program.

2. Knowledge of scientific, engineering, and technical requirements, analytical tools and methods of program planning, strategic planning, budgeting, resource forecasting, regulatory analyses, and program impact analyses in order to identify and interpret legislative requirements, oversee the development and implementation of multi-year program plans and annual operating plans for a research and development program.

3. Knowledge of administrative laws, policies, regulations, and precedents applicable to the administration of major federal/private programs to include program goals and objectives, key program events, and milestones, as well as the relationship of these programs to overall corporate goals and objectives, in order to facilitate federal efforts to integrate and coordinate research and development programs related to the FEMP.

4. Ability to communicate effectively and persuasively both orally and in writing with senior level government officials, functional and program managers, technical subject matter specialists, and key industry representatives.

U.S. Department of Energy
Energy Efficiency and Renewable Energy

U.S. Department of Energy
Senior Executive Service Performance Appraisal

Form # DOE F 331.2 (10-01-01)

Name:		Title:	
Organization:		Duty Station:	
Performance Rating Period:	From:	To:	

Performance Agreement Certification: *This is to verify that we have met, discussed, and understand expectations for the established performance appraisal period.*

_____   _____   _____   _____
Rating Official's Signature   **Date**   **Executive's Signature**   **Date**

_____   _____
Rating Official's Name *(typed or printed)*   **Executive's Name** *(typed or printed)*

Privacy Act Statement

This form is subject to the provisions of the Privacy Act. Copies will be retained by the Executive and Technical Resources Division, Office of Human Resources Management, and provided for review and retention as required to appropriate management levels having a need to know, such as the Performance Review Board or the Executive Resources Board.

This Senior Executive Service (SES) Performance Appraisal gathers and records information on how Departmental executives are performing their duties and responsibilities. The information will be used to determine eligibility for retention in, or removal from, the SES, entitlement to awards, and compensation benefits. The authority to collect this information is contained in Title IV of the Civil Service Reform Act of 1978. The information will not be disclosed outside the Department without prior consent except as required or permitted by law.

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U.S. Department of Energy
Form # DOE F 331.2a (10-01-01)

Element I • Key Programmatic Accomplishment

Instructions: At the beginning of the performance cycle, identify your key performance priorities. Be as specific and measurable as possible, and indicate completion dates. Throughout the performance cycle, track your progress and accomplishments and modify your performance priorities as necessary.

Keep in mind that all key objectives should be SMART:

Specific: Your goal should be focused and include enough detail so there is no confusion around what exactly you are trying to accomplish.
Measurable: Your goal should be such that when you are through, you have tangible evidence of your accomplishment.
Acceptable: Your goal should be set by you and agreed upon by your manager.
Realistic: Set goals that are achievable.
Timely: Indicate when you plan to achieve your goal.

Key Objectives	Effectiveness And Efficiency Measures *(i.e., specific expected outcomes; performance goals; and program improvements, such as cost reductions, improved timeliness, output measures, etc.)*	Execution Targets *(i.e., timeframes, completion dates, implementation strategies, etc.)*	Results Achieved *(i.e., actual outcomes, impacts, program improvements, etc.)*
1. Implement the President's Management Agenda initiatives through EERE Management Action Plan (MAP) and improve the efficiency and effectiveness in all operational areas.	A. REV 2/1/06 Strategic Management of Human Capital. Employ EERE's Work Force Analysis to address recruiting and diversity goeals while moving EERE towards developing employee critical skills. Accommodate near-term needs for transition such as buy-outs and begin transition to address the long-term needs of EERE by establishing the work-force of the future. FY 2006 Performance Standards for 100% of employees are established on time, linked to corporate goals and used to track performance. Individual Development Plans (IDPs) will be developed for 50% of employees needing or requesting training. No training is approved without an approved IDP. Individual employees have been consulted about their Individual Development Plans, opportunities for both training and professional development has been provided, and employees are recognized for outstanding achievement. Continue implementing MAP. Each quarter, add actions to the plan as processes are institutionalized, ones that add to EERE's ability to get results. B. Competitive Sourcing. Increase competition	A. REV 2/1/06 By 6/30/06, managers will review and update their Workforce Analysis to address issues associated with structure, size and skills mix. REV 2/1/06 By 9/30/06 begin long-term needs planning for workforce of the future. By 11/1/05 all performance standards are established and linked and evaluated against EERE goals. By 12/1/05 IDPs are current for all staff and managers in EERE. By the end of FY 06, complete all IDP assignments and training, as approved, subject to funding contraints. By 9/30/06 over 90% of MAP milestones have been met on schedule. SOPs issued for MAP milestones already accomplished. B. REV 3/7/06 By 9/30/06, EERE meets its small business contract	

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	for all procurement awards by 10% considering and using private sector sources to get work done as cost effectively as possible using competitive solicitations to the maximum extent possible. This will be done while also meeting DOE's small business goals.	goals.
	C. REV 2/1/06 Improved Financial Performance. Develop and execute an annual Acquisition Plan to help improve the timeliness of the projects funded with the goal of reducing uncosted obligations to 25% of total appropriated budget (minus earmarks and formula grants).	C. REV 2/1/06 By 12/31/05 FY 07 Acquisition Plan in place, and by 6/30/06, 70% of all awards are in place, excluding earmarks and formula grants, using integrated program and project management teams.
	REV 2/1/06 Subject to STARS availability and capability, program direction funding is managed and reported monthly to EERE managers.	EERE will have a 10% increase in end of year costing as compared to EOY FY 05, except for programs in compliance with current CFO uncosted policy.
		Program direction funding is managed and reported monthly to EERE managers.
	D. REV 2/1/06 Expanded Electronic Government. Complete Corporate Planning System (CPS) development and begin steady state operations. Use CPS as EERE's chief electronic means to track the fiscal and technical performance of all work.	D. CPS monthly reports will be used at staff meetings and performance reviews.
		All EERE funds are moved by CPS.
		Data quality issues are addressed in CPS. Program Managers and PMC Managers use the Monthly Report to insure CPS data quality issues are addressed.
		All EERE projects are managed using CPS.
	E. REV 2/1/06 Budget and Performance Integration. Continue to develop and employ Multi Year Program Plans (MYPPs) annually and DOE's Joule system quarterly as a means of integrating EERE budget and performance. Programs will conduct internal fiscal and technical review of their programs.	E. REV 2/1/06 Updated MYPPs are submitted in draft by 09/30/06 for every program. Joule milestones are tracked by monthly reports and an overall green rating is attained for each program.
		Programs use stage gate type decision processes for R&D actions, and incorporate risk analysis tools when fully developed.

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		The FY 08 budget process will utilize ESE guidance, improved corporate analysis information to drive decisions, address the key DOE strategic goals, and amend program performance goals and budgets based on technical progress and funding patterns.	
	F. Better R&D Investment Criteria. Continue to develop and track appropriate measures quarerly to ensure the effectiveness of the R&D managed through such means as the PART scores. This will require continued development of EERE's corporate analytical capability -- building the analytical tool box.	Internal program reviews conducted at least semi-annually. Peer reviews conducted at least bi-annually.	
		F. MYPPs are consistent with PART criteria. Stable to rising PART scores.	
		REV 2/1/06 Develop and implement the Hub and Spoke by 9/30/06 and provide improved corporate analysis, metrics, and modeling information for use in guiding EERE program decisions.	
2. Continuous Improvement of conference management practices.	A. REV 2/1/06 Baseline and plan 100% EERE sponsored conferences, including attendess, cost and number.	A. REV 2/1/06 Complete a stricter internal conference management *guide for use by EERE NLT 3/31/06.* Managers to complete FY 07 Conference Plan 6/30/06. Ensure 100% conferences are managed through the Office of Technology Advancement and Outreach and conducted in accordance with all governing DOE Orders.	
3. REV 2/2/06 Effectively communicates and implements EERE's policies and priorities, objectives and measurements, and Congressional and legislative activities.	A. REV 2/2/06 Interfaces with the Secretary's Office; ensures consistency of EERE's positions/policies, and responds to Secretary's Office in a timely, accurate and effective manner.	A. REV 2/2/06 Ongoing	
	B. Ensures that EERE operates efficiently and effectively, through approved channels, in the areas of Congressional relations.	B. REV 2/1/06 Congressional and public relations are conducted in a timely and appropriate manner and to the maximum benefit of EERE.	
	C. REV 2/1/06 Meets EPAct Statutory requirements and deadlines for Congressional mandated reports and deliverables.	C. REV 2/1/06 Ensure EERE complies with Congressional direction and correspondence reflects timely accurate, and responsive information.	
	D. REV 2/1/06 Assists in the nomination process for a new Assistant Secretary.	D. REV 2/1/06 Assists in bringing on	

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U.S. Department of Energy
Form # DOE F 331.2a (10-01-01)

		board a new Assistant Secretary, including the Congressional hearing and beyong. Ensures the transition to EE is efficient, EERE's transition book is prepared and accurate, and EERE senior management briefings are conducted.	
4.			
5.			

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U.S. Department of Energy

SAMPLE

Element II • Key Leadership Attributes

1. Demonstrates Functional Competence

Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized.

	Mixed Performance			Excellent Performance	

Low Performance	Solid Performance	Outstanding Performance
Does not strive to achieve high levels of productivity or quality, "gets by". Has difficulty estimating skill level, often taking assignments that either are too easy and under-utilize expertise, or are too challenging and result in inefficient use of time and energy. Tends not to keep up-to-date with the appropriate level of expertise in his/her functional area. Postpones skill development, placing learning and development low in priority. Is uncomfortable acting as a resource to others within area of expertise, even when asked. Needs prompting to seek out manager to discuss concerns about area of expertise.	Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results. Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments. Delivers high levels of productivity and quality. Is open to new approaches and takes steps to increase knowledge and skills. Keeps up-to-date in areas of expertise. Responds positively to requests for assistance in area of expertise, actively passing on expertise to others. Seeks input from manager/others about how to add to/improve in area of expertise.	Proactively applies expertise in ways that add significant value for customers, partners, and DOE. Suggests ways to further expand responsibilities, while still fulfilling all current job requirements. Consistently demonstrates growth in breadth and depth of knowledge and skills, even when faced with heavy workload. Seeks and adapts state-of-the-art approaches and practices, both from within and outside DOE, to the clear benefit of the organization. Serves as an active resource for others, mentoring others in area(s) of expertise.

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2. Exhibits Analytical Ability and Solves Problems
Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions.

	Mixed Performance		Excellent Performance	

Low Performance	Solid Performance	Outstanding Performance
May not recognize a problem exists until pointed in the right direction.	Breaks moderately difficult problems into their components for resolution.	Breaks complex problems into manageable parts, identifying symptoms and causes.
Tends to be passive, taking the approach that the problem will take care of itself.	Gathers and effectively analyzes multiple data sources to determine root cause of problems.	Obtains and analyzes all available data from several sources, and arrives at logical conclusions.
Often shows lack of clarity in thought process (e.g., not considering links among aspects of a problem).	Communicates and shares effective problem solving processes.	Recognizes the gaps in available data and suggests other ways to obtain the needed information.
May neglect to use available data to identify and analyze problems.	Generates alternative solutions and seeks input from others.	Makes decisions based on the total picture, rather than relying on optimizing based on a single solution.
Tends to fall back on "standard" solutions without support.	Typically foresees the consequences of a suggested course of action.	Anticipates obstacles and thinks ahead to next steps, reliably predicting consequences of potential courses of action.
Mistakes the symptoms for the problem.	Consistently shares thoughts and supports recommendations with sound rationale.	
Tends to focus on one aspect of a problem to the exclusion of others, or focuses more on what can't be done than on finding a solution.	Makes sound decisions in the face of ambiguity and uncertainty.	Is skillful at involving others in a way that creates ownership of the problem and a sense of urgency about implementing the solution.
May not consider the impact of suggested solutions, and is unprepared if an action taken has unintended consequences.	Appropriately escalates problems or resource issues for resolution.	Fosters an environment that encourages dissenting opinions/input.
Tends not to share the reasoning for suggested solutions.		

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3. Builds Diversity

Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.

	Mixed Performance		Excellent Performance	

Low Performance	Solid Performance	Outstanding Performance
Has difficulty communicating the strategic vision, DOE goals, and/or organizational unit goals as they relate to the group. Demonstrates lack of personal commitment to the vision, goal, or job. Builds an organization structure based on personalities or other considerations unrelated to fulfillment of the operating plan. Has difficulty thinking creatively about ways to meet staffing requirements within budget (e.g., "doesn't value"). Makes statements/takes actions that show poor understanding of the relative competitive position of the organization. Focuses vast majority of time and energy internally without attention to building external information networks that inform the business strategy. Indicates preferences for working with some team members over others. Has trouble accepting input from others or providing constructive suggestions for change or improvement. Jumps to conclusions without considering the whole picture. Has difficulty distinguishing important from trivial information. Has difficulty maintaining a positive perspective under changing circumstances.	Values cultural diversity and other differences and demonstrates this by articulating a clear purpose and direction for the organization as well as communicates priorities to remain focused on key initiatives. Demonstrates effective leadership and direction by using merit principles to ensure fairness in recruitment, selection, hiring, appraisal, promotion, training, and reward efforts resulting in highly qualified, diverse pools of candidates for job vacancies leading to a competent staff. Identifies areas of under-representation of women, minorities, and persons with disabilities and takes affirmative actions to address workforce imbalances using necessary tools and opportunities to achieve success. Ensures that his/her team is selecting the very best talent, that trained team members participate in candidate evaluation and selection decisions, and that he/she monitors progress in achieving a representative workforce, and personally intervenes to assure goals are addressed and accomplishments enhanced. Provides employees with meaningful career planning and development opportunities, advocates skills and training needs assessments, and the development of individual development plans consistent with mission priorities and workforce goals.	Identifies successors and bench strength for key positions, anticipating and developing long-term staffing strategies to achieve business goals given future skill requirements. Ensures that the group selects and retains people who consistently achieve results that exceed expectations. Actively considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations. Actively builds team spirit and brings people together, creating an atmosphere of accountability and pride in work. Actively encourages team to take on leadership responsibilities, providing them with the autonomy and freedom to accomplish breakthrough results on their own. Fosters an environment in which the leader is not the only one to recognize accomplishments. Personally acts and influences others to move successfully into new areas, systems, and/or services. Consistently expands external people networks and plays a leadership role in specialty/area of expertise.
(This table is continued on the following page)		

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     Element II • Key Leadership Attributes

3. Builds Diversity (continued)
Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.

	Mixed Performance		Excellent Performance	

Low Performance	Solid Performance	Outstanding Performance
Places low priority on building relationships or networks of contacts with those who can help achieve work-related goals. Tends to be unwilling to compromise or negotiate. Has a hard time understanding or incorporating others' perspectives, sticking too strongly to personal positions to the exclusion of others' points of view.	Fosters an environment where people can work together cooperatively and effectively to achieve organizational goals and openly addresses conflict, disagreements, and differences in perspective, and achieves productive resolutions. Treats employees fairly and honestly when dealing with disagreements and workforce disputes using alternative dispute resolution techniques and other means to resolve disputes. Demonstrates genuine concern and respect for direct reports and co-workers, conveys confidence in others' ability and desire to do their best, considers and responds to the needs, feelings, and capabilities of others; works constructively with others regardless of differences in style or interests, and is respectful and supportive of others' ideas and concerns. Proactively develops positive business relationships and support for objectives, and develops and maintains people networks inside and outside of DOE, specifically addressing information to the benefit (or deficit) of the organization.	Drives hard on the right issues. Demonstrates flexibility when interacting with others. Always willing to pitch in and help, and encourages others to do the same. Nurtures key relationships. Knows when to stand firm and when to compromise based on specific circumstances. Champions initiatives even when faced with resistance.

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SAMPLE

4. Serves Customers and Builds Partnerships
Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations.

	Mixed Performance		Excellent Performance	

Low Performance	Solid Performance	Outstanding Performance
Appears uncertain of customers' or partners' needs or priorities. May agree to unrealistic commitments. Often forces the choice between sacrificing quality or service in the face of problems or difficulties. Experiences frustration when faced with changing customer or partner needs and priorities. Does not recognize the impact of careless remarks about customers/partners. May have difficulty maintaining composure and objectivity when encountering challenging customer interactions. Rarely solicits feedback on the quality of service delivered, assuming everything is fine unless notified otherwise.	Understands customers' or partners' needs and priorities, putting their interests at the center of what is to be accomplished. Secures commitments that are realistic and attainable, and keeps them, delivering on time with quality. Responds quickly to customer/partner concerns and requests, reacting constructively to changes in needs and priorities. Consistently helps customers and partners overcome problems or difficulties. Keeps customers and partners up-to-date on progress. Demonstrates respect for customers and partners, maintaining composure and objectivity in challenging situations. Solicits feedback on the quality of service provided and takes corrective action, seeking help if needed.	Proactively solicits information about customers' and partners' needs and priorities. Responds creatively to customers' or partners' requests for change, probing in-depth and offering insightful solutions. Identifies key trends that will have a positive impact on the services provided. Insists on win-win solutions when dealing with customers/partners. Avoids sacrificing quality or service in the face of serious problems or difficulties. Goes the extra mile to help customers or partners overcome complex problems or difficulties. Mentors others in developing exemplary customer/partner interaction skills and in managing difficult situations.

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SAMPLE

5. Communicates Effectively

Creates understanding and commitment to action by presenting ideas and facts, both orally and in writing, in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately.

	Mixed Performance		**Excellent Performance**
Low Performance	**Solid Performance**		**Outstanding Performance**
Often has difficulty presenting ideas and issues or responding to questions clearly or concisely, orally or in writing. Written materials often require revision to correct omissions, structural problems, or spelling/grammatical errors. Tends not to think through the wording and tone of communication, sometimes producing negative reactions. Requires prompting to listen to others' viewpoints or to ask clarifying questions. May sound defensive or confrontational when trying to support own positions. Needs guidance in the type of communication appropriate to the situation (e.g., may use e-mail to avoid difficult situations).	Presents his/her positions in a concise and convincing manner, orally and in writing. Generates written materials that only occasionally require limited revision. Uses professional wording and tone. Attends to others' non-verbal messages, and manages own body language. Listens to others' viewpoints and seeks to clarify for understanding. Is able to successfully support own positions in a non-confrontational manner. Uses communication methods (e.g., e-mail, voice mail, meetings) appropriate to the situation.		Articulately expresses ideas and issues, even in stressful or unexpected situations. Generates written materials that set a standard for others to follow. Provides insightful feedback and improves others skills in written and oral communication. Customizes communication style and level of detail to the audience, adeptly handling both the details presented and overall tone. Actively solicits others' viewpoints and takes responsibility for ensuring two-way exchange, even in stressful situations. Maintains composure when challenged on his/her position, even when others are confrontational. Excels in facilitating understanding among participants when in a group setting.

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SAMPLE

6. Innovates
Improves results by actively generating, encouraging, and supporting new ideas or approaches.

	Mixed Performance		Excellent Performance	

Low Performance	**Solid Performance**	**Outstanding Performance**
Seems hesitant either to generate or support new ideas or initiatives. When new ideas are presented, tends to focus on why elements will not work. Needs help understanding how new work fits into the bigger picture. Demonstrates greater sense of comfort with the status quo. Needs help thinking through potential roadblocks to achieving results. Proposes concepts hastily, without full consideration for real-world application.	Consistently generates creative ideas for systems, services, or work processes. Explores and supports new ideas and initiatives. Identifies areas for improvement within own area of expertise/job function. Looks outside area of expertise to identify new ideas and initiatives. Creates an open environment for people to voice new ideas. Takes prudent risks to create new value for customers.	Thinks "outside the box" and encourages risk-taking. Anticipates obstacles, thinking ahead to next steps and clearly mapping optimum direction. Involves and communicates well with affected parties, building confidence in the process and consensus around the new idea or initiative. Identifies areas for improvement across areas of expertise/job functions, along with insightful solutions. Encourages dissenting opinions/input and incorporates diverse perspectives, continually challenging the status quo by asking "what if…?"

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7. Demonstrates Personal Leadership
Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity.

	Mixed Performance		Excellent Performance	

Low Performance	Solid Performance	Outstanding Performance
Requires a lot of supervision to produce results. May not always follow through on commitments. Has difficulty adopting a "can do" attitude, tending to focus more on what cannot be achieved than how to get to results. Shows little respect for the ideas or work methods of others. Has difficulty establishing credibility due to lack of consistency or failing to fully disclose the facts involved in a situation. Sometimes uses tone of voice, words, and/or body language that convey uncontrolled anger or blame (e.g., raised voice, disrespectful language, ridicule, etc.). Handles crises in a way that may antagonize others or jeopardize working relationships.	Serves as a model for others in demonstrating high levels of productivity and quality, often producing results beyond what is expected. Demonstrates accountability and integrity through consistency between words and actions. Creates opportunities to apply skills without having to wait for direction. Respects and values people of diverse backgrounds. Remains optimistic and positive, even in the face of difficult circumstances. Demonstrates flexibility and resilience in response to constraints and adversity. Conveys a clear sense of personal and career goals, values, and interests. Personally pursues learning and development, and opportunities that stretch and build capabilities.	Always looking for new ways to achieve strong results through optimum use of combined skills and abilities. Goes the extra mile to keep commitments, and if unable to do so, proactively confers with affected parties to agree to solutions. Conveys and stimulates optimism and faith in the future, even when faced with particularly difficult circumstances. Exhibits conviction and determination in making and defending tough or unpopular decisions. Seeks out and positively addresses dissenting opinions. Proactively addresses issues with others in a supportive, constructive way. Is adept at handling crises in a way that builds confidence in DOE and strengthens internal and external working relationships.

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SAMPLE

8. Creates Effective Operating Plans

Develops and implements an operating plan with clear objectives and performance metrics that support the organization's direction/strategy. Holds staff accountable for performance results.

	Mixed Performance			Excellent Performance	
Low Performance		**Solid Performance**		**Outstanding Performance**	
Has difficulty formulating objectives, schedules, and priorities, easily losing focus or overall sense of priority.		Develops aggressive operating plans that optimize time and resources.		Involves the right people (e.g., background, level, organizational unit) at the appropriate stages of the planning process, gaining commitment and follow-through on objectives and timelines.	
Often does not anticipate issues that may disrupt plans and schedules.		Demonstrates understanding of the roles of different organizational units in fulfilling the operating plan.		Anticipates disruptions and develops and communicates contingency plans.	
Does not involve others sufficiently to ensure necessary coordination/collaboration.		Involves the right people in the appropriate stages of the business planning process.		Devotes time and effort to ensuring plans and goals are current.	
May not identify or accommodate changing priorities and re-plan.		Anticipates and proactively addresses issues that may cause disruptions to the operating plan.		Draws on experience to learn from past successes and mistakes and clearly applies lessons learned.	
Makes tactical decisions without considering DOE's long-term strategic objectives.		Identifies risks and develops contingency plans.		Proactively manages risks.	
Typically does not give priority to developing measures or monitoring progress.		Remains flexible and integrates changing priorities into existing plans.		Proactively identifies, develops, and/or refines systems and procedures for improving planning accuracy and efficiency.	
Measures the wrong things, taking focus away from overall direction/strategy.		Establishes challenging goals and adopts meaningful metrics for evaluating results.		Identifies and utilizes key metrics to monitor and improve business performance.	
May not take action when performance does not meet the established standards.		Monitors progress and adjusts the operating plan where necessary.		Grasps the full meaning and interrelationships of key indicators, and can create meaningful action plans to resolve issues.	
Frequently operates in a crisis mode, putting excessive pressure on self and others to meet deadlines due to poor planning.					

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     Element II • Key Leadership Attributes

9. Builds Capability

Recognizes the specific competencies or capabilities needed and hires, develops, and retains the talent necessary to execute the vision and mission of the organization; promotes team building.

	Mixed Performance		Excellent Performance	
Low Performance		**Solid Performance**		**Outstanding Performance**
Builds an organizational structure based on personalities or other considerations unrelated to fulfillment of the operating plan.		Determines the organizational structure best suited to implementing and achieving the operating plan, reassessing periodically in light of changing needs and objectives.		Anticipates and establishes competencies that will be required in the future, building capacity in time to meet the requirements.

Low Performance:

Builds an organizational structure based on personalities or other considerations unrelated to fulfillment of the operating plan.

Has difficulty selecting and retaining individuals who are solid performers.

Under- or over-staffs.

Frequently goes to outside suppliers for expertise that is essential to the organization's long-term success and that should be developed in-house.

Struggles in determining if the group has the resources necessary to function effectively.

Has difficulty thinking creatively about ways to meet staffing requirements within budget (e.g., doesn't value cross-training).

Restructures without overall thought to long-term impact on business results, or short-term impact on morale and productivity.

Tends to make unilateral decisions about staffing.

Solid Performance:

Determines the organizational structure best suited to implementing and achieving the operating plan, reassessing periodically in light of changing needs and objectives.

Obtains and uses resources to achieve results.

Benchmarks, sets standards, and develops measurements for productivity, quality, timeliness, etc.

Identifies present and future competencies needed in the workforce.

Exposes team to best practices among other groups.

Ensures that his/her organization is selecting the very best talent in the industry.

Ensures trained team members participate in candidate evaluation and selection decisions.

Outstanding Performance:

Anticipates and establishes competencies that will be required in the future, building capacity in time to meet the requirements.

Is creative in obtaining and using resources, modeling and encouraging flexibility and thinking "outside the box".

Consistently makes a measurable and significant improvement in productivity, quality, timeliness, cost, etc.

Creatively restructures to meet changing requirements to achieve greater productivity at less cost.

Ensures that his/her organization selects and retains people who consistently achieve results.

Identifies successors and bench strength for key positions, anticipating and developing long-term staffing strategies to achieve business goals given future skill requirements.

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10. Coaches, Motivates, Develops and Mentors
Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility; and actively coaches and mentors employees for assuming greater responsibilities and to develop their full potential.

	Mixed Performance			Excellent Performance	

Low Performance	Solid Performance	Outstanding Performance
Does not regularly provide direction, or may fail to clearly communicate performance expectations. Demonstrates favoritism/lack of objectivity in applying standards, policies, rewards, and/or sanctions. Frequently does not hold individuals accountable for their actions. Demonstrates little interest in coaching others to improve, preferring to focus on getting his/her own work accomplished, until Focal Point Review. Tends not to recognize employees as individuals, using a "one size fits all" method to providing coaching and feedback. May lose his/her temper with direct reports, or demonstrate non-verbally that he/she is not interested in what the individual has to say as a "defense". Tends to avoid taking responsibility for personal mistakes or blames others for them. Implies that taking time for personal learning and development is not a priority (e.g., "there's too much work to be done").	Provides direction and clearly communicates performance expectations, checking back to ensure understanding. Provides timely and constructive performance feedback on a regular basis, accurately appraising the strengths and weaknesses of direct reports. Holds individuals responsible for their actions in a manner that is fair and objective. Offers coaching suggestions on a regular basis to help team members improve, providing encouragement and support. Remains calm and uses words and body language that encourage discussion and full exploration of the problem. Partners with team members to further career goals and interests. Fosters an environment of continuous learning and development.	Defines roles and responsibilities in a way that optimizes individual and team performance. Challenges individuals to capitalize on their strengths and experience growth. Fosters an environment that encourages individuals to create experiences that will help them fulfill their long-term personal aspirations. Encourages direct reports to coach one another, providing insight as to how to be an effective and inspirational coach. Acknowledges personal mistakes and applies lessons learned, modeling the significance of personal growth. Actively demonstrates concern for the well being of direct reports and appreciation for the efforts they are expending to improve/develop.

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U.S. Department of Energy
Form # DOE F 331.2c (10-01-01)

Progress Review

Name:		Organization:		Rating Period:	

Instructions: Discuss and provide comments on progress achieved and/or performance improvement needed in the below areas. Consider ongoing priorities as well as project completed during the performance period to date. Focus on the priorities, projects, and accomplishments you have been tracking and those that you have discussed with your manager throughout this rating period.

Key Programmatic Objectives	Comments On Progress

Key Leadership Attributes	Comments On Progress
1) Demonstrates Functional Competence	
2) Exhibits Analytical Ability and Solves Problems	
3) Builds Diversity	
4) Serves Customers and Builds Partnerships	
5) Communicates Effectively	
6) Innovates	
7) Demonstrates Personal Leadership	
8) Creates Effective Operating Plans	
9) Builds Capability	
10) Coaches, Motivates, Develops and Mentors	

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U.S. Department of Energy
Form # DOE F 331.2c (10-01-01)

Check the appropriate box.	
☐	Performance, if continued, will result in at least a "Meets Expectations" rating recommendation. Comments concerning performance, including performance improvement needs, have been discussed with the executive.
☐	Performance, if continued, will result in less than a "Meets Expectations" rating recommendation. Specific performance deficiencies are documented in the performance plan and, as applicable, attached documentation. Deficiencies have been discussed with the executive and timely assistance will be conducted at regular internals throughout the remaining appraisal period.
☐	Performance expectations need updating. Necessary changes have been discussed with the executive.
☐	No change in performance expectations since establishment of performance plan.

_____   _____   _____   _____
Rating Official's Signature   **Date**   **Executive's Signature**   **Date**

_____   _____
Rating Official's Name *(typed or printed)*   **Executive's Name** *(typed or printed)*

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U.S. Department of Energy
Form # DOE F 331.2d (10-01-01)

Annual Summary Rating

Element I – Key Programmatic Accomplishment

Name:		Organization:		Rating Period:	

Instructions: Refer to current SES appraisal guidance for completion.

Exceeds Expectations (O):   Clearly exceeds performance expectations. A model executive who sets an example for others, while consistently making outstanding contributions to the Department. This rating level is reserved for top performing executives.

Meets Expectations (ME):   Consistently meets all performance requirements. A solid performer.

Needs Improvement (NI):   Occasionally does not meet performance requirements.

Fails to Meet (U):   Regularly does not follow-through with meeting performance requirements. Job performance is below an acceptable standard and corrective action is required.

Key Programmatic Objectives	Ratings	Comments
1.	- SELECT -	
2.	- SELECT -	
3.	- SELECT -	
4.	- SELECT -	
5.	- SELECT -	

Overall Rating for Element I: - SELECT -

_____   _____

Rating Official's Signature   **Date**

_____

Rating Official's Name *(typed or printed)*

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SAMPLE

U.S. Department of Energy
Form # DOE F 331.2d (10-01-01)

Element II – Key Leadership Attributes

Instructions: The Department of Energy believes that practicing the Key Leadership Attributes will enable executives to be successful. Therefore, as part of the performance review, proficiency on DOE's key Leadership Attributes will be rated. All DOE senior executive performance will be evaluated on the 10 attributes.

TN: *Too New to Rate*; **L:** *Low Performance*; **M:** *Mixed Performance*; **S:** *Solid Performance*; **E:** *Excellent Performance*; **O:** *Outstanding Performance*
(please refer to DOE F 331.2b for rating definitions)

Name of Executive:	Supervisor Rating					
	TN	L	M	S	E	O
1. Demonstrates Functional Competence – Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized.	☐	☐	☐	☐	☐	☐
2. Exhibits Analytical Ability and Solves Problems – Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions.	☐	☐	☐	☐	☐	☐
3. Builds Diversity – Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.	☐	☐	☐	☐	☐	☐
4. Serves Customers and Builds Partnerships – Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations.	☐	☐	☐	☐	☐	☐
5. Communicates Effectively – Creates understanding and commitment to action by presenting ideas and facts – both orally and in writing – in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately.	☐	☐	☐	☐	☐	☐
6. Innovates – Improves results by actively generating, encouraging, and supporting new ideas or approaches.	☐	☐	☐	☐	☐	☐
7. Demonstrates Personal Leadership – Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity.	☐	☐	☐	☐	☐	☐
8. Creates Effective Operating Plans – Develops and implements an operating plan with clear objectives and performance metrics that support the organization's direction/strategy. Holds staff accountable for performance results.	☐	☐	☐	☐	☐	☐
9. Builds Capability – Recognizes the specific competencies or capabilities needed and hires, develops, and retains talent necessary to execute the vision and mission of the organization; promotes team building.	☐	☐	☐	☐	☐	☐
10. Coaches, Motivates, Develops and Mentors – Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility.	☐	☐	☐	☐	☐	☐

Overall Rating for Element II: - SELECT -

_____   _____   _____

Rating Official's Signature   **Date**   **Rating Official's Name** *(typed or printed)*

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Annual Summary Rating and Signatory Approvals

Name:		Organization:		Rating Period:	

Step 1. Initial Summary Rating

	Summary Rating			
A. Rating Official	**O**	**ME**	**NI**	**U**
1. Key Programmatic Accomplishments	☐	☐	☐	☐
2. Key Leadership Attributes	☐	☐	☐	☐
Initial Summary Rating (*The recommended rating is based on the lowest common denominator of the Critical Elements (e.g., if one element is a "Needs Improvement" and the other is at "Meets Expectations" level, the overall rating is "Needs Improvement."*)	☐	☐	☐	☐

_____   _____

Rating Official's Signature   **Date**

_____

Rating Official's Name (typed or printed)

B.   Higher Level Review

☐ Concur…   ☐ Nonconcur…   …with Rating Official's recommendation for current rating cycle. (*Note: in nonconcurrence, attach a written justification explaining reasons*)

_____   _____

Higher Level Reviewer's Signature   **Date**

_____

Higher Level Reviewer's Name (typed or printed)

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SAMPLE

Step 1. Initial Summary Rating (continued)

C. Executive	
I have reviewed and discussed this appraisal with my supervisor. My signature does not necessarily imply that I agree with the appraisal recommendation. (Attach comments, as applicable.)	

Executive's Signature	**Date**
Executive's Name *(typed or printed)*	
Response to lower rating recommendation by reviewing official: (Attach comments as applicable.)	

Step 2.

Performance Review Board (PRB) Chair:
☐ Concur   ☐ Nonconcur

Recommendation, if different than Rating Official:	
PRB Chair's Signature	**Date**
PRB Chair's Name *(typed or printed)*	

Step 3.

Annual Summary Rating:

Determination:	☐ Exceeds Expectations	☐ Meets Expectations	☐ Needs Improvement	☐ Fails to Meet

Secretary of Energy's or Designee's Signature	**Date**
Secretary of Energy's or Designee's Name *(typed or printed)*	

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U.S. Department of Energy
Form # DOE F 331.2f (10-01-01)

Peer Feedback (Optional): Key Leadership Attributes

Instructions: The DOE believes that practicing the Key Leadership Attributes will enable employees and managers to be successful. Therefore, in support of your peer's continuous growth towards performance excellence, you are requested to provide honest feedback on his/her demonstrated leadership capabilities. Please provide an assessment of each of the 10 "Key Leadership Attributes" listed below in comparison with the prescribed rating criteria (see scale below and attached attribute descriptions). Upon completion, please forward the form to the designated source for the executive's supervisor's consideration in conducting his/her annual evaluations and/or Progress Reviews.

TN: *Too New to Rate*; **L:** *Low Performance*; **M:** *Mixed Performance*; **S:** *Solid Performance*; **E:** *Excellent Performance*; **O:** *Outstanding Performance*
(please refer to DOE F 331.2b for rating definitions)

Name of Executive:		Peer Rating					
		TN	L	M	S	E	O
1. Demonstrates Functional Competence – Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized.		☐	☐	☐	☐	☐	☐
2. Exhibits Analytical Ability and Solves Problems – Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions.		☐	☐	☐	☐	☐	☐
3. Builds Diversity – Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.		☐	☐	☐	☐	☐	☐
4. Serves Customers and Builds Partnerships – Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations.		☐	☐	☐	☐	☐	☐
5. Communicates Effectively – Creates understanding and commitment to action by presenting ideas and facts – both orally and in writing – in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately.		☐	☐	☐	☐	☐	☐
6. Innovates – Improves results by actively generating, encouraging, and supporting new ideas or approaches.		☐	☐	☐	☐	☐	☐
7. Demonstrates Personal Leadership – Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity.		☐	☐	☐	☐	☐	☐
8. Creates Effective Operating Plans – Develops and implements an operating plan with clear objectives and performance metrics that support the organization's direction/strategy. Holds staff accountable for performance results.		☐	☐	☐	☐	☐	☐
9. Builds Capability – Recognizes the specific competencies or capabilities needed and hires, develops, and retains talent necessary to execute the vision and mission of the organization; promotes team building.		☐	☐	☐	☐	☐	☐
10. Coaches, Motivates, Develops and Mentors – Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility.		☐	☐	☐	☐	☐	☐

Overall Rating for Element II: - SELECT -

_____   _____   _____
Rating Official's Signature   **Date**   **Rating Official's Name** *(typed or printed)*

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SAMPLE

U.S. Department of Energy
Energy Efficiency and Renewable Energy

The Energy Efficiency and Renewable Energy (EERE) Program Management Virtual University (PMVU) is an online toolkit that allows the EERE user to identify his/her program management training needs, to identify and select training opportunities to address those needs, and to use the information gathered to prepare a meaningful Individual Development Plan (IDP) using the U.S. Department of Energy (DOE) automated IDP process.

The PMVU is a tool for all EERE employees. It provides general program and project management curricula for individuals with little experience, who would like a structured pathway to developing program and project management skills. For the experienced practitioner, the PMVU provides training courses cataloged to specific Knowledge, Skills, and Abilities (KSA) to facilitate their continued education and professional development. EERE employees can access the PMVU through the DOE Employee Self Service (ESS) Web site at: https://mis.doe.gov/ess. Once logged into ESS, click on IDP and then scroll down and click on EERE PMVU.

The remainder of Appendix I provides a quick reference for the benefits and features of the EERE PMVU.

EERE Program Management
Virtual University
(PMVU)
Quick Reference

Benefits

- Addresses PM training needs regardless of position

  - "Basic Training" for all EERE employees

  - Curriculum for program management careerists

  - Competency building for functional specialists and support personnel

  - Continuing education for experienced personnel

- Facilitates focused and objective discussion between employee and supervisor.

- Eliminates need to search for courses to meet the needs of employees.

- Paperless, one-stop IDP preparation.

Features

- Contains relevant Program Management and Project Management courses
- Relates each course to specific KSAs
- Displays course information
- Identifies training priority (High, Medium, Low) for each KSA.
- Identifies level of instruction (Introductory, Intermediate, Advanced) for each KSA
- Links to automated IDP preparation process
- Online tutorial

How To Use
The EERE Program
Management
Virtual University (PMVU)

Getting Started:

1.   Log on DOE Employee Self Service
      (ESS) (https://mis.doe.gov/ess/).

2.   Click on IDP (Individual Development Plan).

3.   Scroll down and click on "EERE PMVU".

4.   Click on "Self Assessment and Course
      Selections".

5.   (Optional) Click on "Tutorial" to walk
      through the PMVU process.

PMVU General Instructions

Use the PMVU by following these steps:

1. Review KSAs
- click ➡ **Display KSA List**
- review
- close "KSA List" window

2. Select KSA category   KSA Category = [All Categories ▾]
- click and select desired category
- click ➡ **Refresh Display/Save Data**

3. Assess training needs
- click ➡ **Display Rating Key**
- review rating instructions,
- close "Rating Key" window
- *rate each KSA by training need and importance to your job
- click ➡ **Refresh Display/Save Data**

4. Sort KSAs by training priority   KSA Sort = [Priority ▾]
- click and select
- click ➡ **Refresh Display/Save Data**

5. Review desired courses
- click on the course title
- review course information
- close course information window

6. Select courses
- check

7. View and print selections
- click ➡ **View Selections**
- print them using browser print feature

8. Exit PMVU
- click ➡ **IDP Planning**

IDP Screen

Your Course Selections will be entered automatically into your IDP in a Goal titled "Enhanced EERE Program Management Knowledge, Skills, and Abilities."

NOTE: You may review desired courses (step 5) and select courses for inclusion in your IDP (step 6) as you assess your training needs by KSA (step 3). Then complete steps 4, 7 and 8.

DON'T FORGET TO SAVE YOUR WORK! After choosing buttons or menu items or checking boxes, you must click "refresh display/save data" to register your selections.

Frequently Asked Questions

Q. How user-friendly is the PMVU?

A. The PMVU provides easy-to-use, illustrated instructions, which show you all of the PMVU features and the specific mouse clicks that are required. Additionally, the PMVU contains an optional tutorial that guides you through a step-by-step process of using the PMVU.

Q. How can the PMVU help me?

A. The PMVU can help you determine the specific training you need to become or remain highly proficient in your current position and to develop the program management capabilities necessary to meet your career goals. By conducting the PMVU self-assessment and then sorting the KSAs by priority, you will be able to focus on and select courses that best meet your needs. Additionally, the PMVU contains a core curriculum of EERE-tailored courses that provides an orderly pathway to acquiring comprehensive program management expertise.

Q. What KSA category do I choose?

A. Generally, you should choose "All Categories" so that you can become familiar with all of the capabilities needed to perform or support program management activities and thoroughly assess your current skills. In some cases, however, an individual, perhaps a functional specialist, may want to focus on a specific category, e.g., budget formulation, to broaden or hone skills in his/her specialty. To opt for the core curriculum, choose KSA Category 0 "Core Program Management Curriculum" and select all of the courses for inclusion in your IDP.

Q. Does the PMVU support EERE's "one way" of doing business?

A. The new EERE organizational model has been incorporated into EERE's new introductory Program Management Overview course (see KSA Category 1 "Overall Program Management") and will also be covered in depth in all intermediate-level EERE courses to be introduced in the near future.

Program Management Virtual University (PMVU)
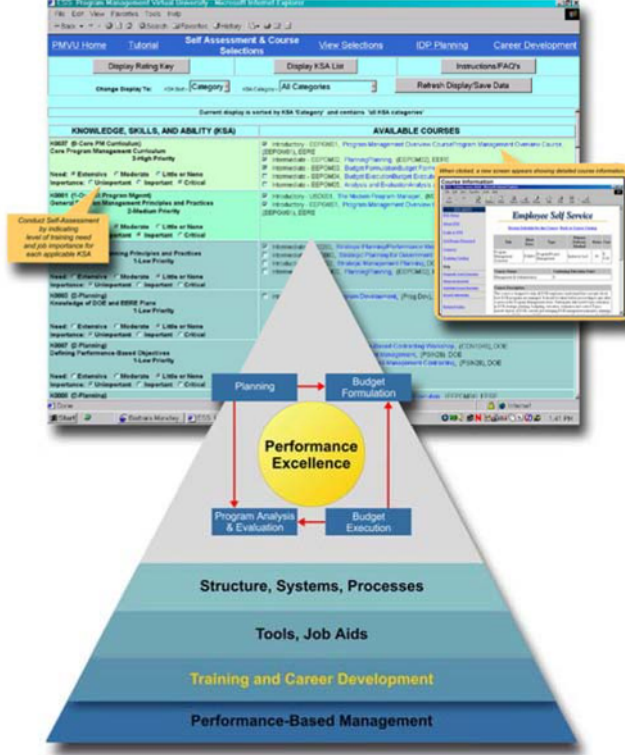
EERE Program Management Initiative

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A. Description

Inherently governmental functions are functions that are so intimately related to the public interest and government operations that they must be performed by government employees in order to retain essential control and responsibility. These functions involve exercising discretionary authority and making final value judgments which affect day-to-day or long-term development, execution, and evaluation of government programs.

B. General Guidelines

(1)   Does the function involve committing the government to a course of action when two or more alternative courses of action exist?

(2)   Would a contractor's involvement be so extensive—or a contractor's work product so advanced—as to limit the agency's (government employee's) ability to develop or consider other options; i.e., does the reliance on the contractor effectively limit the discretion for a government employee decision?

(3)   Does the function involve a monetary transaction or an entitlement?

(4)   Would the contractor's performance of the function cause an appearance of private influence? Examples of these functions include:

- Drafting/modifying congressional testimony,

- Responses to congressional correspondence,

- Responses to congressional Questions and Answers (Q&As), and

- Responses to audit reports from the Inspector General (IG), the Government Accountability Office (GAO), or other federal audit entities.

Note: *With respect to governmental functions, services of a purely advisory nature include: management and professional services, special studies and analyses, management support services, training, and consulting support services.*

C. Non-Inclusive List of Inherently Governmental Functions

Supervisory Functions:

(1)   Direction and supervision of government employees.

(2)   Establishment of employment goals and priorities.

(3)   Evaluation of federal employee performance.

(4)   The selection or non-selection of individuals for federal government employment.

(5)   The approval of position descriptions and performance standards for federal employees.

(6)   Assignment and evaluation of organizational responsibilities.

Policy Development:

(7)   The determination of agency policy, such as determining the content and application of regulations.

(8)   Development and formulation of program goals, policy, strategy, and guidance.

(9)   Promulgation of any regulation.

(10)   Determination of the legality of proposed policies.

(11)   Representation of the U.S. Department of Energy (DOE) in policy matters.

Government Representation:

(12)   Speaking before public or private groups as a representative of the government.

(13)   Initiating or originating draft testimony or presenting, as a representative of the government, testimony before a congressional committee or regulatory body.

(14)   Editing transcripts of congressional committee or regulatory body hearings; or drafting, without attribution, inserts to transcripts.

(15)   Initiating or originating drafts of official documents and correspondence that are intended to represent the policies or plans of the government.

(16)   Initiating contact or following up, on behalf of the Department, with members of Congress, congressional committees, congressional staff members, or officials of state or foreign governments.

(17)   Drafting official correspondence to congressional offices except to provide requested routine information.

(18)   Drafting official correspondence to state and local governments except to provide requested routine information.

(19)   Drafting official responses to correspondence requiring substantial technical research, where the response reflects a departmental policy position.

(20)   The drafting of agency responses to audit reports from IG, GAO, or other federal audit entity.

(21)   The approval of agency responses to Freedom of Information Act requests.

Budget and Financial Management:

(22)   Development, justification, and approval of input into the President's Budget.

(23)   Determination and advocacy of legislative initiatives on behalf of the Department.

(24)   The determination of federal program priorities or budget requests.

(25)   The determination and development of budget policy, guidance, and strategy.

(26)   Distribution and accountability of government funds.

(27)   Management of project contingency funds.

(28)   Action in a fiduciary capacity in the control and disbursement of government funds.

(29)   Determination of final agency action on claims for or against the United States.

Procurement:

(30)   Determination of program/project and contract scope.

(31)   Establishment of the program/project management and contracting approach.

(32)   Determination of acquisition strategy and development of acquisition plans.

(33)   Selection of procurement sources.

(34)   Federal procurement activities for prime contracts (not subcontracts)

–   Determining what supplies or services are to be acquired by the government;

–   Participating as a voting member on any source selection boards;

–   Approving any contractual documents;

–   Selecting contractors and awarding contracts;

–   Administering contracts, including the determination of satisfactory contractor performance and acceptance of completed work;

–   Terminating contracts; and

–   Determining whether contract costs are reasonable, allocable, and allowable.

Program Management:

(35)   Establishment of performance goals, priorities, and schedules.

(36)   Determination of the success or failure of DOE internal management and program management activities.

(37)   Determination of reporting requirements.

(38)   Determination of requirements for, and design of, management information systems.

(39)   Determination of requirements for, and final design of, program or project management systems.

(40)   Determination of environmental impacts of energy policies and projects.

(41)   Determination of economic barriers and trade-offs for particular energy technologies.

(42)   Establishment of technical performance criteria for energy technologies.

(43)   Determination of energy production and consumption targets.

(44)   Establishment of assumptions for scientific and economic models.

(45)   Assurance of project cost, schedule, and technical performance.

(46)   Final determinations regarding performance of DOE projects.

(47)   Assurance of project execution within agreed-upon objectives.

D. Discussion of the Above List

Supervisory Functions: Inherently Governmental

Policy Development Functions: Inherently Governmental

Government Representation Functions: Interagency or advisory committees are governmental. Contractors are allowed to attend general meetings and give technical speeches and presentations; however, they must clearly state their affiliation. Any of these functions that address policy matters are governmental. Contractors may be allowed to prepare general letters and routine correspondence. Testimony, responses (includes Q&As), and representation with Congress, other governmental entities, federal audit entities, and foreign dignitaries are governmental.

Budget and Financial Management: Contractors are limited to researching issues related to the budget. Budget formulation, defense, and briefings are governmental. Financial management functions are governmental.

Procurement: For prime contracts, these are governmental. National laboratories have similar responsibilities for their subcontracts. However, national laboratories are precluded from financial assistance awards.

Program Management: Governmental functions include strategic planning, policy development, milestones, content, direction, evaluation, and performance reviews. Personal services, such as daily directions and file management, are governmental. Contractors may provide input to planning and suggestions for project scopes. In addition, contractors may create presentations, publications, brochures, and displays; perform research and studies and provide corporate history on issues; provide database support; and provide conference and meeting logistics.

NOTE: It should be stressed that contractors can neither be directed nor permitted to perform inherently governmental functions. Government employees, however, are not solely limited to the performance of inherently governmental functions. However, non-governmental functions are subject to competitive outsourcing (President's Management Agenda).

References:

Department of Energy's Office of Procurement and Assistance Management. (1999). Restrictions on Support Service Contracting. United States Federal Government, USA.

Federal Acquisition Regulations, Subpart 37.1–Service Contracts–General; Subpart 37.2–Advisory and Assistance Services–General. An updated version of the Federal Acquisition Regulation may be retrieved at: http://www.acqnet.gov/far/

Appendix K

Roles, Responsibilities and Relationships of Program Managers, Project Managers, Contracting Officers and Contracting Officer's Representatives

A. Operational Requirements and Constraints Relative to Contracting and Financial Assistance

To protect the public and ensure the integrity of the U.S. Government procurement process, total authority for justifying, requesting, initiating, and funding procurements, evaluating offers, awarding and administering contracts or financial assistance, and providing technical direction is partitioned among the Program Manager, Project Manager/Contracting Officer's Representative (COR), source selection authority, and Contracting Officer (CO), who is then supported by the Contract Specialist (COS).

The use of contracts and financial assistance agreements is governed by federal statute and regulations, which define the roles and responsibilities of requiring officials (Program and Project Managers) and their relationships with acquisition/procurement officials and contractors or financial assistance recipients. Many of the decisions made during the acquisition process are joint decisions among the program staff, the Project Manager, the CO, the COR, the COS, and source selection or merit review committee members. Program and Project Managers must work as a team with these personnel to avoid unnecessary problems and delays, and to determine the best way to achieve the required results. Additionally, Program and Project Managers must understand their roles and responsibilities and the limits imposed on their actions and direction vis-à-vis contractor and grantee representatives and personnel.

B. Program Managers and Headquarters Staff

The Energy Efficiency and Renewable Energy (EERE) Program Managers and their Headquarters (HQ) staff are responsible for justifying, baselining, and authorizing a set or portfolio of projects to implement specific elements of their program. Each project is expected to contribute to the overall program goals and objectives in terms of identified cost, schedule, and scope (technical) requirements. The Program Manager's staff provides high-level oversight at key project milestones or when significant variances (exceptions) occur. Based on the situation, they make decisions and provide direction that may change the project baseline, including the expected outputs and outcomes. The Program Manager and staff also validate project results.

C. Project Managers

Once a project is authorized by the Program Manager and staff, it is assigned to a Project Manager for implementation. The Project Manager carries out the project by defining the work, providing technical direction, ensuring satisfactory project progress and completion, and reporting project information to the Program Manager and staff. This function entails working through a CO to obtain goods and/or services for the government or to provide financial assistance to carry out a public purpose. The Project Manager works with the CO and COS to put in place contracts or financial assistance agreements that obligate the government.

D. Procurement Officials

Procurement personnel play key roles in the acquisition and financial assistance processes. Their responsibilities are described as follows:

Contracting Officer. The CO has the primary authority for entering into, administering, and/or terminating contracts and financial assistance instruments (grants and cooperative agreements) and for making related determinations and findings. Authority and designation procedures for COs are set forth in DOE Order 541.1A, "Appointment of Contracting Officers and Contracting Officer's Representatives". It is the CO who has the specific authority to establish binding legal relationships that obligate DOE financially. The CO is responsible for the business management and non-programmatic aspects of the financial assistance process. Detailed responsibilities of the CO can be found in the U.S. Department of Energy Financial Assistance Guide for financial assistance actions and the Federal Acquisition Regulation (FAR) 1.602 for procurement actions. The CO, with the recommendation of the Project Manager, ultimately selects the method of procurement and type of contract or financial assistance instrument.

Contracting Officer's Representative. Many of the technical details for each contract or financial assistance award are delegated to CORs. Delegated actions include technical monitoring, inspection, approval of technical documentation and reports, testing, engineering/research evaluation, and monitoring of schedules and deliverables. A COR may delegate specific responsibilities to others within his/her own delegated authority (e.g., monitoring of individual tasks), but ultimate responsibility for such functions remains with the COR. The COR does not have the authority to alter the scope, price, or terms and conditions of a contract. A COR may be assigned for financial assistance awards if required or the situations dictate. In EERE's field offices, the COR is generally assigned from the cognizant project management office and performs the Project Manager and COR functions

described above. In EERE's HQ, however, the COR is usually part of the Business Administration group and manages the administrative COR duties in coordination with a Project Manager who handles technical oversight for a given award. The CORs must meet the requirements listed in DOE Order 541.1A, "Appointment of Contracting Officers and Contracting Officer's Representatives," and the DOE Acquisition Guide, Chapter 1. Nominees are required to file a Confidential Financial Disclosure Report (SF-450) upon being nominated in accordance with DOE Order 541.1A, paragraph 4d.

Contract Specialist. During the procurement process, a COS is usually assigned to assist the CO and the project manager. The COS is knowledgeable about all federal procurement and financial assistance clauses and requirements, and the rules and regulations regarding them. His/her primary duties are to aid in developing the procurement request and requirements package prior to the solicitation, assist in the negotiation process, and help prepare/issue contract execution documents, such as modifications.

E. Cautions

Only formally appointed COs may commit the government to a course of action, such as authorizing the commencement, continuation, or amendment of work or delivery of material. Improper actions by unauthorized individuals will only complicate and possibly delay the award of a procurement and may, in fact, preclude it. Such action could lead to embarrassment for all concerned as well as costly claims against the government. Department personnel shall:

- Avoid situations that could adversely affect the integrity of the U.S. Government contracting process;

- Avoid contacts with industry representatives that would appear to favor one company/firm or representative, i.e., interviews, tests, briefings, or product demonstrations; and

- Avoid situations that could result in unauthorized commitments.

Unauthorized Commitments. All federal employees must understand the danger of an "unauthorized commitment". From the Federal Acquisition Regulation 1.602-3, "Ratification of Unauthorized Commitments," in brief: An unauthorized commitment is an agreement that is not binding solely because the government representative who made it lacked the authority to enter into that agreement on behalf of the government. When an unauthorized individual directs a vendor to perform in the absence of an award document and obligated funding, he/she is committing the government to an expenditure of funds without prior authorization. Such actions are referred to the cognizant

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Appendix K–Roles, Responsibilities and Relationships of Program Managers, Project Managers, Contracting Officers, and Contracting Officers Representatives

procurement office, where a CO reviews it for possible ratification (approval of an unauthorized commitment). In some cases, however, unauthorized commitments are not eligible for ratification, and the individual responsible for the unauthorized commitment may be held personally liable for the amount of the expenditure.

References

Office of Management, Budget and Analysis. (2004). *DOE Order 541.1B – Appointment of Contracting Officers and Contracting Officer's Representatives.* United States Federal Government. USA. Retrieved from: http://www.directives.doe.gov/pdfs/doe/doetext/neword/541/o5411b.pdf

An updated version of the FAR can be found at http://www.acqnet.gov/far/

Department of Energy's Office of Procurement and Assistance Management. *DOE Acquisition Guide: Chapter 1.* United States Federal Government. USA. Retrieved from: http://www.management.energy.gov/policy_guidance/Acquisition_Guide.htm

Department of Energy's Office of Procurement and Assistance Management. (2003). *Acquisition Letter 2003-02:* Contract Management Planning. United States Federal Government. USA.

Department of Energy's Office of Procurement and Assistance Management. (2007). *DOE/MA-0517: The Department of Energy Acquisition System.* United States Federal Government. USA. Retrieved from: http://www.management.energy.gov/documents/AcquisitionSystem.pdf

EERE Roles and Responsibilities Matrix					
Financial Assistance and Contracting			**Financial Assistance only**	**Contracting only**	
Topic or Issue	**Contracting Officer**	**Program Manager**	**Project Manager/ COR**	**Project Manager**	**COR**
Setting and changing project requirements	No	Yes	No	No	No
Defining acceptability of products or services	Yes	No	Yes	Yes	No
Determining method of evaluating proposals	Yes	No	Yes	Yes	No
Issuing the solicitation	Yes	No	Input	Input	Input
Interpreting the solicitation/contract	Yes	No	Input	Input	Input
Changing/modifying the solicitation/contract	Yes	No	Input	Input	Input
Managing the Technical COR Duties--Providing technical direction (within the scope of the contract)	No	Input	Yes	Yes	No
Managing the administrative COR Duties	No	No	Yes	No	Yes
Providing technical direction (outside the scope of the contract)	No	No	No	No	No
Awarding the contract/grant	Yes	No	No	No	No
Official correspondence regarding the contract/grant	Yes	No	Input	Input	Input

U.S. Department of Energy
Energy Efficiency and Renewable Energy

A. Primary Role of the National Laboratories

The U.S. Department of Energy (DOE) national laboratories, such as the National Renewable Energy Laboratory, are Federally Funded Research and Development Centers (FFRDC), which are primarily government-owned, contractor-operated facilities with the typical contractual mechanism being a Management and Operating (M&O) contract. The intended use of the national laboratories is described in two parts of the Federal Acquisition Regulations (FAR): Part 17.6–Management and Operating Contracts and Part 35.017–Federally Funded Research and Development Centers.

The characteristics of DOE national laboratories, as FFRDCs, include:

- They meet long-term research or development needs that cannot be met as effectively by existing in-house resources or other contractors.

- They have a special long-term relationship with DOE.

- The accomplishment of their tasks is integral to the mission and operation of DOE.

- They have access, beyond that which is common to the normal contractual relationship, to government and supplier data, including sensitive and proprietary data, and to employees and (government-owned, contractor-operated) facilities.

- They are required to conduct their business based on their special relationship with DOE, to operate in the public interest with objectivity and independence, to be free of organizational conflicts of interest, and to have full disclosure of their affairs to DOE.

- They have a long-term relationship with DOE in order to provide the continuity that will attract and retain high-quality personnel at the national laboratories. M&O contracts with a base term of 5 years and a 5-year option are typically used to maintain national laboratory expertise and equipment and facility capabilities, to provide continuity on the national laboratory meeting the needs of DOE, to maintain their objectivity and independence, and to provide a quick response capability.

The FAR specifically states that it is not the intent of the government that an FFRDC use its privileged information or access to facilities to compete with the private sector. It further states that a FFRDC often performs work because the private sector is unable or unwilling to use its own facility for the work. FFRDC competition with the private sector is a sensitive issue. It should also be noted that the DOE Financial Assistance Regulations preclude FFRDCs from being recipients of grants and cooperative agreements (10 CFR 600.101 states: "recipient does not include government-owned, contractor-operated facilities or research centers providing continued support for mission-oriented, large-scale programs that are government-owned or controlled, or are designated as federally funded research and development centers.").

National laboratory employees are precluded from:

- Performing inherently governmental functions;

- Performing support services; and

- Obtaining support services for a DOE organization through a national laboratory subcontract (prohibition extends to all M&O contractors: national laboratories, Y-12, etc).

B. DOE and Congressional Sensitivities Concerning the Use of the National Laboratories

The primary concerns with the use of the national laboratories—based on Departmental Orders, Inspector General (IG) reports, and report language that has accompanied the Energy and Water Development (E&WD) appropriations) —center on:

- National laboratory employees, particularly those located in the Washington, D.C. area, augmenting DOE staff by performing inherently governmental functions;

- National laboratory employees, particularly those located in the Washington, D.C. area, performing activities that should be performed by support service contractors (issues of national laboratories competing with the private sector and higher costs);

- Insufficient programmatic and cost-effectiveness justifications of national laboratory employees located in the Washington, D.C. area provided by the sponsoring DOE programs;

- Long duration of assignments of national laboratory employees located in the Washington, D.C. area (from the 1997 IG report: "conveys the appearance, if not the reality, that program offices were augmenting federal staff rather than filling short-term needs for unique experience;" DOE O 350.2 states: "DOE facility contractor employees shall not be assigned to the Washington, D.C., area to—(4) perform assignments that exceed 12 months in duration unless the individual's continued assignment is critical and represents significant mutual benefit to the program sponsor and the facility.");

- National laboratories providing support services to DOE programs through national laboratory subcontracts (for E&WD-funded programs, the sensitivity is the augmentation of appropriations for support services, since there has been congressional report language that funding for support services is to be only from limited program direction funds, while laboratory subcontracts use less limited program funds); and

- National laboratories competing with the private sector.

C. Local (Washington DC area) National Laboratory Employees

The order DOE O 350.2, "Use of Facility Contractor Employees for Services to DOE in the Washington, D.C. Area," contains the following provisions that concern the approved use of national laboratory employees located in the Washington DC area:

- On an annual basis in advance of the next fiscal year (by May 1), this Order requires each Assistant Secretary to submit a "DOE Facility Contractor Employee Staffing Plan." As part of the EERE plan, each EERE office/program has to submit, by their objectives and performance measures for that fiscal year, the key functions and critical skills required of local national laboratory employees along

with the associated number of local national laboratory employees and the estimated costs in program and program direction funds. From these forms, there is a second form that lists the name of each requested national laboratory employee, the national laboratory, their job assignment (which must align with the key functions), their location of work (e.g., Forrestal Building), the EERE program, the start and end dates of their job assignment, the percent of their time charged against program funds, and their total (direct and indirect) costs per month.

- National laboratory employees are precluded from performing either inherently governmental functions or support services.

- A supporting analysis needs to be performed that determines that the most cost-effective method for performing the work is by a local national laboratory employee.

- DOE has a ceiling of local contractor employees located in the Washington, D.C. area (for FY 2007, the ceiling is 38 employees). The Order defines a facility contractor (local M&O employee) as an employee of a DOE M&O contract, a DOE Management and Integration contract, or a DOE Environmental Restoration contract. It includes not only employees under these contracts, but also employees of their subcontractors. If these employees are in the Washington, D.C. area for more than 30 contiguous days, they count. The order does not include exclusions for Intergovernmental Personnel Assignments, use by other agencies, etc. Trying to circumvent the 30 continuous-day requirement through the frequent use of national laboratory employee travel would not be viewed as good faith (Government Accountability Office report performed for House E&WD, "DOE Management, Opportunities for Saving Millions in Contractor Travel Costs," 1999).

- EERE uses a disproportionately high number of local national laboratory employees. The only way EERE can increase its ceiling is to request a waiver. The Order states: "Any DOE program office facing a critical need to exceed its ceiling may request a waiver from the Deputy Secretary, DOE. All waiver requests must be concurred upon by the Director, Office of Management (formerly Management, Budget and Evaluation) before being submitted to the Deputy Secretary, DOE." Since EERE has about 25 percent of the

Department's ceiling, it is improbable that the Assistant Secretary would submit a waiver. It is more likely that other parts of the Department would submit waivers with the offset coming out of EERE's disproportionately high ceiling.

- All approved local national laboratory employees must be listed in the Department's database. Use of a local national laboratory employee who is not listed in the Department's database can have substantive consequences. The Order states: "Failure to list such an employee in the database will cause any costs associated with the employee (e.g., salary and benefits) to be deemed as unallowable under the terms and conditions of the contract." And, "Payments to a facility contractor employee for any additional tax burden caused by an extended assignment will also be deemed unallowable." If you are using a local M&O contractor who is not currently listed as approved in the DOE database, the government should not pay for their costs. This carries consequences for both the national laboratory as well as the sponsoring DOE program.

- The EERE coordinator for the annual submission of use of local national laboratory employees and any changes to the use of national laboratory employees is Philip Ammirato (phone: 202-586-6551). EERE must stay within its allotted ceiling of local national laboratory employees. This means that if we are requesting approval of another local M&O contractor employee, an existing local M&O contractor employee is no longer allowed to perform work for us. The Order requires the authorization of the Head of Contracting Authority (HCA) or designee for all assignments of facility contractor employees to the Washington, D.C. area. Requirements for the justification and the approval process are contained in the Order.

References

Department of Energy (2003). *DOE Order O 350.2A – Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C. Area.* United States Federal Government, USA. Retrieved from:
http://www.directives.doe.gov/pdfs/doe/doetext/neword/350/o3502a.pdf

Department of Energy (2005). *DOE Notice N 350.2 – Supplemental Requirements for the Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C., Area.* United States Federal Government, USA. Retrieved from: http://www.directives.doe.gov/pdfs/doe/doetext/neword/350/n3502.pdf

Federal Acquisition Regulations (FAR): Part 17.6–Management and Operating Contracts and Part 35.017–Federally Funded Research and Development Centers. An updated version of the FAR may be found at: http://www.acqnet.gov/far/

A. Support Services

Support services contracts are a significant portion of the Department's total contracting effort. These types of contracts must be carefully developed and administered to ensure that contractors do not perform inherently governmental functions or personal services.

Support services are of the following types:

- Technical support services;

- Management support services; and

- Maintenance and operations services.

It is very important that all federal employees are aware of the vulnerabilities unique to the acquisition of support services, especially regarding matters involving the type of work performed by contractors and the working relationship that exists between federal employees and contractor employees.

B. Inherently Governmental Functions

A basic tenet of support service contracting states that contracts are not to be used for the performance of inherently governmental functions. An inherently governmental function includes activities that require either the exercise of discretion in applying government authority, or developing value judgments in decision-making for the government.

C. What Functions are Inherently Governmental?

The following are some of the types of services that are considered to be inherently governmental and should be performed by federal employees, not contractors:

- Supervisory functions of federal employees;

- Policy determination and development functions;

- Government representation functions;

- Budget and financial management; and

- Procurement functions, for example:

    — Determining acquisition requirements

    — Acting as voting members on acquisition selections

    — Approving contractual documents

    — Awarding and administering federal contracts

    — Program management.

To ensure that inherently governmental functions are not performed, the statement of work shall contain language that reserves these functions for government officials and clearly identifies deliverables to be produced by the contractor. The government shall not direct the contractor how to perform the work, nor shall the government supervise contractor personnel directly.

Furthermore, the Department's management and operating contractors shall not be directed to award subcontracts to provide support services to a Departmental office, nor shall they be asked to provide a support service if the service is outside their primary mission.

D. What Functions are NOT Inherently governmental?

Services of a purely advisory nature:

- Management and professional services;

- Special studies and analyses;

- Management support services;

- Training; and

- Consulting support.

Employer – Employee Relationships

Another critical area of support service contracting focuses on the kind of working relationship that exists between federal employees and contractor employees. Inappropriate relationships may lead to situations where contractor employees perform services for federal employees, which are contrary to civil services laws that normally require federal agencies to obtain its employees by direct hire under competitive appointment. Additionally,

specific congressional authorizations must be obtained to acquire personal services through the contracting process.

In reviewing performance under support service contracts, the Department uses the following government-wide criteria to determine whether a contract is personal in nature:

- Performance is onsite;

- Principal tools and equipment are furnished by the government;

- Services are applied directly to the integral effort of agencies or an organizational subpart in furtherance of an assigned function or mission;

- Comparable services, meeting comparable needs, are performed in the same or similar agencies using civil service personnel;

- The need for the type of service provided can reasonably be expected to last beyond one year; or

- The inherent nature of the service, or the manner in which it is provided, reasonably requires, directly or indirectly, government direction or supervision of contractor employees in order to:

    – Adequately protect the government's interest

    – Retain control of the function involved

    – Retain full personal responsibility for the function supported in a duly authorized federal officer or employee.

Each contract arrangement must be judged on its own facts and circumstances, but the key question always will be: "Will the government exercise relatively continuous supervision and control over the contractor personnel performing the contract?"

If the answer is "Yes", either due to the contract terms or the manner in which the contract is administered during performance, the services are personal in nature, and an improper employer-employee relationship exists. However, giving an order for a specific article or service, with the right to reject the finished product or result, is not the kind of supervision or control that would convert a contractor employee into a government employee.

It is equally inappropriate for contractor employees to supervise, control, or direct federal employees. The responsibility for supervising federal employees is inherently governmental and may not be contracted out.

E. Conflicts of Interest

Another potential area of concern involves conflicts of interest. A conflict of interest occurs when a person is unable to render impartial assistance or advice to the government because of other activities or relationships, or when a person has an unfair competitive advantage. Contractor personnel can be in unique positions where, due to their contractual responsibilities, they may provide advice to the government, or they may have access to source selection information or proprietary information of competing contractors. It is important to ensure that these contractor personnel are objective and impartial in their business relationships with the government, and that they do not gain an unfair competitive advantage in seeking future government work.

Prior to the awarding of a contract, the Contracting Officer (CO) performs an analysis to determine the potential for any conflicts. After the award is made, proper contract management practices require that both program and procurement personnel actively monitor the contractual effort to identify and mitigate potential conflicts. Awareness of these issues helps to ensure that the government's best interests are not compromised.

Role of the Contracting Officer

Extreme care must be taken regarding communications with industry representatives, many of whom work on-site with federal employees. It is important to the government contracting process to maintain the integrity of the process and to avoid any action that may appear to be prejudicial to a particular contractor employee or firm. Only formally appointed COs may commit the government to a course of action, such as authorizing the commencement, continuation, or amendment of work or delivery of material. Improper actions by unauthorized individuals will only complicate and possibly delay the awarding of a procurement activity and may, in fact, preclude it. Such action could lead to embarrassment for all concerned as well as costly claims against the government. Department personnel shall:

- Avoid situations that could adversely affect the integrity of the U.S. Government contracting process;

- Avoid situations that could result in unauthorized commitments; and

- Avoid contacts with industry representatives that would appear to favor one company/firm or representative, i.e., interviews, tests, briefings, or product demonstrations.

Contracting Considerations

The Department is bound by several considerations when contemplating acquisition of support services. Some of the critical issues affecting Energy Efficiency and Renewable Energy (EERE) acquisitions are discussed below.

Socio-economic considerations: It is the policy of the government to provide maximum practicable opportunities in its acquisitions to small business, veteran-owned small business, service-disabled veteran-owned small business, Historically Underutilized Business Zone small business, small disadvantaged business, and women-owned small business concerns.

Performance-based service contracting: It is the policy of the Department to use a performance-based service contracting approach to the maximum extent practicable. Departmental policy further directs that all service contracts in excess of $100,000 are required to be performance-based unless justified otherwise. Performance-based contracts shift risk of performance to the contractor, and contractors are paid only if their products or services meet the specified requirements.

EERE contracting process: All potential acquisitions must undergo review by the EERE procurement specialists in the Office of Program Execution Support (PES). PES prepares and reviews procurement packages for submission to the appropriate DOE contracting office.

References

Federal Acquisition Regulation Subparts 7.5, 9.5 and 37

An updated version of the Federal Acquisition Regulation may be retrieved from: http://www.acqnet.gov/far/

Office of Federal Procurement Policy *(OFPP Policy Letters 92-1 (1992) and 93-1(1994))*. The Executive Office of the President of the United States: Office of Management and Budget. USA.

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U.S. Department of Energy
Energy Efficiency and Renewable Energy

Introduction

The use of technical and management support services at Energy Efficiency and Renewable Energy (EERE) is a critical component of program implementation. The employment of support services contracts complements and supplements the use of federal staff and the U.S. Department of Energy (DOE) national laboratories. It would be difficult, if not impossible, to achieve published EERE program goals without the assistance of contracted support services.

However, support services are no cure-all. They cannot substitute for many activities that must be performed by federal employees. Indeed, the need for support services varies across the organization and over time. In some cases, support service contractors can provide a quick infusion of technical expertise to help address an urgent need. In other cases, off-loading of routine tasks to support services contractors allows federal employees to focus on higher-level administrative, policy, and research and development decisions.

Identifying the proper level of funding for support services is a constant balancing act for EERE Program Managers at each of its Headquarters (HQ) and field locations. The need for support services must be weighed against the availability of resources, as well as the skills mix available at HQ and the field.

Historically, EERE has had sufficient flexibility to provide for both technical and management support services across its programs. However, in recent years the availability of funding for support services has become constrained, especially for programs funded by the Energy and Water Development (EWD) Appropriations Bill. These low dollar levels are hampering the ability of EWD funded programs to conduct technical reviews and prepare reports in the most efficient manner.

Just as shortfalls in support service funding can reduce efficiency, over-reliance on these types of contracts can lead to negative long-term effects by insulating DOE employees from important programmatic elements. EERE managers must also be sensitive to potential negative perceptions or misunderstandings created by relatively large and visible support services contracts.

Internal and external analyses of EERE support services have identified several opportunities to improve their utilization. The August 2003 EERE Management Action Plan includes a specific area of improvement for support services. This document serves as one of the first steps taken in implementing the action plan and improving the use of support services within EERE.

In addition, the EERE Fiscal Year (FY) 2006 Human Capital Plan lists three distinct areas in which EERE will continue to revise and expand its corporate-level action plan to facilitate implementation of the recent agency-wide reorganization, and establish change initiatives aimed at improving program efficiency and output.

Major improvement areas in FY 2006 include:

1. Project Management Guide: Continued development of project management principles and training for all EERE staff becomes more critical since the consolidation of EERE's six regional offices into the Project Management Center (PMC).

2. PMC: Consolidation of the regional offices into the PMC became effective July 1, 2006. The PMC is currently integrating former regional office staff into the PMC.

3. PMC Financial Assistance and Acquisition planning process: The newly enlarged PMC continues to make progress in establishing an effective acquisition/assistance planning process and will continue this effort.

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Energy Efficiency and Renewable Energy
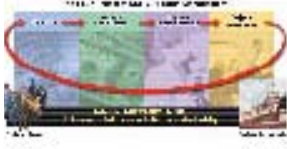
Note: This appendix provides a comprehensive list of acronyms for the different EERE programs/program offices, terms, facilities, procedures, and processes discussed throughout the guide.

List of Acronyms:

AFP	Approved Funding Program
AOP	Annual Operating Plan
ASEE	Assistant Secretary for EERE
B&R	Budget & Reporting [code of]
BA	Business Administration (Office of)
BBS	Broad-Base Solicitation
BES	Basic Energy Sciences
BESAC	Basic Energy Sciences Advisory Committee
BOD	Board of Directors
BPI	Budget and Performance Integration or Business Process Improvement
BTP	Office of Building Technologies Program
C&O	Communications and Outreach
CCTI	Climate Change Technology Initiative
CD	Critical Decision
CEA	Council of Economic Advisors
CEO	Chief Executive Officer
CEQ	Council on Environmental Quality
CFO	Chief Financial Officer
CHRIS	Corporate Human Resources Information System
CIO	Chief Information Officer
CO	Contracting Officer
COR	Contracting Officer's Representative

COS	Contracting Specialist
CPR	Corporate Program Review
CPS	Corporate Planning System
CR	Continuing Resolution
CRADA	Cooperative Research and Development Agreements
CRB	Corporate Review Budget
CSC	Customer Service Center
CSD	Commission on Sustainable Development
CSP	Concentrating Solar Power
DAS	Deputy Assistant Secretary
DAS-BA	Deputy Assistant Secretary for Business Administration
DEAR	Department of Energy Acquisition Regulation
DOC	U.S. Department of Commerce
DOE	U.S. Department of Energy
DOI	U.S. Department of Interior
DPC	Domestic Policy Council
E&WD	Energy and Water Development
E-Gov	Electronic Government
ECPA	Energy Conservation and Production Act
EE	Energy Efficiency
EERE	Office of Energy Efficiency and Renewable Energy
EIS	EERE Information System
EPA	U.S. Environmental Protection Agency
EPAct	Energy Policy Act of 2005
EPCA	Energy Policy and Conservation Act
ERDA	Energy Research and Development Administration
ERMC	Environmental Restoration Management Contracts
ESE	Energy, Science and Environment
ESS	Employee Self Service
EU	European Union
FAR	Federal Acquisition Regulations
FCCC	Framework Convention on Climate Change

FE	Fossil Energy
FEMA	Federal Emergency Management Agency
FEMP	Federal Energy Management Program
FFRDC	Federally Funded Research and Development Centers
FTE	Full Time Equivalent
FWA	Field Work Assignments
FWP	Field Work Proposal
FY	Fiscal Year
GAO	Government Accountability Office
GATE	Graduate Automotive Technology Education
GDP	Gross Domestic Product
GMLoB	Grants Management Lines of Business
GO	Golden Field Office
GPRA	Government Performance and Results Act
GSA	General Services Administration
GTP	Office of Geothermal Technologies Program
HCA	Head of Contracting Authority
HCCI	Homogeneous Charge Compression Ignition [engines]
HFCIT	Office of Hydrogen, Fuel Cells & Infrastructure Technologies Program
HHS	U.S. Department of Health & Human Services
HQ	Headquarters
HUD	U.S. Department of Housing and Urban Development
IAE	Integrated Acquisitions Environment
IDP	Individual Development Plan
IDW	I-MANAGE Data Warehouse
IEA	International Energy Agency
IFB	Invitation for Bids
IG	Inspector General
IPHE	International Partnership for the Hydrogen Economy
IPL	Integrated Priority List
IREP	International Renewable Energy Program

IT	Information Technology
ITP	Office of Industrial Technologies Program
KSA	Knowledge, Skills, and Abilities
LoB	Line(s) of Business
M&I	Management and Integrating
M&O	Management and Operation
MAP	Management Action Plan
MARKAL	Marketing Allocation Model
MOU	Memoranda of Understanding
MRI	Midwest Research Institute
MW	Megawatt(s)
MYPP	Multi-Year Program Plan
NAPA	National Academy of Public Administration
NAS	National Academy of Sciences
NATO	North Atlantic Treaty Organization
NE	Nuclear Energy
NECPA	National Energy Conservation Policy Act
NEMS	National Energy Modeling System
NEP	National Energy Policy
NETL	National Energy Technology Laboratory
NGO	Non-governmental Organization
NOPI	Notice of Procurement Interest
NRC	National Research Council
NREL	National Renewable Energy Laboratory
NSF	National Science Foundation
OBA	Office of Business Administration
OBP	Office of Biomass Program
OCO	Office of Climate Observation
OIBMS	Office of Information & Business Management Systems
OIRA	Office of Information and Regulatory Affairs
OMB	Office of Management and Budget
OPBA	Office of Planning, Budget & Analysis

OPES	Office of Program Execution Support
OPM	Office of Personnel Management
OWIP	Office of Weatherization and Intergovernmental Program
P2E2	Pollution Prevention/Energy Efficiency
PAE	Planning, Analysis and Evaluation
PARS	Project Assessment and Reporting System
PART	Program Assessment Rating Tool
PATH	Partnership for Advanced Technology in Housing
PBA	Planning, Budget, and Analysis (Office of)
PBD	Program Budget Decision
PEM	Polymer Electrolyte Membrane
PEP	Program Execution Plan
PES	Program Execution Support (Office of)
PMVU	Program Management Virtual University
PMA	President's Management Agenda
PMC	Project Management Center
PMI	Program Management Initiative
PMVU	Program Management Virtual University
PNGV	Partnership for a New Generation of Vehicles
PON	Program Opportunity Notice
PPR	Program Progress Review
PR	Procurement Request
PRDA	Program Research and Development Announcement
PSO	Program Secretarial Officers
PURPA	Public Utility and Regulatory Policies Act
PV	Photovoltaics
Q&A	Questions and Answers
R&D	Research and Development
RD&D	Research, Development, and Deployment
RDD&D	Research, Development, Demonstration and Deployment
RDIC	Research & Development Investment Criteria
REPI	Renewable Energy Production Incentive

RE	Renewable Energy
RFP	Request for Proposal
S&TF	Science and Technology Facility
SBR	Spring Budget Review
SC	Office of Science
SEP	State Energy Program
SETP	Office of Solar Energy Technologies Program
SIS	Simple Inventory System
SMS	Strategic Management System
SPOT	Search Portal of Technology
SSA	Source Selection Authority
SSO	Source Selection Official
STARS	Standard Accounting and Reporting System
STEAB	State Energy Advisory Board
STRIPES	Strategic Integrated Procurement System
SUV	Sport Utility Vehicle
SWOT	Strength, Weaknesses, Opportunities, and Threats
TAO	Office of Technology Advancement and Outreach
TD	Technology Development
TEP	Tribal Energy Program
VCR	Variable Compression Ratio [engines]
VT	Office of Vehicle Technologies
WA	Work Authorizations
WAP	Weatherization Assistance Program
WAS	Work Authorization System
WBS	Work Breakdown Structure
WHTP	Office of Wind and Hydropower Technologies
WinSAGA	Windows-Based Systems Approach to Grant Administration

Note: This reference guide provides a comprehensive listing of the references used to formulate the different chapters of this guide. The references are listed alphabetically by subject matter, then chronologically, then by title. They include internet and intranet links, where available. The reference section includes listings of various U.S. Department of Energy (DOE) and Energy Efficiency and Renewable Energy (EERE) Web sites, including links at the end of the listing to the Web sites of the 10 EERE program offices.

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http://www.whitehouse.gov/stateoftheunion/2006/energy/#section1

The Advanced Energy Initiative comprises several sub-initiatives, five of which have a direct impact on EERE. Those initiatives are: The Biorefinery Initiative; Developing More Efficient Vehicles Initiative; Expanding Clean Energy from Wind Initiative; Hydrogen Fuel Initiative; and Solar America Initiative.

For more information about these initiatives, please click on the links below:

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Developing More Efficient Vehicles Initiative:
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House: http://www.house.gov/house/CommitteeWWW.shtml

Clerk of the U.S. House of Representatives: (202) 225-7000

House Committee on Energy and Commerce (jurisdiction for state grant programs, etc.)**:** http://energycommerce.house.gov/

House Subcommittee on Energy and Air Quality (appropriations)**:** http://energycommerce.house.gov/Subcommittees/eaq.shtml

House Subcommittee on Environment and Hazardous Materials: http://energycommerce.house.gov/Subcommittees/ehm.shtml

House Committee on Science and Technology (jurisdiction for all EERE R&D and selected deployment activities)**:** http://science.house.gov/

House Subcommittee on Energy and Environment (appropriations)**:** http://science.house.gov/subcommittee/energy.aspx

Senate: http://www.senate.gov/pagelayout/committees/d_three_sections_with_teasers/committees_home.htm

Secretary of the Senate: (202) 224-2115

Senate Committee on Energy and Natural Resources:
http://energy.senate.gov/public/

Senate Subcommittee on Energy (appropriations)**:**
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http://eis.ee.doe.gov/csc

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http://eere-intranet.ee.doe.gov

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https://mis.doe.gov/ess

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http://www.govtrip.com

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EERE Homepage:
http://www1.eere.energy.gov/

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http://www.eere.energy.gov/solar/

Office of Weatherization and Intergovernmental Program:
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Office of Business Administration (BA) Homepage:
http://www1.eere.energy.gov/ba/

Office of Program Execution Support Homepage:
http://www1.eere.energy.gov/ba/prog_exec_support.html

Office of Planning, Budget, and Analysis (PBA) Homepage:
http://www1.eere.energy.gov/ba/pba/

Office of Information and Business Management Systems Homepage: http://eere-intranet.ee.doe.gov/BA/IBMS/

Project Management Center Homepage:
https://www.eere-pmc.energy.gov/

Golden Field Office Homepage:
http://www.energy.gov/golden

National Energy Technology Laboratory:
http://www.netl.doe.gov/about/organization.html

National Renewable Energy Laboratory:
http://www.nrel.gov/orgchart.html

EERE Performance Measurement and Program Analysis and Evaluation:

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Department of Energy. (2003). *DOE Order 350.2A – Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C. Area.* United States Federal Government, USA. Retrieved from: http://www.directives.doe.gov/pdfs/doe/doetext/neword/350/o3502a.pdf

Statutory Underpinnings:

Information about the various Statutory Underpinnings discussed in Chapter One may be viewed by clicking on the following links:

Federal Energy Administration Act of 1974, as Amended:

Retrieved from: http://uscode.house.gov/download/pls/15C16B.txt

Nonnuclear Energy Research and Development Act of 1974, as Amended:

Retrieved from: http://uscode.house.gov/download/pls/42C74.txt

Solar Energy Research, Development, and Demonstration Act of 1974, as Amended:

Retrieved from: http://uscode.house.gov/download/pls/42C71.txt

Energy Policy and Conservation Act (EPCA), as Amended:

Link unavailable at this time.

Energy Conservation and Production Act (ECPA), as Amended:

Link unavailable at this time.

Electric and Hybrid Vehicle Research Development and Demonstration Act of 1976, as Amended:

Retrieved from: http://uscode.house.gov/download/pls/15C52.txt

Department of Energy Organization Act (1977), and Amendments:

Retrieved from: http://uscode.house.gov/download/pls/42C84.txt

National Energy Conservation Policy Act (NECPA) and Federal Photovoltaic Utilization Act, as Amended:

Link unavailable at this time.

Powerplant and Industrial Fuel Use Act of 1978, as Amended:

Retrieved from: http://uscode.house.gov/download/pls/42C92.txt

Energy Tax Act of 1978, as Amended:

Link unavailable at this time.

Methane Transportation Research Development and Demonstration Act of 1980, as Amended:

Retrieved from: http://uscode.house.gov/download/pls/15C64.txt

National Appliance Energy Conservation Act of 1987:

Link unavailable at this time.

Renewable Energy and Energy Efficiency Technology Competitiveness Act of 1989, as Amended:

Retrieved from: http://uscode.house.gov/download/pls/42C125.txt

Clean Air Act Amendments of 1990, as Amended:

Link unavailable at this time.

Global Change Research Act of 1990:

Retrieved from: http://uscode.house.gov/download/pls/15C56A.txt

Department of Energy Metal Casting Competitiveness Research Act of 1990, as Amended:

Retrieved from: http://uscode.house.gov/download/pls/15C79.txt

Solar Wind, Waste, and Geothermal Power Production Incentives Act of 1990:

Retrieved from: http://thomas.loc.gov/cgi-bin/query/z?c101:H.R.4808

Energy Policy Act of 1992, as Amended:

Retrieved from:
http://thomas.loc.gov/cgi-bin/query/z?c102:H.R.776.ENR:

National Climate Program Act, as Amended:

Retrieved from: http://epw.senate.gov/ncpa.pdf

Hydrogen Future Act of 1996, as Amended:

Retrieved from:
http://www.er.doe.gov/bes/Hydrogen_Future_Act_of_1996_PL-104-271_09OCT96.pdf

EPAct 2005:

United States Federal Government. (2005). *Energy Policy Act of 2005.* (2005). United States Federal Government, USA. Retrieved from: http://www.doi.gov/iepa/EnergyPolicyActof2005.pdf

Allotment	An authorization by either the agency head, or another authorized employee, to subordinate agency employees to incur obligations within a specified amount pursuant to an Office of Management and Budget (OMB) apportionment or reapportionment action, in accordance with OMB Circular No. A-34, or other statutory authority making funds available for obligation. The allotment is the means by which the Department assigns responsibility under the administrative control of funds provision of Title 31, U.S.C., Section 1514. Chapter 6.
Allowance	The number of FTEs that the Department is permitted to use during a specified fiscal year.
Amendments	Process of revising budget estimates after budget has been submitted to OMB.
Annual Operating Plan (AOP)	An organizational one-year plan that identifies what is to be accomplished, when, and using what resources during the planned execution year (also Operations Plan, Program Execution Plan). Chapter 4, Appendix B.
Annual Performance Plan	The planned results (outputs and outcomes) to be achieved during the fiscal year for the authorized and appropriated funds (inputs). The department is required to submit this plan to the President. Chapter 4.
Apportionment	A distribution made by OMB of the amount available for obligation in an appropriation or fund account. The distribution makes amounts available for time periods, programs, activities, projects, objects, or combinations thereof. The amounts apportioned limit the obligations that may be incurred.
Appropriation	A law that gives the U.S. Department of Energy (DOE) the authority to obligate a specified level of funds from the U.S. Treasury.
Appropriation Bill	Proposed legislation that, when enacted, will give legal authority to spend or obligate money from the Treasury.
Approved Funding Program (AFP)	The AFP is the basis for the annual execution of programs as approved by Congress. It is the document issued to DOE elements setting forth the funds available for obligation and expenditure (not to exceed the amount allotted) in each appropriation account. The AFP provides a detailed breakdown of the total amount of obligational authority shown on the Advice of Allotment.
Authorization Bill	Proposed legislation that, upon passage, will establish or continue the legal operation of a federal program or agency.
Base Table	A base table is established annually upon passage of the appropriation legislation. Prior to the fiscal year, the base table is developed in accordance with the information contained in conference reports or appropriation legislation. It displays budgetary resources available for obligation by the Department at a level of detail consistent with congressional requirements (e.g., conference reports, etc.). All funds distributed throughout DOE by the allotment and AFP processes are limited by the amounts in the base table. The base table is submitted quarterly to appropriate congressional committees.

Budget Authority	The authority to enter into obligations that will result in immediate or future outlays involving federal funds.
Budget Call	Guidance issued by the Chief Financial Officer regarding the contents, timing, format, and instructions for formulating budgets.
Budget Resolution	The congressional starting point, which considers the federal budget on a very large scale by setting ceilings on all federal appropriations, entitlement programs, and revenue bills.
Capability Statements	Statements that reflect DOE's position on congressional amendments proposing DOE program and funding increases.
Color of Money	The "color of money" illustrates another congressional appropriations restriction on the use of funds in DOE. The color of money refers to three types of funds: operating, capital equipment, and construction. Operating funds, which account for roughly 70% of DOE's budget, are used for staffing, overhead, travel, transportation, rent, utilities, printing, and maintenance and operating (M&O) contractor support for science and production activities. Construction funds, which represent between 20% and 25% of DOE's budget, are specified line item construction projects. The balance (5-10%) is used for the acquisition of equipment, such as cars, construction machinery, computers, laboratory equipment, and similar equipment. These funds may be used for the intended purpose only and may not be switched to, or used for, acquisition of government services or goods without the appropriate reprogramming, restructuring, or transfer approval.
Committed	Funds that are earmarked for a specific purpose but have not been obligated.
Committee Hearings	Hearings held for agency officials and public witnesses to provide testimony regarding pending legislation.
Committee Referral	After introduction, a bill is referred to a committee and usually re-referred to a subcommittee(s).
Committee Reports	A report containing the amended legislation and an explanation of its provisions.
Conference Committee	A committee appointed to resolve differences between the House and the Senate regarding a proposed legislation.
Conference Report	A report of separate bills that have been reconciled by a joint (House and Senate) committee. The conference report is submitted for separate approval by both the House and the Senate.
Congressional Budget Process	The process that shapes the overall budget and authorizes and appropriates funding for federal programs and activities.
Continuing Resolution	Legislation to provide budget authority for specific ongoing activities and for a specified time for which the regular FY appropriation has not been enacted by the beginning of the FY.
Contract Administration	The process of managing the government's business and technical interests during the execution of the contract.
Contract Closeout	The process whereby the remaining administrative details are wrapped up after a contract is executed or terminated.
Contracting Officer (CO)	The CO has the primary authority for entering into, administering, and/or terminating contracts and financial assistance.

Cooperative Research and Development Agreements (CRADAs)	An agreement between the government and private parties to collaborate on specific R&D activities, each providing funding or other resources in accordance with an agreed upon ratio.
Corporate Program Review Budget	The process in which program budgets are submitted to the CFO and reviewed by DOE senior management, resulting in the budget decisions and allocations that are subsequently submitted to the Office of Management and Budget (OMB), which converts the Department's planning and programming decisions into the budget for Departmental-level review.
Costed	The recognition of the actual or constructive receipt of goods or services requiring government payment based on an accrual concept.
Crosscut Plan	Plans used to coordinate and integrate activities where the goal and/or objectives cross more than one function or organizational entity. Chapter 4.
Decision Unit	The basic reporting unit within the budget structure. As part of both an appropriation category and a budget organization, a decision unit is a non-organizational entity by which DOE plans, budgets, and monitors dollars and staffing requirements.
Deferral	A deferral temporarily withholds, delays, or effectively precludes the obligation or expenditure of budget authority. Program funding levels may be affected by rescissions and deferrals. Secretarial officers may submit proposed rescissions and deferrals to the Controller, who works with OMB for submission to Congress.
DOE Budget Process	Chapter 5
EERE Corporate Planning System (CPS)	Comprehensive EERE-wide program and project management information system and tool for producing and managing congressional budget requests, Spend Plans, portfolio information, Multi-year Program Plans (MYPP), Annual Operating Plans (AOP), and automated program guidance letters. The intent of CPS is to provide a seamless operational and managerial link between all EERE program and project activities. Chapter 8.
EERE Information Systems	An EERE program management information tool comprised of a linked set of spreadsheets populated with program management information. Chapter 8.
Executive Summary	A brief overall summary of the MYPP, including program objectives, critical R&D needs, and an overview of the technical plan. Chapter 8.
Federally Funded Research and Development Centers (FFRDCs)	FFRDCs are a unique class of research and development (R&D) facilities that share aspects of private and public ownership. They are also known as national laboratories.
Financial Information System/Management Analysis Reporting System (FIS/MARS)	System includes funding, obligation, costs, and Suncosted data for each EERE contract or financial assistance instrument by office, national laboratory, awardee, CID, program, subprogram, category, and appropriation symbol. Chapter 8.
Field Contracts	Contracts in support of program tasks and activities that are initiated and managed by DOE field activities.
Floor Action	Legislative action whereby the legislation is returned to the congressional floor and opened for amendments and passage by a majority in both houses.
FTE Allocation Process	The process whereby staffing resources are officially distributed.
FTE Budgeting	The process of identifying, justifying, and defending the federal staffing resources required to achieve DOE program objectives as specified in the current budget and as approved by the Secretary.

Full Time Equivalent (FTE)	The basic unit in which all manpower estimates is stated. An FTE is equal to 2,087 compensated work hours, or approximately the number of hours a Federal employee would be paid if he/she worked full time for an entire year.
Golden Field Office (GO)	The GO is a full-service business organization and is one of the two field organizations in the EERE PMC. Chapter 1
Grant	An agreement through which funds are provided for assistance to provide the means for a recipient to accomplish a public benefit with little oversight or other government involvement.
Impact Statement	Requested to define "What If" scenarios, such as what impact would result from a program budget being reduced or eliminated.
Interagency Agreement	A written agreement entered into between a DOE office and the appropriate official of another federal agency that requires specific goods to be furnished or tasks to be accomplished by one agency in support of the other.
Introduction of Bills	A bill is introduced in the Senate, House of Representatives, or both bodies. Legislation may also be introduced at the request of the President on behalf of an agency.
Key Mission Elements	A plan that identifies the program's quantitative technical goals, objectives, strategies, milestones, and resources required each year for the next five years.
Multi-Year Program Plan (MYPP)	A plan that identifies the program's quantitative technical goals, objectives, strategies, milestones, and resources required each year for the next five years. Chapter 1, Appendix A.
National Energy Policy (NEP)	Similar to a mission statement, the NEP is a framework of goals, objectives, guiding principals, and recommended actions designed to shape America's focus on energy-related issues, goals, and standards. Established by the President, the National Energy Policy Development Group (NEPD) is the committee that is tasked with developing the NEP. The group's membership comprises the Vice President, Presidential Cabinet members, and various other government officials and advisors.
National Energy Technology Laboratory (NETL)	NETL is part of DOE's national laboratory system, and is one of two field organizations that make up EERE's Project Management Center, supporting the program implementation of EERE's R&D programs. With its main campus located in Morgantown, WV, NETL is owned and operated by DOE. The laboratory specializes in energy and environmental research, and in development of coal, natural gas and oil technologies, and is unique because it is the only U.S. national laboratory devoted to fossil energy research. Chapter 1
National Renewable Energy Laboratory (NREL)	NREL is part of the DOE's national laboratory system, and is the principal research laboratory for EERE. Located in Golden, CO, NREL is the nation's primary laboratory for renewable energy and energy efficiency research and development, and specializes in the following areas of research: photovoltaics, wind, biomass, geothermal, building technologies, hydrogen & fuel cells, solar power, advanced vehicles & fuels, and electric infrastructure systems. Chapter 1.
Obligated	Funds that have been set aside to cover a government obligation for payment, typically when a contract is entered into for which the government must pay upon performance by the contractor.
Obligation	A binding agreement that will result in outlays, immediately or in the future. Budgetary resources must be available before obligations can be incurred legally.

Obligation Authority	The sum of budget authority, unobligated balances, offsetting collections, and funds transfers.
Office of Biomass Program (OBP)	Develops and improves technology for biomass power; for making biofuels such as ethanol (from biomass residues as well as grain) and renewable diesel; and for making plastics and chemicals from renewable, biobased materials. Chapter 1.
Office of Building Technologies Program (BTP)	Develops, promotes, and integrates energy technologies and practices to make buildings more efficient and affordable, and communities more livable. Chapter 1.
Office of Business Administration (BA)	A management improvement team to examine the EERE program in five areas ranging from budgeting to performance measurement to procurement. Chapter 1.
Office of Federal Energy Management Programs (FEMP)	Assists federal agencies in reducing their costs by helping them identify, finance, and implement energy-efficient technologies, renewable energy projects, and water conservation projects in their facilities and operations, and provides utility management strategies. Chapter 1.
Office of Field Management and Operations (FMO)	Organization that provides expert advice, guidelines, and examples to assist with the acquisition process. Chapter 1.
Vehicle Technologies Program (VT)	Develops, and promotes user acceptance of, transportation technologies that can decrease oil imports and reduce emissions of pollutants, including greenhouse gases. Chapter 1.
Office of Geothermal Technologies Program (GTP)	Works in partnership with U.S. industry to establish geothermal energy as an economically competitive contributor to the U.S. energy supply.
Office of Hydrogen, Fuel Cells & Infrastructure Technologies Program (HFCIT)	Works with partners to accelerate the development and successful market introduction of these technologies. Chapter 1.
Office of Industrial Technologies Program (ITP)	Creates partnerships to research, develop, and deliver advanced energy and pollution prevention technologies for industrial customers. Chapter 1.
Office of Technology Development (TD)	Responsible office for the management of EERE's ten program offices. TD's management responsibilities are shared by the Deputy Assistant Secretaries: Deputy Assistant Secretary for Energy Efficiency (DAS-EE) and the Deputy Assistant Secretary for Renewable Energy (DAS-RE). Chapter 1.
Office of Management and Budget (OMB)	The OMB has a central role in the formulation and execution of the President's budget. Chapter 5.
Office of Solar Energy Technologies Program (SETP)	Accelerates the development of solar technologies as energy sources for the nation and world, and educates the public about the value of solar as a secure, reliable, and clean energy choice. Chapter 1.
Office of Weatherization and Intergovernmental Program (OWIP)	Provides consumers and decision makers with information on cost, performance, and financing energy-efficiency and renewable-energy projects. Chapter 1.
Office of Wind and Hydropower Technologies Program (WHTP)	Works with industry to develop the advanced technology needed to convert more of the nation's wind into electricity and pursues R&D to develop more environmentally friendly technologies to maintain the nation's existing hydropower capacity. Chapter 1.
OMB Apportionment	Once the congressional budget is signed, OMB places the funds in a budget table that shows how much is to be provided to each agency. Chapter 5.

OMB Budget Review	The DOE budget is reviewed by the OMB prior to submitting it for presidential approval and submission to Congress.
OMB Target	Initial guidance provided by the OMB outlining overall staffing and funding ceilings that the Department should consider as it prepares the budget.
Outlays	The actual disbursement of funds.
Performance-Based Management	A management philosophy that identifies measurable results or outcomes and pursues them at each level of the organization. Chapter 4, 5.
Performance-Based Acquisition	An acquisition approach that specifies "what" is required in terms of objectives, measures, and expectations while leaving the specific methods of performance, the "how", to be decided by the contractor.
Performance Budget Formulation	Second stage of the program management cycle includes budgeting, estimating funding requirements, and defending the budget. Chapter 5.
Planning	First stage of the program management cycle including strategic plans, multi-year plans, and annual operating plans. Chapter 4
President's Budget	Also called the congressional budget submission, it reflects official DOE policy on all matters relating to the Administration's budget requests for funding DOE programs.
Procurement and Assistance Data Systems (PADS)	PADS is the official Departmental system for tracking the status, value, and other characteristics of almost all direct contracts, cooperative agreements, grants, and other funding vehicles. Chapter 8, Appendix E-1.
Procurement Integrity	The responsibility of federal program and contracting officials to refrain from activities that create conflicts of interests or the appearance thereof, or that use the procurement process for personal enrichment.
Procurement Plan	A plan that identifies what is to be acquired and how, including the source, contract method, and contract type. Chapter 6.
Procurement Request (PR)	The key document that initiates a procurement action. This form and accompanying documents provide the information necessary for an awarding procurement office to solicit and evaluate applications, make recommendations to a selection official, and make financial assistance and contract awards. It also serves as a medium for the program office to communicate any special instructions to the awarding procurement office. The requesting official must complete this form electronically for all procurement requirements.
Project	An executable element of a program normally with its own discrete beginning, end, and specified outputs. A project is an executable increment or stepping stone of program activity (e.g., FY 2006 heavy vehicle fuel system research and technology advancement) aimed at achieving specific objectives in a specified period. In the CPS, an EERE project consists of a single agreement or group of agreements or activities that are being implemented.
Project Management Center (PMC)	A "virtual hub" for the project management of EERE's programs, comprising the Golden Field Office and the National Energy Technology Laboratory. Chapters 1.
Project Plan	A detailed plan to ensure that the objectives of a specific project are achieved. A project plan defines the methods applied, resources used, and timelines for the project.

Program	An organized set of ongoing activities directed toward a common purpose or goal undertaken in support of an assigned mission area. A program is generally the highest level of work breakdown structure within a specific mission area. It is characterized by a strategy for accomplishing a set of definitive goals and objective(s) aligned to and in support of the mission goals. A program is generally subdivided into subprograms that, in turn, are typically subdivided into projects that are managed closely by using project management tools and techniques. Chapter 2.
Program Analysis and Evaluation	Fourth stage of the program management cycle including monitoring program work performance and program evaluation. Chapter 7.
Program Guidance Letters	Chapter 6.
Program Implementation	Third stage of the program management cycle that includes identifying the work, assigning the work, and completing the work in a timely fashion. Chapter 6.
Program Management Cycle	Chapter 2.
Program Management Initiative (PMI)	Initiative to improve the program management system, which includes the Strategic Management System, Performance-Based Management standards, and training.
Program Guidance Letters	Chapter 6.
Program Implementation	Third stage of the program management cycle that includes identifying the work, assigning the work, and completing the work in a timely fashion. Chapter 6.
Program Execution Plan (PEP)	A report generated from the Business Information System (BMIS) that provides budget formulation and execution data.
Program Management Cycle	Chapter 2.
Program Management Initiative (PMI)	Initiative to improve the program management system, which includes the Strategic Management System, Performance-Based Management standards, and training.
Program / Project Manager Responsibilities	Chapter 2.
Regional Offices	EERE's six regional offices implement state and local grant programs and serve as EERE's principal technology deployment force in the field. The six regional offices are located in Boston, MA; Philadelphia, PA; Atlanta, GA; Chicago, IL; Denver, CO; and Seattle, WA.
Reprogramming	Reprogramming is the shifting of funds within an appropriation (that is, within a DOE program), within the same fiscal year, between budget activities, line items, etc.
Rescission	A rescission cancels existing budget authority before the time when the authority would otherwise cease to be available for obligation. The President requests the rescission. The rescission occurs only if Congress enacts it.
Spend Plan	The Spend Plan indicates how much appropriated funding will be placed with each performing activity, including labs and procurement and financial assistance awardees, and shows a costing or accrual rate consistent with the actions necessary to accomplish the work. Chapter 6.

Staffing Budget Call	A memorandum that provides guidance to Secretarial officers and other top Departmental officials on staffing levels, assumptions, scenarios, alternatives, and formatting requirements.
Strategic Management System	An organizational management framework that integrates planning, budget formulation, budget execution, and analysis and evaluation. Chapter 2.
Strategic Plan	A plan that identifies the organization's vision, mission, values, and broad goals looking forward at least five years into the future. Chapter 4.
Technology Development Manager	Responsible for managing technology development subprograms. Technology Development Managers report to the respective Program Managers in HQ.
Technology Transfer	The process of applying technologies developed in the private sector by the government and vice-versa.
Unobligated Balances	The cumulative amount of budget authority that is not obligated and that remains available for obligation under law.
Work Authorization System (WAS)	The method by which work is assigned to and accomplished by the national laboratories. Chapter 6.