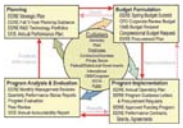

2.1 EERE Programs as Key Mission Elements

EERE accomplishes its mission through individual programs and collective efforts across programs.

To accomplish its mission, Energy Efficiency and Renewable Energy (EERE), like any organization, must divide its work into manageable segments. All work done in EERE can be represented by a work breakdown structure; that is, a pyramid where the top level is the EERE mission and the succeeding lower levels are the EERE programs and projects, respectively (see Figure 2.1-1). Most EERE programs are further subdivided into subprograms. EERE must ensure that all of the work needed to accomplish its mission has been assigned to, and is being pursued by, individual programs, or is being addressed collectively across programs as "crosscut" goals and objectives. If all programs are successful in meeting their goals and objectives (including their expected contribution to crosscut goals), then, by definition, EERE should be successful in accomplishing its mission.

Additional information on EERE's mission, vision, and priorities may be accessed at http://eere-intranet.ee.doe.gov/front_office/index.html

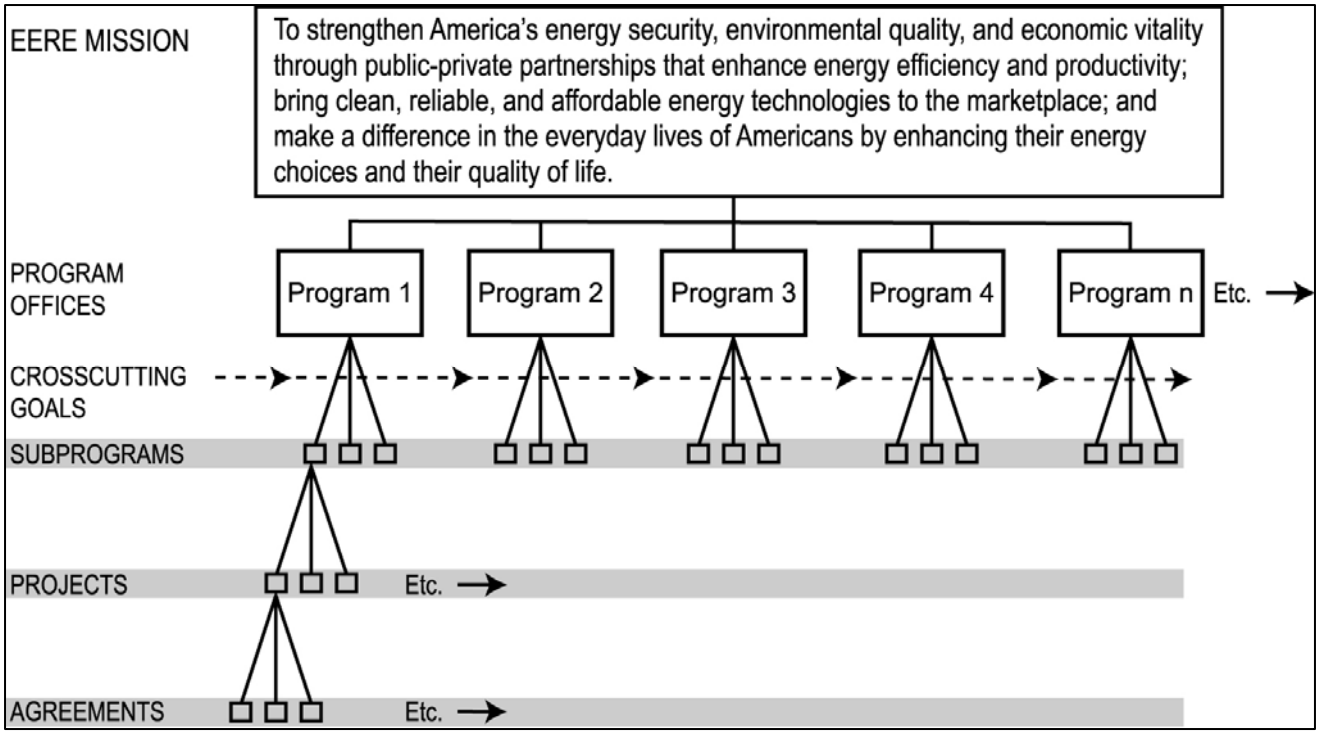

Figure 2.1-1 EERE Work Breakdown Structure

Below the program level is the project level. Projects may include discrete research and development (R&D) activities, technology demonstrations, or deployment initiatives. The distinctions between programs and projects are shown in detail in Subsection 2.5.

Program portfolios enhance EERE's chances for success.

Currently, EERE has 10 programs. Each program has a performance risk, which means there is some likelihood that the program may not be able to carry out its plan completely and fall short of its goals. However, it is still possible that other programs may exceed their goals, resulting in EERE's still accomplishing its mission; hence the term "pooling the (performance) risk" at the next higher level. This is comparable to a stock portfolio or mutual fund where the performance of some stocks falls short, but others yield more than expected, so the overall fund or portfolio achieves the desired return.

EERE management officials must keep this pooling of risk concept in mind when establishing programs and providing them guidance and resources.

Program managers must consider both their program and EERE's mission.

Program Managers must understand that their program has to fit into the larger portfolio. The program may not be as broadly chartered or generously funded as desired because the program is sharing scarce resources with other programs in the interest of achieving a proper balance. Program management teams should always keep the EERE mission in sight, when implementing their programs. This requires attention to crosscutting goals, sometimes at the expense of higher risk to program goals.

EERE's program portfolio is dynamic, requiring periodic review and adjustment.

EERE's program structure needs to be carefully reviewed and adjusted over time in response to internal performance and external scientific/technological, political, and economic factors. This causes turbulence that program management teams must continually address.

EERE management has a continuing responsibility to provide adequate resources for programs. For example, a reduction in a program's funding generally requires a commensurate adjustment to its goals so that it remains viable.

2.2 Distinctions Among EERE Programs, Projects, and Agreements

Programs and projects are defined (and managed) separately.

EERE programs typically involve a range of activities including Technology Research and Development, Demonstration, and Deployment (RDD&D). These activities are generally carried out as a set or series of discrete projects. EERE's policy is to assign and manage (plan, fund, implement, and track) programs and projects differently. Programs typically are managed in Headquarters and projects in the field (see Program and Project Management Responsibilities in Subsection 2.5).

An EERE Program Management Focus Group developed the following definitions:

Programs are ongoing and typically managed by Headquarters Program Managers reporting to the Deputy Assistant Secretary (DAS) for Energy Efficiency and the DAS for Renewable Energy in the Office of Technology Development.

- **Program:** An organized set of ongoing activities or projects directed toward a common, specific purpose or goal. A program is generally the highest level of the 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 generally is subdivided into subprograms that, in turn, typically are subdivided into projects that are managed closely by using project management tools and techniques.

  Additional Information on EERE's Programs may be accessed at http://eere-intranet.ee.doe.gov/TD/td.html

  Programs in EERE are characterized either as core programs and subprograms, programs in the exploration or initiation stage, or programs that cut across ("crosscut") institutional lines and contribute to other programs. Common functions, such as planning, research, and international cooperation, typically are not programs. Viewed as an integrated whole, a program is the aggregate of its subprograms (which have the same characteristics as programs but represent one additional level of subdivision) and its projects.

Projects have a defined beginning and end, and are typically managed in the field.

- **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., Fiscal Year [FY] 2006 heavy vehicle fuel system research and technology advancement) aimed at achieving specific objectives in a specified period. In the Corporate Planning System (CPS), an EERE project consists of a single agreement or activity, or a group of agreements or activities, which are being implemented.

- **Agreement:** An activity or unit of work within a project that relates to and supports the overall goals and objectives of the project. An agreement has: 1) a defined beginning and end, 2) milestones that chart progress, 3) well-defined deliverables, and 4) a credible budget to support the work and deliverables defined.

2.3 EERE Programs and Subprograms

EERE maintains a dynamic portfolio of programs and subprograms. The following table represents the current set. Additionally EERE Program offices maintain ongoing activities, which are further subdivisions of subprograms or are emerging programs in the exploration or initial stages.

Table 2.3-1 EERE Program Portfolio

Program Office	Program Area/ Subprogram	Activity
Biomass Program (OBP)	Biomass Feedstocks	• Regional Energy Feedstock Centers • Residue Harvesting and storage preprocessing delivery
	Sugars Platform	• Enzymatic hydrolysis technologies • Research and Development (R&D) on recalcitrance of biomass • Research of biochemical conversion of cellulosic biomass to sugars and subsequently to ethanol
	Thermochemical Platform	• Evaluates thermochemical processing of sugars platform residue streams • Evaluates thermochemical processing of biomass to biofuels derived from syngas and pyrolysis oils • Sygnas cleanup and conditioning core R&D
	Products Core R&D	• Works with industries to produce chemicals and materials from sugars and oils • Develops advanced biological and/or chemical catalysts for the conversion of biomass to biofuels
	Integrated Biorefineries	• Evaluates the integration of technologies to produce biofuels in a cost effective integrated biorefinery fuels production component • Solicits input and pre-commercialization requirements from the industrial, financial, and engineering communities to aid in deployment • Scopes and solicits for biorefinery demonstration and validation projects with a focus on meeting the requirements of the financial community

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
Building Technologies Program (BTP)	Appliances and Commercial Equipment Standards	• Develops test procedures and minimum efficiency standards for residential appliances and commercial equipment
	Building America	• Supports R&D activities that produce homes that use up to 70% less energy, with little or no increase in construction costs.
	Building Energy Codes	• Supports the development of more stringent and easier-to-understand building energy codes. Develops downloadable compliance tools and materials. Provides technical and financial assistance to help states adopt, implement, and enforce building energy codes
	Emerging Technologies	• Works with manufacturers, national laboratories, and universities to support R&D for the next generation of energy-efficient components, materials, and equipment
	EnergyStar™	• Government-backed label to improve energy efficiency in homes and buildings. Works with manufacturers and retailers to promote efficient appliances, lighting, windows, doors, skylights, and other products. Works with states, utilities, and other partners to promote energy audits in the existing homes market through Home Performance with EnergyStar™
	High Performance Buildings	• Works with architects, engineers, builders, owners, and occupants to optimize building performance, comfort, and savings through a whole-building approach to design and construction
	Rebuild America	• Community-based delivery of information, services, and technical assistance to promote efficiency in institutional (e.g., schools and hospitals), existing homes, and remodeling markets. Emphasis is placed on improving building performance, easing air pollution through reduced energy demand, and saving money through increased use of efficiency and renewable energy technologies
Federal Emergency Management Program (FEMP)	Equipment Procurement	• Publishes a series of *Purchasing Specifications for Energy Efficient Products* • Provides assistance to help educate federal purchasers to identify the best and most efficient products and services

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
FEMP (continued)	New Construction / Retrofits	• Assists Facility Managers, Project Managers, and others in thinking through the myriad questions involved in new construction and renovation projects, including to how to: — Incorporate efficient technologies into the project; — Evaluate the life-cycle costs of investments; — Select an energy-wise design firm; and — Draft appropriate specifications
	Operations and Maintenance	• Provides publications and guidance related to the performance of routine, preventive, predictive, scheduled, and unscheduled actions aimed at preventing equipment failure or decline with the goal of increasing efficiency, reliability, and safety
	Utility Management	• Provides up-to-date information about energy markets, utility restructuring, renewable power purchasing, demand response, and state energy efficiency funding opportunities that can help manage costs, improve reliability, and reduce environmental impacts
Geothermal Technologies Program (GTP)	Technology Development	• Geothermal Resource Development — Exploration Research — Resource Assessment • Enhanced Geothermal Systems Technology — Laboratory Research — Field Projects • Geothermal System Development — Drilling Research — Energy Conversion R&D
	Technology Application	• Technology Verification — Field tests of improved technology • Technology Deployment — Outreach activities focused on key state and regional development issues — Continued analytical work on the performance and economics of geothermal systems

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
Hydrogen, Fuel Cells & Infrastructure Technologies Program (HFCIT)	Hydrogen Production	• R&D into a range of technologies and pathways to produce hydrogen economically and in environmentally friendly ways. Emphasis is on the following: — Distributed bio-derived liquid and natural gas reforming — Electrolysis — Reforming biomass gas from gasification/pyrolysis — Biological hydrogen production — Photoelectrochemical hydrogen production — Solar high temperature thermochemical cycles — Separations
	Hydrogen Delivery	• Analysis of hydrogen production and delivery options, as well as R&D of technologies to enable lower cost and more energy-efficient hydrogen delivery and handling. Emphasis is on the following: — Lower-cost pipelines; — Lower-cost off-board storage at refueling stations; — Liquid carriers; — Lower-cost and more energy-efficient liquefaction; and — More durable and reliable compression technology
	Hydrogen Storage	• R&D of on-board vehicular hydrogen storage technologies, with an emphasis on materials-based technologies. Efforts are carried out through the National Hydrogen Storage Project, which is composed of "Centers of Excellence" as well as independent projects • Centers of Excellence focusing on metal hydrides, chemical hydrogen storage, and carbon-based materials • Independent projects including R&D of new materials and processes, as well as advanced tanks, materials safety, and storage systems analyses of performance, cost, and efficiency

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
HFCIT (continued)	Fuel Cells	• R&D of Polymer Electrolyte Membrane (PEM) fuel cells. — Cost reduction and improved durability — Emphasis on fuel cell stack components including: o Membranes o Membrane electrode assemblies o Bipolar plates o Advanced catalysts — R&D of fuel processors for stationary applications and balance-of-plant components
	Technology Validation	• National Hydrogen Learning Demonstration brings together automobile and energy industry partners, their suppliers, and the federal government to evaluate hydrogen fuel cell vehicle and infrastructure technologies in real-world conditions and assess technology readiness for the commercial market • Data collected helps validate the technology and measure progress toward technical targets such as: — Targets for fuel cell durability and efficiency; — Vehicle range; and — Hydrogen fuel cost.
	Safety, Codes & Standards	• Develops practices and procedures to ensure the safe operation, handling, and use of hydrogen and hydrogen systems in U.S. Department of Energy (DOE)-funded projects • Promotes widespread sharing of safety-related information, best practices, procedures, and lessons learned • Research and development of hydrogen behavior data to provide a sound basis for model code development and adoption • Identifies gaps in the standards development process and facilitates the creation and adoption of model building codes and equipment standards for hydrogen systems in commercial, residential, and transportation applications • Provides technical resources to harmonize the development of international standards

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
HFCIT (continued)	Education	• Develops and provides technically accurate and objective information, training, and education opportunities to key target audiences with a role in the transition to a hydrogen economy. Activities target: — Emergency responders and code officials; — Citizens in communities with hydrogen demonstration projects; and — State and local government officials, as well as potential hydrogen technology end-users and early technology adopters • Seeks to support the development of university education programs and activities to introduce secondary school teachers and students to hydrogen fuel cell technologies.
	Systems Analysis	• Supports program decision-making by evaluating existing and emerging technologies, using a fact-based analytical framework to guide the selection and evaluation of R&D projects, and providing a sound basis for estimating the potential value of R&D efforts. Activities include: — Evaluating transition scenarios consistent with developing infrastructure and hydrogen resources; — Providing and coordinating analysis of environmental and techno-economic issues; and — Providing and coordinating financial and environmental assessments
	Systems Integration	• Provides disciplined approach to the management and execution of the research, design, development, and validation efforts • Provides the tools and processes to integrate and measure progress toward program goals • Helps to ensure that requirements are identified, verified, and met while minimizing the impact on cost and schedule of unanticipated events and interactions

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
Industrial Technologies Program (ITP)	Energy Intensive Industries	• Maximizes technology investments through collaborative partnerships within several vital industries. These use large amounts of heat and energy to physically or chemically transform materials. Collectively, they supply 90% of the materials vital to our economy, produce $1 trillion in annual shipments, directly employ over 3 million people, and indirectly provide an additional 12 million jobs at all skill levels. Industry partnerships include: — Aluminum — Chemicals — Forest Products — Glass — Metal Casting — Mining — Steel
	Crosscutting Technologies	• Combustion • Sensors and Automation • Industrial Materials for the Future • Supporting Industries
	Best Practices	• Works with U.S. industry to implement energy management practices in industrial plants • Provides a number of resources for corporate executives, plant managers, technical staff, and the general public
	Industrial Assessment Centers	• Provides eligible small- and medium-sized manufacturers with no-cost energy assessments • Serves as a training ground for the next-generation of energy-savvy engineers
	Inventions and Innovations	• Offers financial and technical support to inventors and businesses for promising energy-saving concepts and technologies • Selects technologies to receive grants through a competitive process
Solar Energy Technologies Program (SETP)	Concentrating Solar Power (CSP)	• R&D focuses on three types of CSP technologies: —Trough systems —Dish/engine systems —Power towers

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
SETP (continued)	Photovoltaics (PV)	• R&D activities within the PV program include the following areas: • Fundamental Research — Electronic materials and devices, especially studying defects and structure — Material and device processing science: developing a new class of deposition, processing, and characterization tools to allow the integration of processes and diagnostics in a flexible manner and to provide the ability to study research problems previously difficult or impossible to pursue — Developing higher-performance devices attained by using tandem or multijunction solar cells • Advanced Materials and Devices — Advanced Manufacturing R&D — Thin Films Development — PV Modules Reliability R&D • Systems Technology Development — Systems Modeling and Analysis — Systems Engineering — Communications and Outreach
	Solar Heating	• Innovative concepts to reduce the cost of solar water-heating systems • New applications for solar water-heating systems • The use of plastics in residential solar water-heating systems • Powering air-conditioning systems using solar-energy systems, especially focusing on compound parabolic concentrating collectors • The use of flat-plate collectors for residential and commercial hot water • Ventilation air pre-heating for commercial buildings using transpired air collectors • Concentrating and evacuated-tube collectors for industrial-grade hot water and thermally activated cooling • Thermal Modeling • Pipe Freeze Protection • Materials Testing: — Glazing — Absorbers

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
SETP (continued)	Solar Lighting	• Hybrid Solar Lighting provides daylighting by using parabolic concentrators and fiber optics, and is currently being developed and tested by Oak Ridge National Laboratory in collaboration with DOE and several industry partners
	Deployment	• Solar Powers America • Solar Decathlon
Vehicle Technologies Program (VT)	Vehicle Systems	• Heavy Vehicle Systems R&D • Ancillary Systems • Simulation and Validation
	Hybrid and Electric Propulsion	• Energy Storage • Advanced Power Electronics • Subsystem Integration and Development
	Advanced Combustion Engines	• Combustion and Emission Control • Light Truck Engines • Heavy Truck Engines • Waste Heat Recovery • Health Impacts
	Materials Technologies	• Propulsion Materials for Cars and Trucks • Lightweight Materials for Cars and Trucks • High Temperature Materials Laboratory
	Technology Introduction	• Clean Cities • Legislative and Rulemaking • Testing and Evaluation • Advanced Vehicle Competition
	Innovative Concepts	• GATE
Office of Weatherization and Intergovernmental Program (OWIP)	Weatherization Assistance Program (WAP)	• The WAP works in partnership with states and local agencies to provide weatherization services to low-income families. The annual grants provide approximately 40% of funding with the remainder leveraged from U.S. Department of Health and Human Services (HHS), states, and utilities. One dollar investment returns $2.60 for energy and non-energy benefits.

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
OWIP (continued)	International Renewable Energy Program (IREP)	• Demonstrates and encourages the use of renewable energy and energy-efficiency technologies in international markets. It leverage funding from international organizations, replicates successes to other areas, and expands the demand for U.S. energy technologies.
	State Energy Program (SEP)	• Provides grants to the states to design and carry out their own renewable and energy efficiency programs across all market sectors. Technical assistance helps states develop projects and accelerate the adoption of renewable energy and energy efficiency technologies. Annual savings from SEP are more than $333 million. SEP has expanded from grants to include solicitations for special projects.
	Tribal Energy Program (TEP)	• Promotes tribal energy sufficiency, economic development, and employment on tribal lands by providing financial and technical assistance to tribes for feasibility studies and sharing the cost of implementing renewable energy installations on tribal lands.
	Renewable Energy Production Incentive (REPI)	• Provides financial incentives to public utilities, not-for-profit electric cooperatives, Indian tribal governments, and Native American corporations for electricity produced from renewable energy. Since 2000, the $26 million disbursed by REPI has produced over 4.3 billion kWh from renewable resources.
Wind and Hydropower Technologies Program (WHTP)	Hydropower Research	• Large Turbine Testing — Operate more efficiently and generate more electricity — Improve water quality during operation — Provide improved conditions within the turbine to safely pass increasing numbers of fish • Improved Mitigation Practices — Identification of the costs, benefits, and effectiveness of instream flow requirements • Hydropower Supporting Research and Testing: — Laboratory studies of the biological response of fish to the physical stresses experienced during passage through turbines — Monitoring technologies to measure the physical conditions inside turbines in the field — Advanced computational techniques to describe the full range of hydraulic environments in turbines under different operating conditions

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
WHTP (continued)	Wind Energy Research	• Low Wind Speed Technology — Advanced drive trains with novel configurations — Advanced power electronics to improve overall efficiency and provide higher-quality power — Lighter and quieter rotors made with new materials — Advanced controls to monitor overall system health and reduce maintenance costs — New, taller tower designs that can be assembled cost-effectively on-site • Distributed Wind Energy Technology — Develops advanced technology to make distributed wind technology cost-effective in much wider regions of the country and for a wide variety of applications — Develops small turbine technology for lower wind regimes through collaborative partnerships • Supporting Research and Testing — Advanced Rotor Development — Blade Development — Aerodynamic Code Development and Validation — Aeroacoustics Research and Testing – Site-specific Design — Inflow Characterization — Design Load Specification – Generator, Drive Train, and Power Electronics – Systems and Controls • Design Review and Analysis & Testing Support — Structural Testing — Dynamometer Testing — Field Testing

Table 2.3-1 EERE Program Portfolio (continued)

Program Office	Program Area/ Subprogram	Activity
WHTP (continued)	Wind Energy Research (continued)	• Wind Energy Systems Integration — Technology Characterization and Data Collection — Wind Generator Modeling — Wind Farm Data Monitoring — Resource Characterization – Tools and Methods Development — Grid Operational Impact Analysis — Transmission and Generation Planning – Application and Implementation — Grid Rules Development — Operational Impacts Mitigation Strategies – Integration of Wind Energy and Hydropower Technologies – Wind Energy and Hydrogen Production – Wind Energy and Clean Water • Wind Energy Technology Acceptance – Outreach to State-based Organizations – Support for Rural Wind Development – Small Wind Energy Outreach – Institution Building Through Utility Partnerships – Support for Native American Interest in Wind Power – Use of Wind Power to Meet Federal Loads • Wind Energy Supporting Engineering and Analysis – Establishment of Certification Standards and Processes – Support for Field Verification Tests – Supporting Technical Analyses and Communication Products

2.4 Roles and Responsibilities of Headquarters and Field Activities

EERE HQ manages the programs, and identifies and assigns the work; field elements manage and/or do the work.

EERE's Project Management Center (PMC) is a "virtual hub" of project management information and resources for EERE customers, stakeholders, staff, and contractors.

Additional information on EERE's PMC may be accessed at https://www.eere-pmc.energy.gov

The basic division of responsibility and accountability in EERE is that Headquarters (HQ) elements plan, direct, and oversee the programs; and field elements implement the programs, conducting or assigning the actual work. Part of HQ program planning and oversight entails establishing projects as discrete activities with definitive beginnings and endings. EERE HQ and field elements—the PMC located at the Golden Field Office (GO) and the National Energy Technology Laboratory (NETL)—then plan the projects, and direct and oversee project implementation and other program operations and activities conducted by federal laboratories and other government and non-government entities, including contractors, grantees, industry partners, interagency partners, etc. This division of responsibility and accountability is shown in Figure 2.4-1.

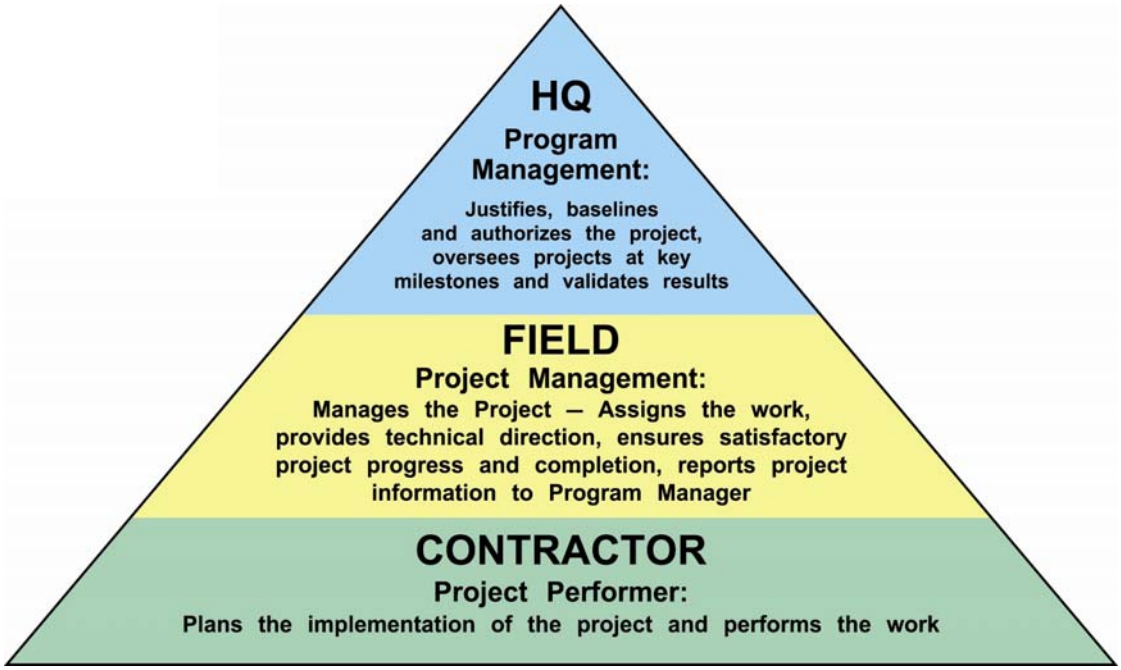

Figure 2.4-1 EERE Program Roles and Responsibilities

2.5 Program Management Vis-à-vis Project Management Responsibilities

The following subsections (in tabular form) outline the general responsibilities of EERE program management and project management. Even though Program Managers and Project Managers have the lead responsibilities listed below, they and their respective teams will frequently consult and coordinate with each other during the year.

The core of the program management team typically includes the Program Manager, Technology Development Manager, and/or Office of Planning Budget and Analysis (PBA) Specialist; Planning, Budget and Analysis liaisons; and Field Project Manager. The project management team typically includes the Project Manager/Contracting Officer Representative (COR), Contracting Officer (CO), and Contracting Specialist.

These responsibilities were derived from and are consistent with current DOE directives governing program and project management. They have been refined and elaborated by the EERE Program Management Initiative (PMI) and further defined by the EERE Project Management Center (PMC) to more accurately align with EERE's mission and the nature of its programs.

2.5.1 Planning

EERE Program Management	EERE Project Management
Plans and develops the overall program	*Initiates and oversees the project*
Provides policy and broad program direction	Provides the program management team recommendations on technical performance, cost, and schedule requirements for the planned project that contribute to the program's goals and objectives
Aligns programs and projects with Corporate goals and objectives	Defines the project objectives and how the project will be organized, staffed, and managed
Conducts multi-year program planning and identifies annual performance milestones	Defines the project management approach and optimizes the procurement strategies
Establishes and justifies the need for projects within the program	Develops the Project Execution Plan
Supports EERE strategic and mid-term planning efforts	Maintains awareness and understanding of EERE and program goals, objectives, and strategies
Provides/drafts Program Strategic Plan	Provides input for the Program Strategic Plan

2.5.2 Budget Formulation

EERE Program Management	EERE Project Management
Prepares, justifies, and defends the program budget	*Develops and submits the project budget to the Program Manager*
Develops and submits estimates of the funding and Full-time Equivalents (FTE) needed to carry out the program's science and technology base, and operations and support plans	Prepares the resource requirements for the project
Aggregates and submits the funding and FTE requirements for implementing the program's authorized projects	Estimates and validates contractor and federal FTE requirements
Provides the rationale for the program's activities, including science and technology base, projects, and operations and support	Identifies and validates necessary facilities and equipment
Optimizes program resource allocations to maximize performance results	Justifies the project's submission to the EERE budget

2.5.3 Program Implementation

EERE Program Management	EERE Project Management
Executes the program budget and implements the program	*Implements the project*
Authorizes projects and establishes and staffs project management offices	Determines project and contract scope, and recommends new project modifications
Ensures timely funding for projects and other program activities	Executes the project in coordination with the field procurement function
Integrates across all elements of the program (science and technology base, projects, and operations and support)	Selects the project performers (awardees) in coordination with the field procurement function
Monitors program-level milestones and evaluates progress	Evaluates and determines the acceptability of awardee performance
Assures proper coordination between multiple field elements, other DOE programs, federal agencies, and other program partners	Monitors project-level milestones and evaluates progress
Advocates the program through liaison with the public and private sectors	Provides technical direction to awardees
Accountable for achieving program objectives, e.g., cost, schedule and technical performance	
Maintains power base through networking and partnership development with industry	Coordinates project with HQ management and staff elements
	Supports project accountability via baseline tracking and reporting

2.5.4 Analysis and Evaluation

EERE Program Management	EERE Project Management
Analyzes and evaluates the overall performance of the program	*Analyzes and evaluates detailed performance of the project*
Evaluates program variances from expected progress and initiates necessary corrective actions	Tracks project execution against cost, schedule, and technical performance
Ensures field performance and status of assigned program tasking, e.g., science and technology base and operations and support	Independently assesses regular project status reports
Reviews project portfolio performance against established baselines	Identifies significant variances in project progress and recommends corrective action
Supports Corporate and Departmental evaluation efforts	Regularly assesses and reports project status to the Program/Technology Manager with recommendations to continue, modify, or discontinue the project
Identifies significant variances in program results and recommends corrective actions	
Validates reported results	
Establishes an evaluation plan	
Estimates program benefits to date	
Ensures adequate peer reviews of program progress	

Additional Information

More detailed information on Program Managers' roles, responsibilities, and performance objectives may be found in Appendices G and H.

2.6 How to Manage an EERE Program: A Macro Look at the Program Management Team's Job and the Program Management Cycle

2.6.1 The Job of the EERE Program Management Team

Running a program is a lot like operating a business.

An EERE program is in many ways just like a business. This business contributes to the overall success of the EERE and DOE missions in support of the National Energy Policy. EERE is, therefore, very similar to a division of a large corporation. The business is ongoing; that is, it has no clearly definable point of completion or finish. EERE's activities most likely involve pursuing continuous improvements and advancements in one or more specific technology and/or market areas.

Programs have customers and others who have a stake in the outcome.

A business needs to be developed, sustained, and run effectively and efficiently. The purpose of any business is to meet stakeholders' needs. In EERE's case, the primary stakeholder is the American public, which needs clean and affordable energy. Other stakeholders include the various legitimate agents for the public, such as Congress, special interest groups, industries that manufacture and use energy-efficient products, environmental groups, and academic and scientific institutions.

EERE program management teams have responsibility for the bottom line.

Your position in EERE may be that of Program Manager, Team Leader, member of a program management team, or provider of functional support. In any of these roles, you will guide or help guide program strategies and contribute to results.

The program has an ongoing mission, an overriding purpose, and perhaps a vision of where it wants to be in the future. Strategies and plans with long-term goals and objectives are needed as well.

Just like any business, it is important to have an explicit mission (a definitive statement of why you are in business) and a vision (an image of an ideal future state, say 10 or more years into the future). To achieve the vision, short- and long-term goals and objectives must be set and pursued. Your goals and objectives need to address satisfying the needs of customers and other stakeholders (the ends) and developing or increasing operational capacity (the means). Resources are also needed to operate the business. This means that products or services need to be offered and sold to obtain the financial "wherewithal" to acquire the necessary resources.

Programs need to compete for resources and also cooperate.

Selling the program is essential.

In EERE's environment, a business group is called a program; it is a discrete element of the EERE mission. Resources are acquired through the budget process, a specialized mechanism for marketing and promoting the program. In the budget process, the program competes with many others for scarce resources, just as companies compete in the marketplace for consumer dollars. It is therefore imperative that the program have a viable

program strategy with well-defined plans geared toward yielding valuable benefits to the stakeholders. That is, the stakeholders must receive a return for the funds they are investing with the program or spending on its products and services. The program must show results.

The program management team needs to plan what work needs to be done and how it is to be accomplished.

Obtaining funds is necessary but not sufficient to ensure that a business succeeds. Funding must be allocated across various funding mechanisms, which involves obtaining the most beneficial mix of activities and goods and services. These funding mechanisms include contracts, grants, field work authorizations, financial incentives, and partnerships. In addition, there are a number of high-leverage, business-like arrangements that should also be considered. Among these are public policies, market interventions, consensus standards, public service promotions, and cooperative ventures with business, academia, or other government entities. Partnerships with commercial manufacturers that produce advanced, energy-efficient technologies and with companies that use the technologies, such as electric power companies, are important for achieving improvements in energy efficiency.

The program management team needs to keep the program on track; know the status of the program.

Finally, activities need to be tracked to make sure the plans are being carried out. Periodically, as changes occur, goals and objectives should be reviewed to ensure they are correct and still on course.

In sum, programs need planning, performance budget formulation, program implementation, and program analysis and evaluation.

Programs also have a lot of business-like functions and activities to do.

We have just described the four phases of program management: Planning, Budget Formulation, Program Implementation, and Analysis and Evaluation. To manage a program successfully, it must planned, budgeted for, implemented (including timely execution of the budget), and overseen to ensure it stays on track. In doing so, the programmatic functions that plan, conduct, and evaluate the actual work must be integrated with business activities that are necessary to get the work assigned, conducted, and paid for.

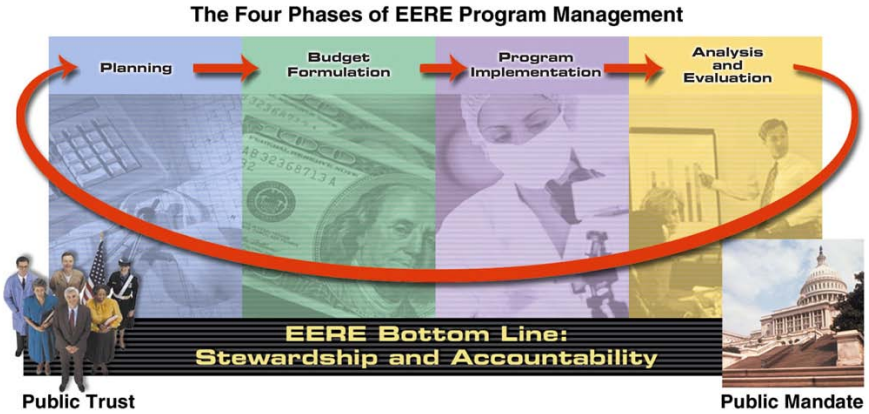

Figure 2.6-1 The Four Phases of the EERE Program Management Initiative (PMI)

The buck stops with the program manager and his/her team.

EERE program management teams have been entrusted with a serious responsibility to always act in the best interest of the American public. They are stewards of substantial public funds. In addition to the guidance and instructions contained herein, the bottom line is that they are accountable for the success of the team's program in all aspects.

2.6.2 The Program Management Cycle

The EERE program management teams are the vital agents who are responsible for transforming strategic objectives into reality through the successful development and execution of programs/projects.

The successful accomplishment of EERE's mission is dependent upon the ability of program management teams to transform strategic objectives into reality, building the foundation for EERE's success.

While program management uses defined methods to develop and monitor programs, effective program management is best described as an art. Vital elements of program management can be identified and detailed in guides (such as this) and training. However, it is the personal combination of motivation, talent, knowledge, and experience that produces effective program management.

Program management is a complex and multi-dimensional discipline involving technical competence, communication and negotiation skills, creativity, organization, and especially, effective time management. Using these skills, the EERE program management staff must juggle the many different tasks and responsibilities involved in successful:

- Planning;
- Budget Formulation;
- Program Implementation; and
- Analysis and Evaluation.

2.6.3 Planning

EERE Corporate and program planning is conducted in three broad areas:

- *Strategic Planning*
- *Multi-Year Program Planning*
- *Annual Operations Planning*

The EERE program management planning cycle involves a progression of activities that are tiered into three broad levels. The program management team contributes at all three levels. Strategic planning at the DOE and EERE levels addresses the broad DOE-wide missions, visions, strategies, and strategic themes (identified in the current DOE Strategic Plan) and formulates EERE and program-specific missions, visions, strategies, and strategic objectives. Multi-year program planning is performed largely at the program level and translates the strategies and strategic themes developed at the strategic level into specific technical, funding, and schedule requirements for Multi-Year Program Plans (MYPP). Annual operations planning separates programs into their constituent projects and

details, technical objectives, contracts, grants, field assignments, budgets, and milestones for each year. See Figure 2.6-2 for a summary of the program management cycle planning stages.

In addition to these plans, prudent program management would call for development of contingency plans at the program level and, more importantly, at the project level to be ready to respond to significant, and unexpected, increases or decreases in budget authority.

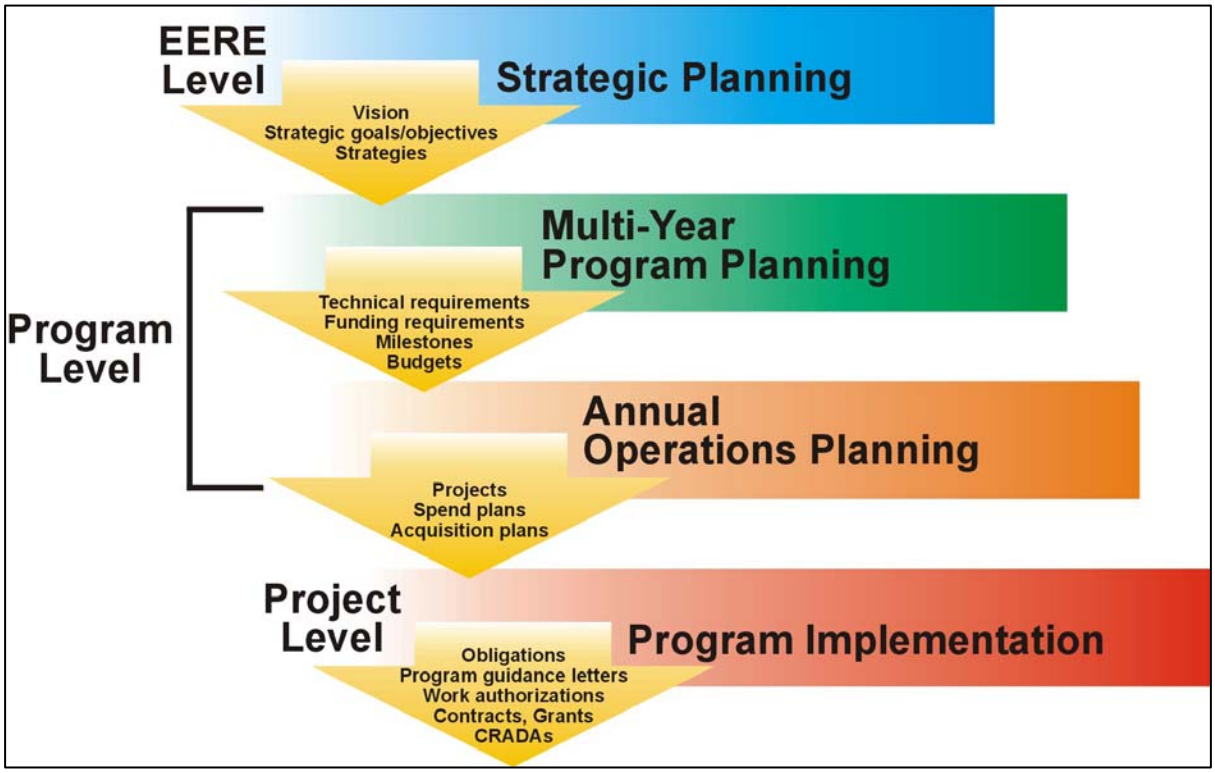

Figure 2.6-2 Planning Stages

2.6.3.1 Strategic Planning (every 2–3 years)

Strategic planning steps:

1. *EERE Strategic Plan is issued.*
2. *Program management team assists in the development of the strategic objectives and issues.*
3. *Program management team helps generate strategies.*
4. *Program management team conducts broad program planning.*

Strategic planning is a multi-level process where the overall DOE and EERE mission, vision, and broad strategic goals are successively refined into increasing levels of detail. The process leads to the formulation of EERE strategic goals that provide the focus and justification (including legislative) for EERE programs.

The EERE Strategic Plan is produced at the Assistant Secretary level and is updated approximately every 2–3 years. Some programs develop Strategic Plans at the Program Office level and update them periodically as the technology, industries, and DOE environment changes, and as the EERE Strategic Plan is updated. The purpose of strategic planning is to assure that the long-term program goals and objectives are the best that can be

currently envisioned. The program then can be implemented in concert with the DOE and EERE missions, goals, and objectives.

The key elements developed or reaffirmed through strategic planning are as follows:

- Mission;
- Values;
- Situational analysis;
- Vision, and strategic goals and objectives;
- Strategic issues; and
- Strategies.

Additionally, the Strategic Plan must support the establishment of DOE and EERE performance goals, measures, and expectations as required by the Government Performance and Results Act.

The EERE Strategic Plan, last updated in 2002, may be viewed at www.nrel.gov/docs/fy03osti/32988.pdf

The program management team completes the strategic planning process by generating program strategies that target the achievement of the EERE strategic objectives while addressing the realities imposed by the strategic issues (especially legislative mandates and constraints). Broad program planning is conducted by the program management team with input from the PMC, national laboratories, industry groups, professional associations, and panels of experts to identify and develop new program areas or to refocus existing programs (if necessary) to achieve strategic objectives.

2.6.3.2 Multi-Year Program Planning (update annually)

The program management team identifies key program elements.

In developing the MYPP, the program management team begins by identifying key program elements required to achieve the strategic goals and comply with Congressional directives, specifically:

The program management team identifies projects, levels and content of laboratory support; as well as acquisition and financial assistance support.

- Technical and/or marketing requirements, risks, and potential barriers;
- Legislative requirements and limitations;
- Program structure;
- Identification of technical and contract management issues;
- Identification of necessary program support requirements and resources;

- Funding requirements; and
- Milestones/scheduling requirements.

Program milestones must be identified at junctures along the critical path to the program goals and objectives. They should represent key decision points for determining as early as practicable whether the program is on track toward achieving objectives and should facilitate timely adjustments to the program's strategies.

The program management team develops the Multi-Year Program Plan. EERE's MYPP Template Guidance Phase II may be accessed at http://www/energy.gov/ba/pba/pdfs/eere.guide_mypp_0606.pdf

The MYPP integrates these key program elements and becomes the *basis for budget requests and justifications*, as well as the baseline document that provides the framework for periodically evaluating and reporting program progress. The MYPP is also considered a "living document" and is updated on an annual "rolling" basis. An MYPP is developed for each program and contains the following:

- Introduction;
- Goals and Objectives;
- Technical and/or Marketing Plan;
- Implementation Strategy; and
- Management Plan.

The program management team updates the MYPP with input and assistance from many sources, including laboratories and support contractors.

2.6.3.3 Annual Operating Plan (each fiscal year)

AOP starts with ensuing fiscal year of MYPP.

After the MYPP is updated, the program management team begins the annual operations planning process by using the ensuing fiscal year (slice) of the MYPP as the foundation on which to develop the Annual Operating Plan (AOP). The program management team reviews the program's goals and objectives. They then review the near-term milestones and determine the activities required in the upcoming execution year to achieve them. Some of the milestones will be achieved by ongoing project activities from prior fiscal years. Others will require the initiation of new projects. All will require the identification of the applicable funding requirements and the timing of the funding obligations. In each case, the work performer and/or procurement and/or financial assistance vehicles will be identified and the cost, schedule, and technical requirements specified.

Program management team reviews goal, objectives, and milestones.

AOP identifies all annual work performed.

Where it is anticipated that the laboratories will be assigned the work, the program may direct them to generate and submit a Field Work Proposal (FWP). In many cases the FWP will be submitted as part of the laboratory's AOP. In reviewing the FWP, the program may discuss and negotiate its provisions with the lab before deciding upon the level of tasking and funding necessary.

Where the performer is other than a laboratory, the program management team needs to determine the appropriate acquisition or financial assistance instrument and estimate the funding required.

AOP drives Procurement Plan.

To complete the AOP, the program management team develops a Spend Plan, which identifies all of the funding required and when it will be needed during the year. The completed AOP (see Appendix B) is then used to develop a Corporate Procurement Plan, which provides the planning details including the lead times for preparing procurement and financial assistance documents (see Chapter 6). The AOP is also the source of information for generating Work Authorizations and Program Guidance Letters to the field.

2.6.4 Budget Formulation

Budget Formulation

The DOE, the Office of Management and Budget (OMB), and Congressional Budget processes require that budget requests be submitted in accordance with a schedule and in a specific format. In recent years those formats have been evolving, with the internal DOE budgets being streamlined during FY 2007 – 2008, and with streamlining of the OMB submission being tried for the first time for FY 2009. (Prior to those budgets, the internal DOE and OMB budgets were essentially complete drafts of the Congressional Budget request.) At each stage, whatever the format, the budget submission is EERE's and presents each program with an opportunity to "sell" their vision and the benefits of their activities to the next set of players in the budget cycle. Every budget is a marketing document, although once the funds are appropriated by Congress, it also becomes the basis for each program's AOP.

Budget requests flow from plans.

After the program has been fully defined by the AOP, the program secures finding through the budget development process. Funding is spent for an array of reasons: for contractors at laboratories, university and industry research, grants for weatherization and also cost-sharing and financial incentives, etc. In order to develop a budget, certain things must be assessed. Instead of merely listing activities that will be performed, the

"budget and performance integration" analyzes specific performance so that one can realize how the proposed costs will achieve these objectives and outcomes.

Developing the annual budget is a three step process:

1. *Formulation of the budget request to Congress;*
2. *The Congressional Appropriations Process; and,*
3. *The agency's execution of the budget as appropriated.*

Developing an annual budget for federal agencies is a three step process: formulation of the Administration's budget request to Congress, the Congressional appropriations process, and the agency execution of the budget as appropriated. Prior to developing the first draft of the budget, the program gathers input from appropriate personnel at DOE headquarters, laboratories, and field offices, as well as from internal planning, primarily the MYPP. The program should already have much of this information from the multi-year program planning process which occurs prior to the Budget Formulation Process.

The budget formulation process is one that integrates many different facets of information and skill. Proper planning and estimation is essential for budget planning to take place. Overestimating and underestimating has proved detrimental in years past. For that reason, there is a series of steps followed during the Budget Formulation Process. The Budget Formulation Process begins when the DOE controller issues the call for development of the CPS and guidance for its preparation.

The EERE budget is developed during a five phase process:

1. *The Field Budget Call – decisions by Laboratories, field offices, and the CFO (for crosscuts);*
2. *EERE Spring Review – planning, review, and decisions by EERE;*
3. *Corporate Program Review – review and decisions made by the CFO and the Secretary;*
4. *OMB Review – review and decisions by OMB and, if the DOE appeals, possibly by senior White House staff; and,*
5. *Congressional Budget Review – reviews by both authorization and appropriation committees, floor votes, and conference committees.*

There are five different phases in the EERE Budget Formulation process: the Field Budget Call; the EERE Spring Budget Review; the Corporate Program Review; OMB Review; and, the Congressional Budget Review. The information flows simultaneously top-down and bottom-up. Generally, there is a strategic plan which sets top-down priorities and departmental goals. EERE's strategic plans tie to departmental goals, and MYPPs tie to EERE and DOE Strategic Plans.

Each of the five phases are pertinent to the end result in the Budget Formulation process and must be treated as such. The first phase (Field Budget Call) is not a major phase for EERE; decisions made by laboratories and field offices are noted and are necessary in order to proceed. During the second phase (EERE Spring Budget Review), planning and decisions are made by EERE leadership and the EERE budget is prepped for submission to the CFO. In the third phase (Corporate Program Review), EERE forwards their budget to the Chief Financial Officer (CFO) and the Secretary for review and consideration. During the fourth phase (OMB Review), the modified budget, as critiqued by the CFO and the Secretary, is forwarded to OMB for review; decisions made by the OMB are then

reviewed, and in some cases, appealed. And finally (Congressional Budget Review), the budget is reviewed by both authorization and appropriation committees, and decisions by these committees are incorporated into the budget.

EERE's FY2008 Budget may be accessed at http://www1.eere.energy.gov/ba/pba/budget_08.html

This process helps ensure that budget submissions have accurate information, especially in terms of pricing, realistic schedules and time submissions, and program and project prioritization that are in compliance with applicable laws and guidance.

2.6.5 Program Implementation

The program management team initiates the development of required program support funding documents.

Executing the budget and procurement activities is vital to maintaining program progress and executing the program. Procurements and interagency agreements can have significant lead times and program support funding documents (e.g. procurement requests, work authorizations, etc.) must be submitted at the earliest possible time. To accomplish the timely submittal of the program support funding documents, the program management team implements the AOP for execution of that fiscal year. Through continuous communication and prompt work, the procurement plan can take place smoothly (especially documents for interagency agreements, sole source justifications, and statements of work).

EERE's Standard Operating Procedure AOP Guidance may be accessed at http://eere-intranet.ee.doe.gov/BA/IBMS/pdfs/annual_operating_plan_guidance.pdf

After fiscal year levels from Congress have been established, the program management team updates the MYPP, AOP (projects, milestones, Spend Plan), and procurement plans to reflect funding realities. The Program Implementation phase is initiated with the finalization and submittal of the program support funding documents. After this is sent to the PBA, the authorization, obligation, and procurement process can begin. As funds are authorized, PBA updates the Spend Plan; the program management team tracks the obligation of funds and updates the Spend Plan as funds become obligated. The current Spend Plan report can be generated in CPS – an EERE information system that monitors, tracks, and manages program operations.

Another major program management team responsibility is to ensure funding is provided to the program supporters (laboratories, contractors, etc.) in a timely fashion according to the Spend Plan. Through the submission of the appropriate funding documents to the PBA Specialist as

part of the monthly Approved Funding Program process, this is accomplished.

2.6.6 Analysis and Evaluation

Analysis and evaluation help determine what path to take, whether the program stays on the planned path, and whether a course correction needs to be taken.

The Analysis and Evaluation phase is the process of conducting in-depth evaluations of programs and analyzing benefits to ensure things are "being done right." The program management team does this through extensive oversight and tracking of a program's efficiency by technical, schedule, and fiscal progress. Program managers analyze performance measurement data and provide results of the analyses and evaluations for use in planning and resource allocation. Analysis of performance data will assess whether goals were achieved, verification and validation of performance levels, and what external factors may have influenced performance.

Program Managers must stay on top of things, know the status, and take timely action.

For information on market, economic, and policy analysis, as well as key data and tools may be accessed at http://www1.eere.energy.gov/ba/analysis.html

The purpose of program analysis is to inform Corporate-level decision-making within EERE. The results help decision-makers understand how individual program activities contribute to EERE's goals. The use of economic models provides insights about interactions between energy markets, the general economy, government policies, and ways that EERE technologies may influence these interactions. This information is used to assess policy options and the contributions, under different scenarios, of EERE programs toward achieving DOE goals related to energy, energy security, and the environment. Such assessments inform portfolio decisions, budget formulation, and program management.

For information on departmental performance tracking and reporting and retrospective program evaluation methods please access http://www1.eere.energy.gov/ba/performance.html

The purpose of evaluation in EERE is to inform program-level and portfolio-level decision and planning processes, monitor performance, measure success, increase efficiency and effectiveness, and meet internal and external requirements for an objective, independent assessment. The Planning, Analysis, and Evaluation (PAE) team's role is to provide products and services to support the evaluation of programmatic elements. PAE has divided its evaluation functions into two domains: program evaluation and performance monitoring.

2.7 EERE Strategic Management System

2.7.1 The Strategic Management System

SMS is a tool for the programs and the organization.

The Strategic Management System (SMS) is EERE's executive and program management operating system. It defines each of the four program management phases in terms of a scheduled series of products and their linkage to other products and phases (their interdependencies). This helps to properly align the program and business management activities and provides critical information at the right time for key decision-making. By adopting a clearly defined, integrated, and systematic approach for its management activities, EERE will be able to improve the effectiveness, efficiency, and quality of its programs.

Figure 2.7-1 shows the four phases and the general closed-loop flow for one EERE program cycle.

SMS integrates the Program Management Elements:

- *Planning*
- *Performance Budget Formulation*
- *Program Implementation*
- *Analysis and Evaluation across all programs and organizational units.*

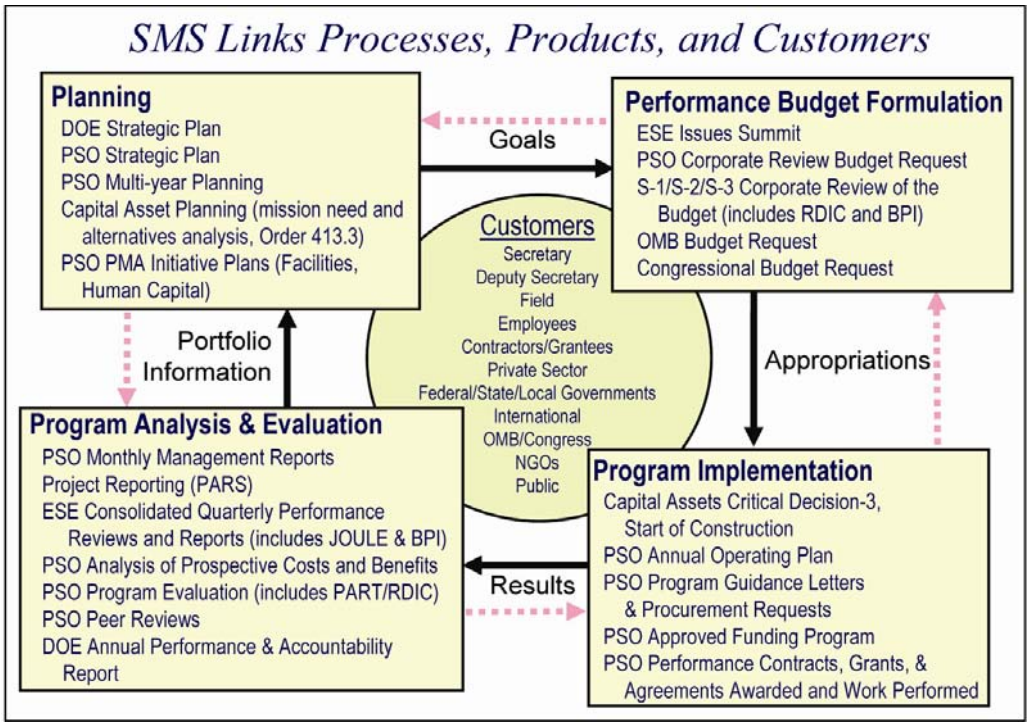

Figure 2.7-1 EERE Strategic Management System

Information on Program Planning, Budget Formulation, Program Implementation and Analysis and Evaluation are linked through SMS.

As repeated throughout this guide, the program management team needs to plan, budget, execute, and evaluate to be successful. It is also necessary that these activities are linked into a cohesive and coherent whole. That is the purpose of the SMS.

All of the SMS procedures, processes, and tools have been designed to address the interdependence of the parts as well as the parts themselves. If SMS is used properly, each of EERE's goals and objectives and each EERE program's MYPP and AOPs will feed into the budget. The plans and budgets then will direct the implementation activities. The analysis and evaluation will focus on the desired outcomes as well as feed into the next planning cycle.

The SMS is part of the program management basic tool kit—the roadmap and calendar for planning and implementing the program.

2.7.2 Using the EERE SMS to Manage the Program

The SMS framework can be used to identify what to do and when.

As a general rule, program management and business management activities should be planned around the SMS calendar. At any point in time, programs will be engaged in different phases of at least four consecutive fiscal years. Without a clear roadmap, that situation would be overwhelming.

Each October, Energy Science and Environment (ESE) will distribute a memorandum updating the SMS calendar for the next 13 months. Periodically, the program management team should plan its calendar by setting aside blocks of time to conduct planning and program reviews to ensure they are conducted deliberately and in a timely manner. This will make everyone's life much easier and the program more effective.

All SMS graphics and information reflect the October 2005, SMS Memorandum from Under Secretary Garman.

Figures 2.7-2 through 2.7-5 on pages 33 through 36 show a complete SMS cycle for each phase. Next, Figures 2.7-6 through 2.7-8 on pages 37 through 39 represent the current Fiscal Year SMS calendar for each of the four phases of SMS activity. The SMS Core Activities, Schedule, and Lead Roles are shown in Table 2.7-1 on pages 40 and 41. The forms on pages 42 through 2-66 show generic monthly program-level activities and can be used as reference templates.

The remainder of this guide will describe the discrete SMS steps depicted on these charts and prescribe the related program-level roles, responsibilities, and detailed processes and tools for each. The current SMS activities and events are depicted in the table summaries in Chapter 4 (*EERE SMS Planning Stage*), Chapter 5 (*EERE SMS Budget Formulation Stage*), Chapter 6 (*EERE SMS Program Implementation Stage*), and Chapter 7 (*EERE SMS Analysis and Evaluation Stage*).

Note: Given the rapid pace of change, this Guide will be maintained as a "living document." The Guide contains current fiscal year dates and time frames related to actions over several program management cycles. To ensure that the guidance is as specific as possible, as the schedule of events for each upcoming fiscal year is solidified, the pertinent sections will be updated and distributed to all Guide holders.

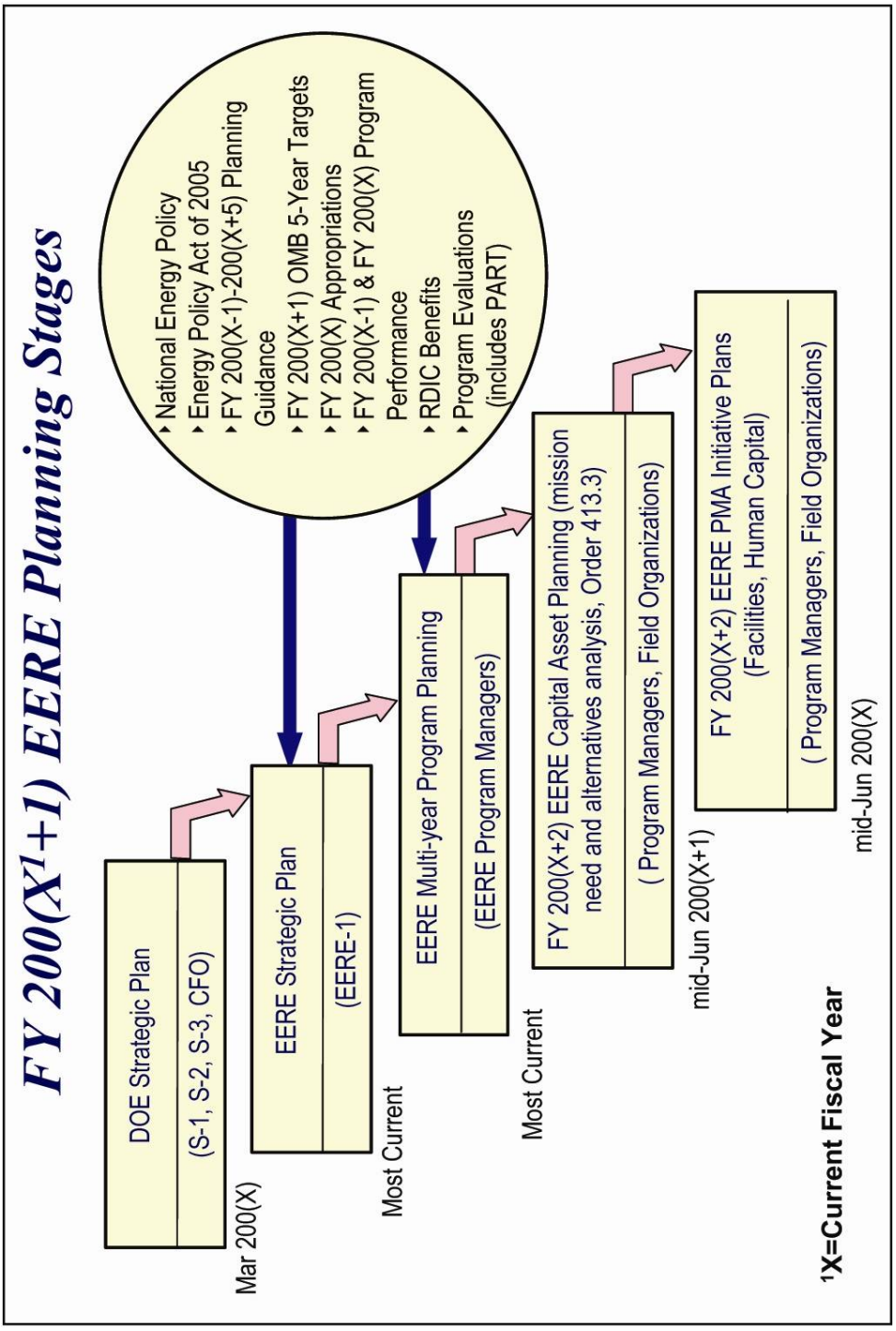

Figure 2.7-2 SMS Planning Stages

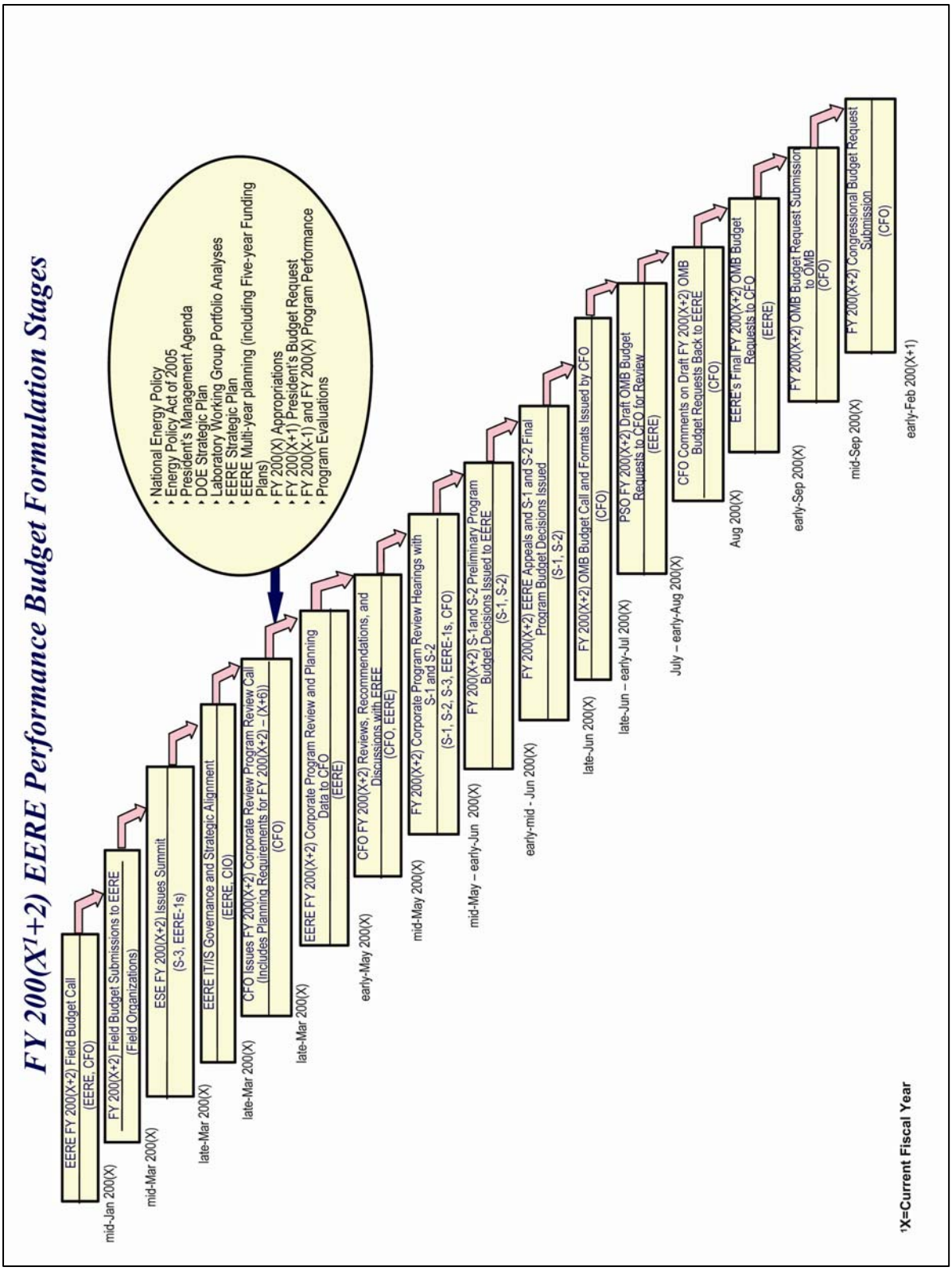

Figure 2.7-3 SMS Budget Formulation Stages

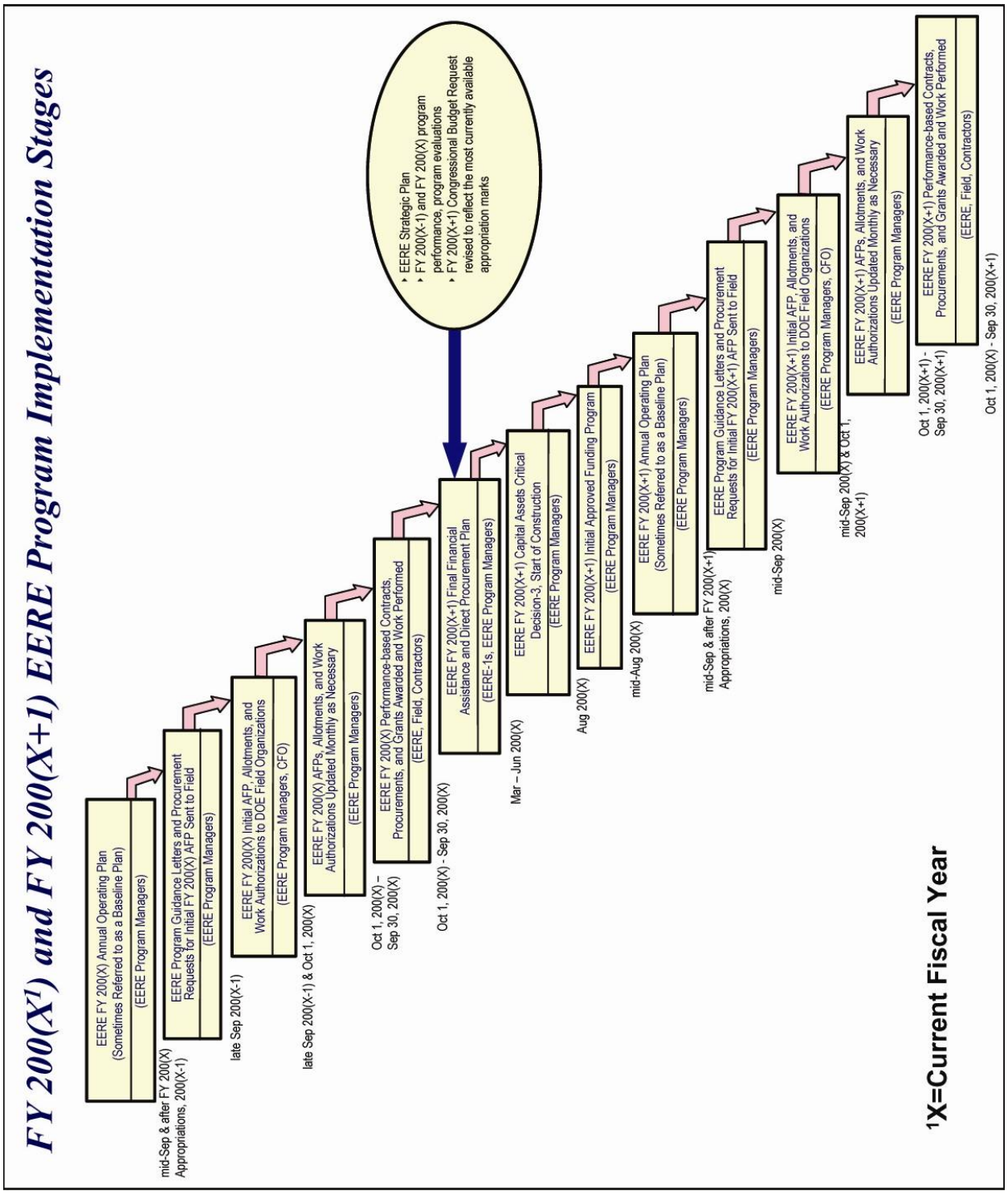

Figure 2.7-4 SMS Program Implementation Stages

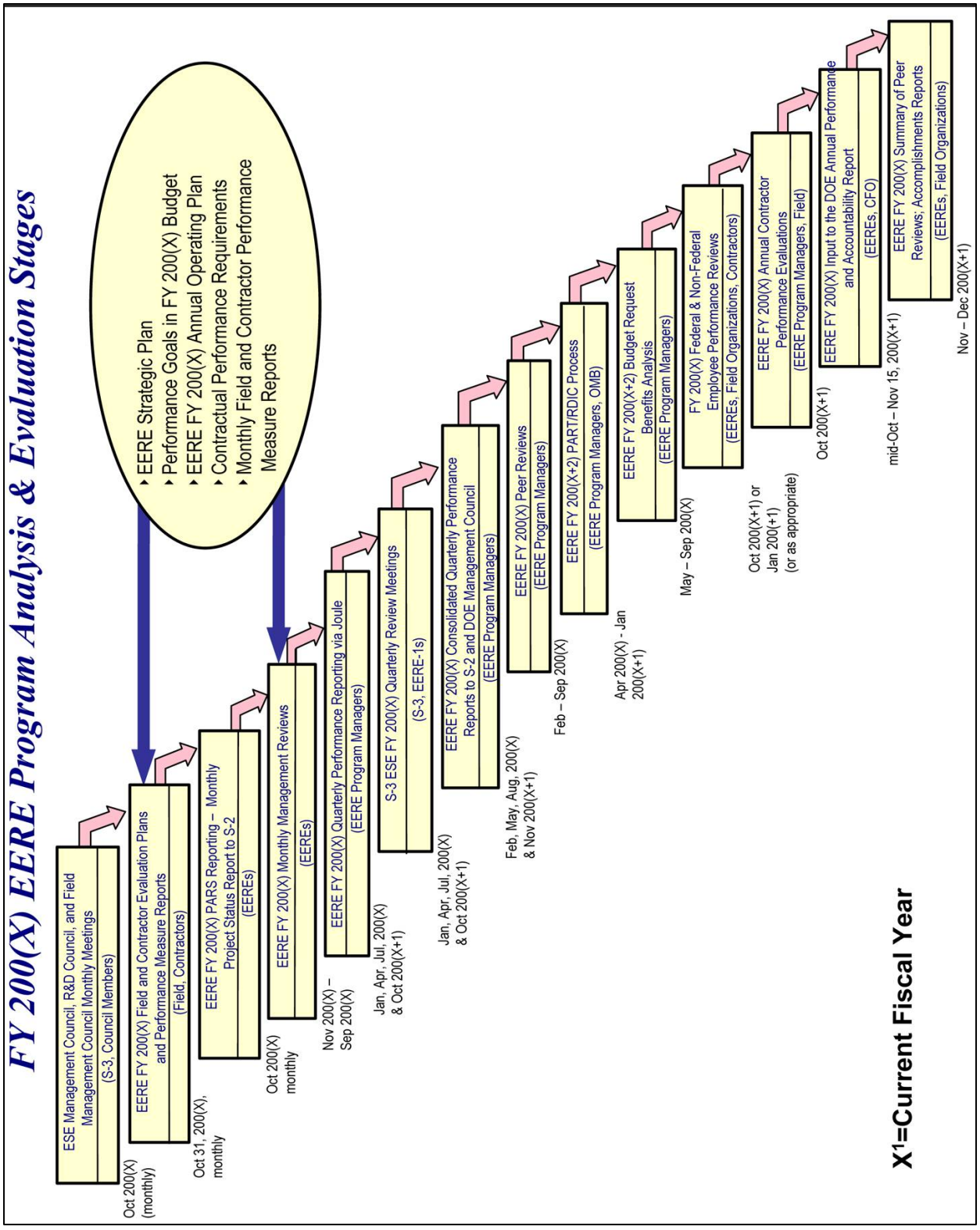

Figure 2.7-5 SMS Analysis and Evaluation Stages

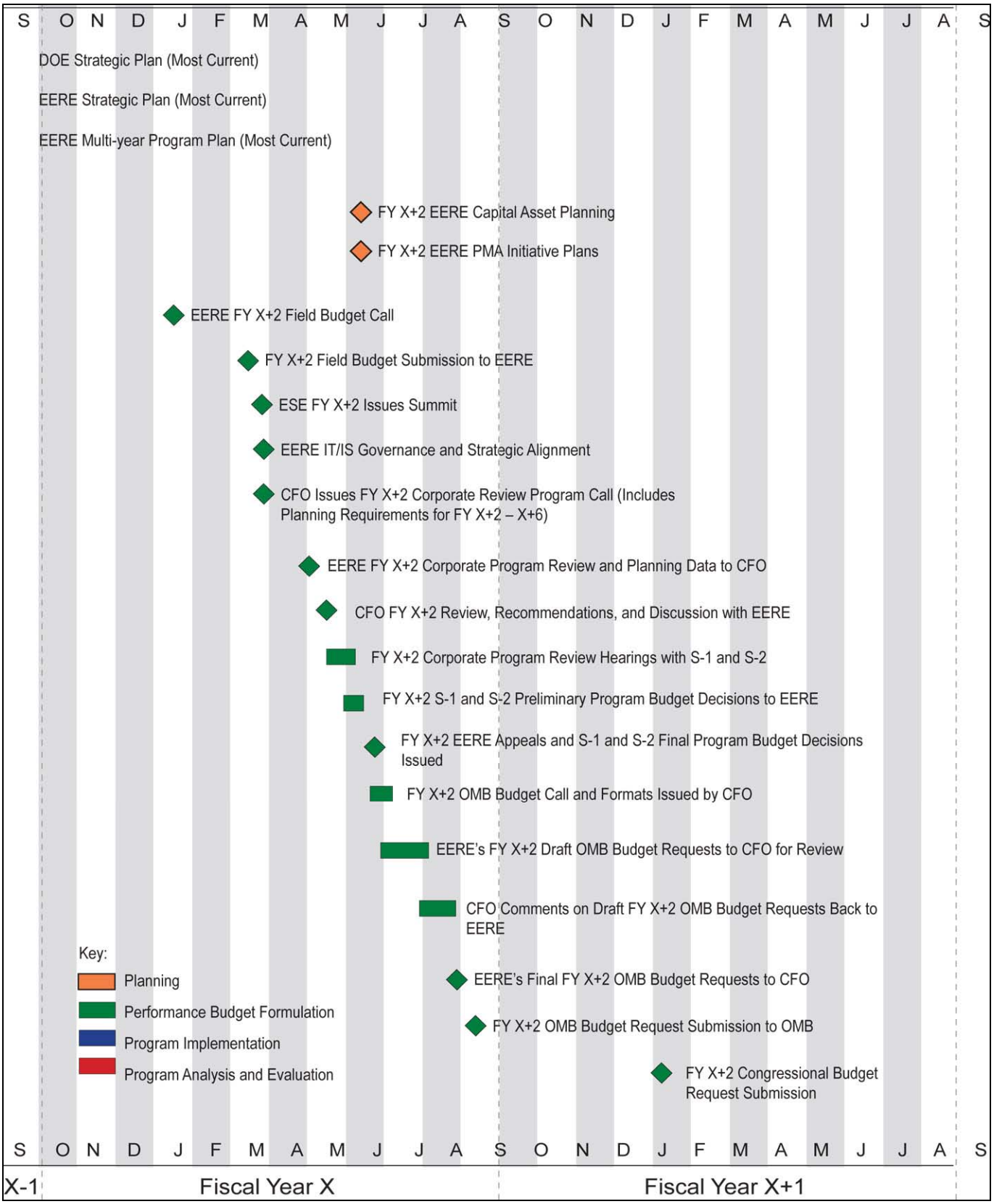

Figure 2.7-6 Planning and Performance Budget Formulation

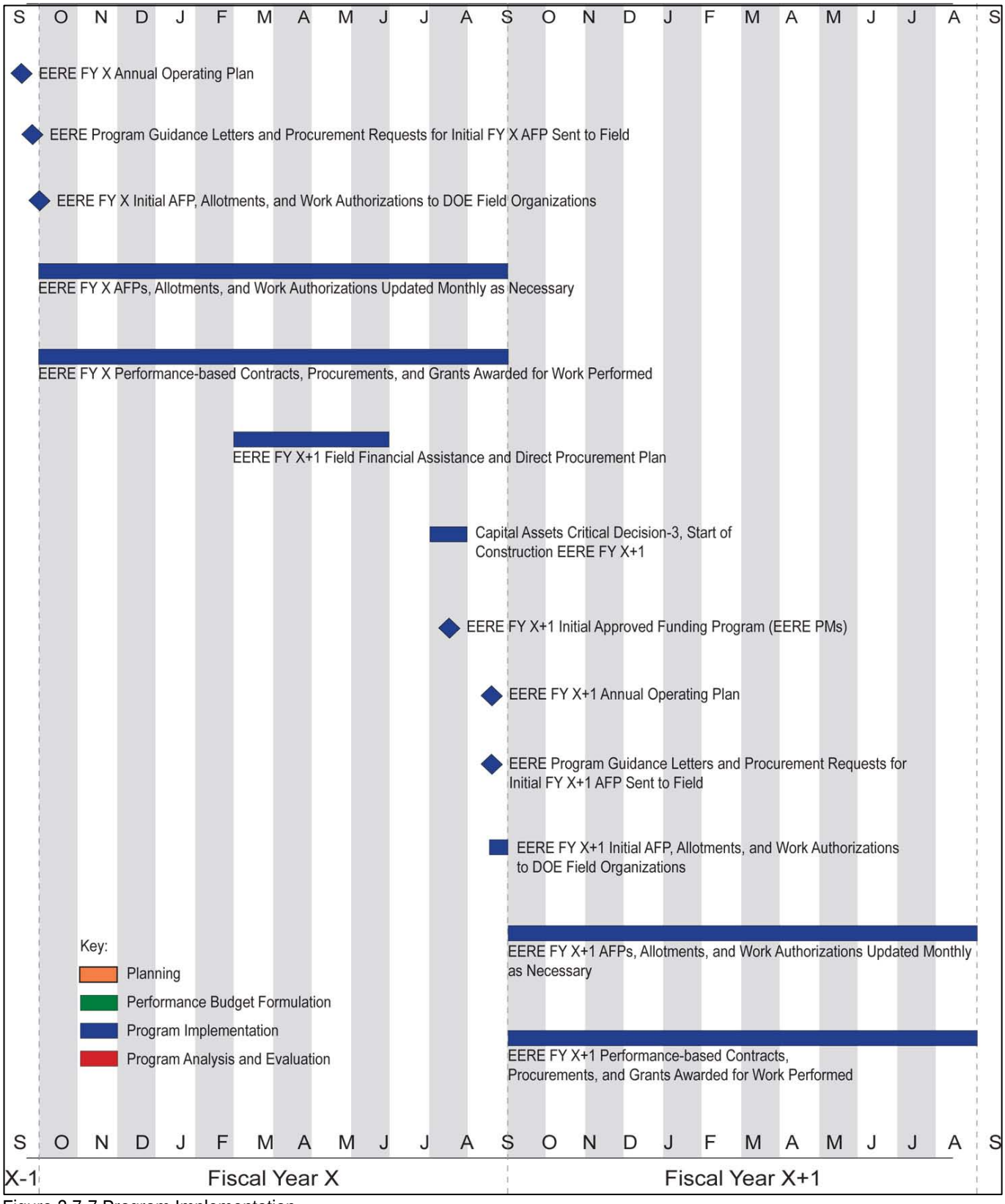

Figure 2.7-7 Program Implementation

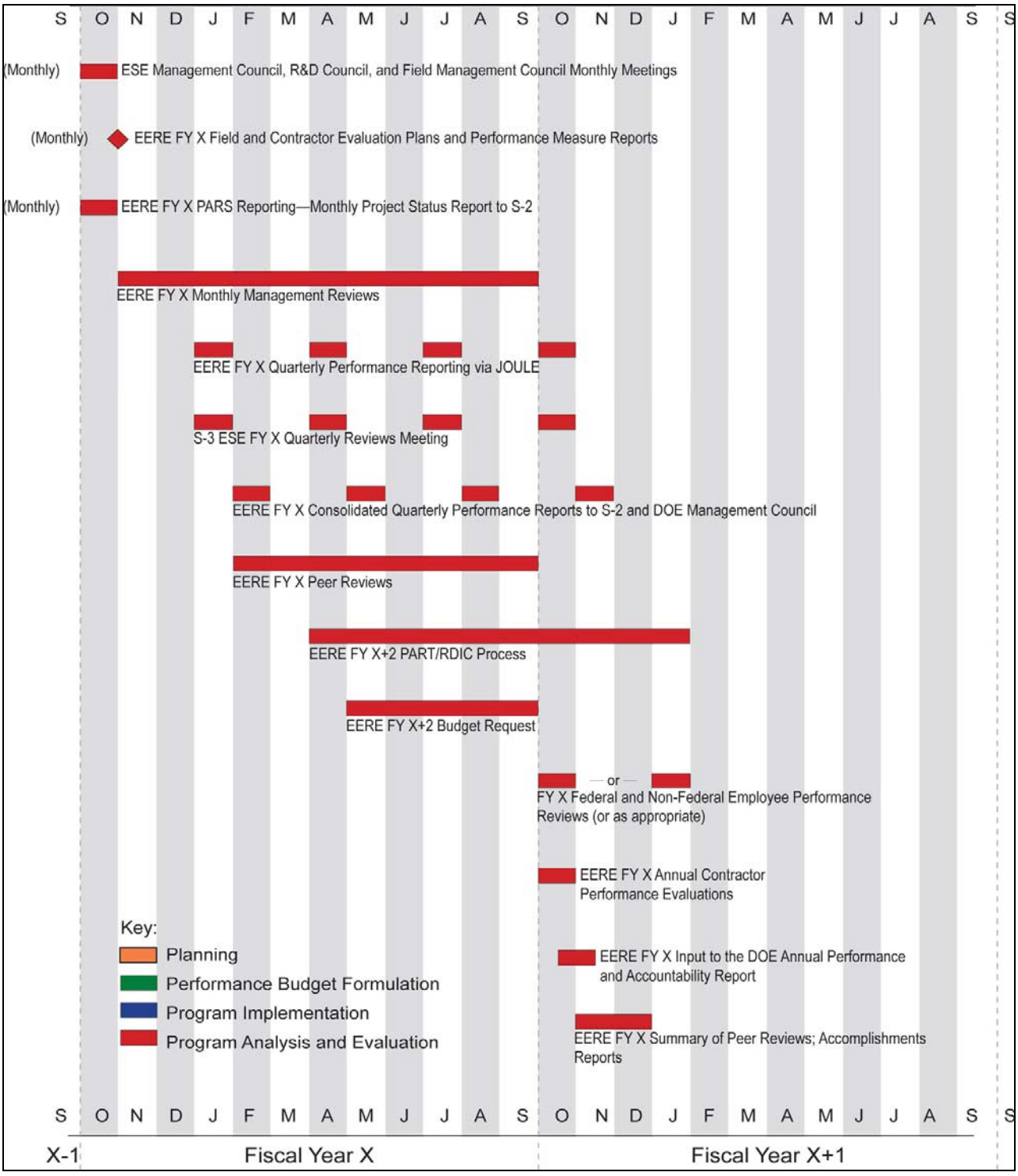

Figure 2.7-8 Analysis and Evaluation

Core Activities and Products	Target Date	Lead Role*
EERE FY 200X Annual Operating Plan (Sometimes Referred to as a Baseline Plan)	mid-Sept and after FY 200X Appropriations, 200(X-1)	PMs
EERE Program Guidance Letters and Procurement Requests for Initial FY 200X AFP Sent to Field	late Sept 200(X-1)	PMs
EERE FY 200X Initial AFP, Allotments, and Work Authorizations to DOE Field Organizations	late Sept 200(X-1) & Oct 1, 200X)	PMs, CFO
ESE Management Council, R&D Council, and Field Management Council Monthly Meetings	Oct 200X, monthly	S-3, Council Members
EERE FY 200X PARS Reporting—Monthly Project Status Report to S-2	Oct 200X, monthly	EERE
EERE FY 200X AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary	Oct 1, 200X – Sept 30, 200X	PMs
EERE FY 200X Performance-based Contracts, Procurements, and Grants Awarded and Work Performed	Oct 1, 200X – Sept 30, 200X	EERE, FO, Contractors
EERE FY 200X Field and Contractor Evaluation Plans and Performance Measure Reports	Oct 31, 200X, monthly	FO, Contractors
EERE FY 200X Monthly Management Reviews	Nov 200(X-1) – Sept 200X	EERE
EERE FY 200(X+2) Field Budget Call	Jan 17, 200X	CFO
EERE FY 200X Quarterly Performance Reporting via JOULE	Jan, Apr, Jul 200X, Oct 200(X+1)	PMs
S-3 ESE FY 200X Quarterly Review Meetings	Jan, Apr, Jul 200X, Oct 200(X+1)	S-3, ASEE
EERE FY 200X Consolidated Quarterly Performance Reports to S-2 and DOE Management Council	Feb, May, Aug 200X, Nov 200(X+1)	PMs
EERE FY 200X Peer Reviews	Feb – Sept 200X	PMs
FY 200(X+2) Field Budget Submission to EERE	Mar 18, 200X	FOs
DOE Strategic Plan	Mar 200X	S-1, S-2, S-3, CFO
EERE Strategic Plan	Most Current (2002)	ASEE
EERE FY 200(X+1) Procurement Plan	Mar – Jun 200X	ASEE, PMs
ESE FY 200(X+2) Issues Summit	late Mar 200X (proposed)	S-3, ASEE
EERE IT/IS Governance and Strategic Alignment	late Mar 200X	EERE, CIO
CFO Issues FY 200(X+2) Corporate Program Review Call (Includes Planning Requirements for FY 200(X+2)–2012)	Mar 28, 200X	CFO
EERE FY 200(X+2) PART/RDIC Process	Apr 200X – Jan 200(X+1)	PMs, OMB
FY 200(X+2) OMB Budget Call and Formats Issued by CFO	early May	CFO

* ASEE Assistant Secretary for EERE
CFO DOE Office of the Chief Financial Officer
CIO DOE Office of the Chief Information Officer
EERE Office of Energy Efficiency and Renewable Energy
FO EERE Field Organizations
PM EERE Program Manager
S-1 DOE Secretary
S-2 DOE Deputy Secretary
S-3 DOE Under Secretary for Energy, Science and Environment (ESE)

Table 2.7-1 SMS Core Activities, Schedule, and Lead Roles Through Oct 200(X^1+1)

Core Activities and Products	Target Date	Lead Role*
EERE FY 200(X+2) Corporate Program Review and Planning Data to CFO	May 12, 200X	EERE
CFO FY 200(X+2) Reviews, Recommendations, and Discussions with ASEE	May 13 – Jun 5, 200X	CFO, EERE
EERE FY 200(X+2) Budget Request Benefits Analysis	May – Sept 200X	PMs
FY 200(X+2) Corporate Review Budget Hearings with S-1 and S-2	Jun 6 – 21, 200X	S-1,2,3, CFO, ASEE
FY 200(X+2) EERE Capital Asset Planning (mission need approval)	mid-Jun 200X	PMs, FO
FY 200(X+2) EERE Capital Asset Planning (baseline validation)	late Jun 200X	PMs, FO
EERE FY 200(X+2) PMA Initiative Plans (Facilities, Human Capital)	Jun 15, 200X	PMs, FO
FY 200(X+2) S-1 and S-2 Preliminary Program Budget Decisions Issued to ASEE	Jun 26, 200X	S-1, S-2
FY 200(X+2) EERE Appeals and S-1 and S-2 Final Program Budget Decisions Issued	Jun 27 – Jul 5, 200X	S-1, S-2
EERE FY 200(X+1) Capital Assets Critical Decision-3, Completion of Construction Planning Prior to Construction	Aug 200X	PMs
EERE FY 200(X+2) Draft OMB Budget Requests to CFO for Review	Jul – Early Aug 200X	EERE
EERE FY 200(X+1) Initial Approved Funding Program	Aug 12, 200X	PMs
CFO Comments on Draft FY 200(X+2) OMB Budget Requests Back to ASEE	Aug 23 – 30, 200X	CFO
EERE Final FY 200(X+2) OMB Budget Request to CFO	Sept 7, 200X	EERE
FY 200(X+2) OMB Budget Request Submission to OMB	Sept 11, 200X	CFO
EERE FY 200(X+1) Annual Operating Plan (Sometimes Referred to as a Baseline Plan)	mid-Sept & after FY 200(X+1) Appropriations, 200X	PMs
EERE Program Guidance Letters and Procurement Requests for Initial FY 200(X+1) AFP Sent to Field	mid-Sept 200X	PMs
EERE FY 200(X+1) Initial AFP, Allotments, and Work Authorizations to DOE Field Organizations	mid-Sept 200X & Oct 1, 200(X+1)	PMs, CFO
EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary	Oct 1, 200(X+1) – Sept 30, 200(X+1)	PMs
EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded and Work Performed	Oct 1, 200(X+1) – Sept 30, 200(X+1)	EERE, FO, Contractors
FY 200X Federal and Non-Federal Employee Performance Reviews	Oct 200(X+1) or Jan 200(X+2)	EERE, FO, Contractors
EERE FY 200X Annual Contractor Performance Evaluations	Oct 200(X+1)	PMs, FO
EERE FY 200X Input to the DOE Annual Performance and Accountability Report	mid-Oct 200(X+1) – Nov 15, 200(X+1)	EERE, CFO
EERE FY 200X Summary of Peer Reviews; Accomplishments Reports	Nov – Dec 200X	EERE, FO
FY 200(X+2) Congressional Budget Request Submission	early EERE 200(X+1)	CFO
EERE FY 200(X+2) Multi-Year Program Plans (Includes 5-Year Funding Plan)	Mar 1, 200(X+1)	PMs

* ASEE Assistant Secretary for EERE
CFO DOE Office of the Chief Financial Officer
CIO DOE Office of the Chief Information Officer
EERE Office of Energy Efficiency and Renewable Energy
FO EERE Field Organizations
PM EERE Program Manager
S-1 DOE Secretary
S-2 DOE Deputy Secretary
S-3 DOE Under Secretary for Energy, Science and Environment (ESE)

Table 2.7-1 SMS Core Activities, Schedule, and Lead Roles Through Oct 200(X^1+1) (continued)

PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

SEPTEMBER FY 200(X-1)

Program Implementation

- **EERE FY X Annual Operating Plan.**
- **EERE Program Guidance Letters and Procurement Requests for Initial FY 200(X) AFP Sent to Field**.
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

OCTOBER FY 200(X)

Program Implementation

- **EERE FY 200(X) Initial AFP, Allotments, and Work Authorizations to DOE Field Organizations.**
- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**.
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X)).**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) Project Assessment and Reporting System (PARS) Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

NOVEMBER FY 200(X)

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **Other activities:**

PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

DECEMBER FY 200(X)

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

JANUARY FY 200(X)

Budget Formulation

- **EERE FY 200(X+2) Field Budget Call**

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE FY 200(X) Quarterly Performance Reporting via JOULE (FY 200(X) Jan, Apr, Jul, & Oct FY 200(X+1))**
- **S-3 ESE FY 200(X) Quarterly Reviews Meeting (FY 200(X) Jan, Apr, Jul, & Oct FY 200(X+1))**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

FEBRUARY FY 200(X)

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE ESE FY 200(X) Consolidated Quarterly Performance Reports to S-2 and DOE Management Council (FY 200(X) Feb, May, Aug & Nov FY 200(X+1))**
- **EERE FY 200(X) Peer Reviews (Feb – Sept FY 200(X))**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

MARCH FY 200(X)

Planning

- **DOE Strategic Plan**

Budget Formulation

- **FY 200(X+2) Field Budget Submission to EERE**
- **ESE FY 200(X+2) Issues Summit**
- **EERE IT/IS Governance and Strategic Alignment**
- **CFO Issues FY 200(X + 2) Corporate Review Program Call (Includes Planning Requirements for FY 200(X+2 – X+6))**

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X + 1) Field Financial Assistance and Direct Procurement Plan (Mar – Jun FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE FY 200(X) Peer Reviews (Feb – Sept FY200(X))**

Other activities:

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

APRIL FY 200(X)

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X+1) Field Financial Assistance and Direct Procurement Plan (Mar – Jun FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE FY 200(X) Quarterly Performance Reporting via JOULE (FY 200(X) Jan, Apr, Jul, & Oct FY 200(X+1))**
- **S-3 ESE FY 200(X) Quarterly Reviews Meeting (FY 200(X) Jan, Apr, Jul, & Oct FY 200(X+1))**
- **EERE FY 200(X) Peer Reviews (Feb – Sept FY 200(X))**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

MAY FY 200(X)

Budget Formulation

- **EERE FY 200(X+2) Corporate Program Review and Planning Data to CFO**
- **CFO FY 200(X+2) Review, Recommendations, and Discussion with PSOs (mid May early Jun FY 200(X))**

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X+1) Field Financial Assistance and Direct Procurement Plan (Mar – Jun FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE ESE FY 200(X) Consolidated Quarterly Performance Reports to S-2 and DOE Management Council (FY 200(X) Feb, May, Aug & Nov FY 200(X+1))**
- **EERE FY 200(X) Peer Reviews (Feb – Sept FY 200(X))**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **EERE FY 200(X+2) Budget Request (May – Sept (FY 200(X)))**

Other activities:

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

JUNE FY 200(X)

Planning

- **FY 200(X+2) EERE Capital Asset Planning**
- **FY 200(X+2) EERE PMA Initiative Plans**

Budget Formulation

- **CFO FY 200(X+2) Review, Recommendations, and Discussion with PSOs (mid May – early Jun FY 200(X))**
- **FY 200(X+2) Corporate Program Review Hearings with S-1 and S-2**
- **FY 200(X+2) S-1 and S-2 Preliminary Program Budget Decisions to PSOs**
- **FY 200(X+2) EERE Appeals and S-1 and S-2 Final Program Budget Decisions Issued (Jun – Jul FY 200(X))**

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X+1) Field Financial Assistance and Direct Procurement Plan (Mar – Jun FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE FY 200(X) Peer Reviews (Feb – Sept FY 200(X))**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **EERE FY 200(X+2) Budget Request (May – Sept (FY 200(X))**

Other activities:

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

JULY FY 200(X)

Budget Formulation

- **FY 200(X+2) EERE Appeals and S-1 and S-2 Final Program Budget Decisions Issued (Jun – Jul FY 200(X))**
- **EERE's FY 200(X+2) Draft OMB Budget Requests to CFO for Review (Jul – Aug (FY 200(X))**
- **FY 200(X+2) OMB Budget Call and Formats Issued by CFO**

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE FY 200(X) Quarterly Performance Reporting via JOULE (FY 200(X) Jan, Apr, Jul, & Oct FY 200(X+1))**
- **S-3 ESE FY 200(X) Quarterly Reviews Meeting (FY 200(X) Jan, Apr, Jul, & Oct FY 200(X+1))**
- **EERE FY 200(X) Peer Reviews (Feb – Sept FY 200(X))**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **EERE FY 200(X+2) Budget Request (May – Sept (FY 200(X))**

PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

AUGUST FY 200(X)

Budget Formulation

- **EERE's FY 200(X+2) Draft OMB Budget Requests to CFO for Review (Jul – Aug (FY 200(X))**
- **CFO Comments on Draft FY 200(X+2) OMB Budget Requests Back to PSOs**

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **Capital Assets Critical Decision-3, Start of Construction EERE FY 200(X+1)**
- **EERE FY 200(X+1) Initial Approved Funding Program (EERE PMs)**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE ESE FY 200(X) Consolidated Quarterly Performance Reports to S-2 and DOE Management Council (FY 200(X) Feb, May, Aug & Nov FY 200(X+1))**
- **EERE FY 200(X) Peer Reviews (Feb – Sept FY 200(X))**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **EERE FY 200(X+2) Budget Request (May – Sept (FY 200(X)))**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

SEPTEMBER FY 200(X)

Budget Formulation

- **EERE's Final FY 200(X+2) OMB Budget Requests to CFO**
- **FY 200(X+2) OMB Budget Request Submission to OMB**

Program Implementation

- **EERE FY 200(X) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct 1, FY 200(X) – Sept 30, FY 200(X))**
- **EERE FY 200(X+1) Annual Operating Plan**
- **EERE Program Guidance Letters and Procurement Requests for Initial FY 200(X+1) AFP Sent to Field**
- **EERE FY 200(X+1) Initial AFP, Allotments, and Work Authorizations to DOE Field Organizations**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY X Monthly Management Reviews Nov FY 200(X) – Sept FY 200(X)**
- **EERE FY 200(X) Peer Reviews (Feb – Sept FY200(X))**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **EERE FY 200(X+2) Budget Request (May – Sept (FY 200(X)))**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

OCTOBER FY 200(X)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY 200(X) Quarterly Performance Reporting via JOULE (FY 200(X) Jan, Apr, Jul, & Oct FY 200(X+1))**
- **S-3 ESE FY 200(X) Quarterly Reviews Meeting (FY 200(X) Jan, Apr, Jul, & Oct FY 200(X+1))**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **FY 200(X) Federal and Non-Federal Employee Performance Reviews (Oct or Jan FY 200(X+1) as Appropriate)**
- **EERE FY 200(X) Annual Contractor Performance Evaluations**
- **EERE FY 200(X) Input to the DOE Annual Performance and Accountability Report (Mid-Oct – Mid-Nov FY 200(X+1))**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

NOVEMBER FY 200(X)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE ESE FY 200(X) Consolidated Quarterly Performance Reports to S-2 and DOE Management Council (FY 200(X) Feb, May, Aug & Nov FY 200(X+1))**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **EERE FY 200(X) Input to the DOE Annual Performance and Accountability Report (Mid-Oct – Mid-Nov FY 200(X+1))**
- **EERE FY 200(X) Summary of Peer Reviews; Accomplishments Reports (Nov – Dec FY 200(X+1))**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

DECEMBER FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **EERE FY 200(X) Summary of Peer Reviews; Accomplishments Reports (Nov – Dec FY 200(X+1))**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

JANUARY FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **EERE FY 200(X + 2) PART / RDIC Process (Apr 200(X) – Jan FY 200(X+1))**
- **FY 200(X) Federal and Non-Federal Employee Performance Reviews (Oct or Jan FY 200(X+1) as Appropriate)**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

FEBRUARY FY 200(X+1)

Performance Budget Formulation

- **FY 200(X+2) Congressional Budget Request Submission**

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

MARCH FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **Other activities:**

PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

APRIL FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **Other activities:**

PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

MAY FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **Other activities:**

PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

JUNE FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **Other activities:**

PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

JULY FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **Other activities:**

PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

AUGUST FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

- **ESE Management Council, R&D Council, and Field Management Council Monthly Meetings (Monthly)**
- **EERE FY 200(X) Field and Contractor Evaluation Plans and Performance Measure Reports (Monthly)**
- **EERE FY 200(X) PARS Reporting—Monthly Project Status Report to S-2 (Monthly)**
- **Other activities:**

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PROGRAM ACTIVITIES BY MONTH FOR FISCAL YEAR 200X
(SEPT 200(X-1) THROUGH SEPT 200(X+1))

SEPTEMBER FY 200(X+1)

Program Implementation

- **EERE FY 200(X+1) AFPs, Allotments, and Work Authorizations Updated Monthly as Necessary (Oct – Sept FY 200(X+1))**
- **EERE FY 200(X+1) Performance-based Contracts, Procurements, and Grants Awarded for Work Performed (Oct – Sept FY 200(X+1))**

Analysis and Evaluation

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- **Other activities:**

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Reference

The Office of the Under Secretary of Energy. (2005). *Energy, Science, and Environment Strategic Management System for the FY 2008 Planning Through FY 2006 Implementation Stages; October 14, 2005, SMS Memo*. United States Federal Government, USA. Retrieved from: http://eere-intranet.doe.gov/BA/IBMS/pdfs/SMS_garman20051014.pdf