



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

# Project Management Matters

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Materials Portfolio Review Meeting

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# Outline of the Presentation

- **Introduction**
- **Technical Matters – Monitoring the Progress**
  - Quarterly Progress Report
  - Project Schedule – Tasks and Milestones
  - Project Review Meetings, Site Visits
  - Annual Portfolio Review Meeting
- **Financial Matters – Monitoring the Status**
  - Funding from DOE – Timing and Amount
  - Payment by DOE, Uncosted Amount
  - Reporting – SF269, Budget and Cost Share Tables
- **Upcoming Solicitations**



# Introduction

- **Purpose of this Presentation:**
  - Discuss matters of common interest to all of the projects
  - Relate the same message to all the attendees
- **EERE Project Management Center**
  - Works closely with Program Management at Headquarters
  - Website, Offices – Golden Field Office (GFO), NETL, six ROs
  - Consistent Policies and Procedures ( ITP / EERE)
  - Centralized Report Submission, Retrieval
  - Centralized Data Base
  - Efficient Transactions
  - Federal Employees and On-site Support Contractor Staff
  - GFO manages most of ITP including Materials Subprogram



# Project Management Activities

- **Coordinated between HQ and GFO**
  - HQ – Planning, Policies, Program Direction, Budget
  - GFO – Implementation, Monitoring, Compliance, Reports
  - GFO - Acquisition and Financial Assistance; Project Management
- **Project Cycle**
  - Requirement Identification – Program Goal, Portfolio Analysis
  - Solicitation Documents Preparation and Announcement
  - Evaluation of Proposals by Independent Reviewers
  - Selection
  - Award Negotiation and Project Initiation
    - Monitoring - Technical Progress and Financial Status
  - Close Out – Final Technical Report, Other Documents
- **Focus of this Presentation** – Monitoring, Solicitation, Selection



# Quarterly Progress Report

- Primary means of reporting/monitoring/documenting
- Electronic submission to PMC site within 30 days after the end of the quarter, alternative - email
- Elmer Fleischmann at INEEL compiles a bound volume, limited distribution at HQ, Golden
- No proprietary information
- Guideline provided with the award document
- Ten to 30 pages, depending on project scope
- Feedback
  - Good – Accomplishment, inclusion in EERE/ITP weekly
  - Not so good – suggested changes for future



- Project Objective / Goal
- Accomplishment through performance of tasks
- **Number and scope of tasks** – project specific
- **Project schedule** – planned completion date (original, revised), actual completion date, % complete
- **Milestones** – broad measures of progress towards the goal, included in DOE databases, reviewed by upper management, decision points for funding continuation
- **Milestone schedule** – generally 3-4 milestones per project (basic requirements, hypothesis evaluation/alternative, conclusion), each at about 12 months interval, from project start to end dates



- **Project Review Meetings - Real**
  - One or two per year, depending upon project scope
  - Participation of most project partners
  - Review of Progress made since last meeting
  - Discussion of problems, resolution approaches, future plans
- **DOE Site Visits**
  - See actual work, test set up, samples, results
  - Meet with project partners, cost share partners, workers
  - Coincide with Project Review Meetings, milestones, decision points
  - Rotate location, as appropriate
- **Project Review Meetings – Virtual (Telecon, Webcon)**
  - Monthly to quarterly
  - DOE may join, depending on schedule, agenda



- Materials subprogram is an enabling, cross-cutting technology under Industrial Technology Program
- Portfolio of projects cover four focus areas:
  - Degradation Resistant Materials
  - Materials for Energy Systems
  - Materials for Separations
  - Thermophysical databases and Modeling
- Annual Portfolio Review Meeting
  - Panel of independent experts perform the review.
  - Does portfolio need to be rebalanced?
  - Are individual projects reaching the target milestones on schedule?
  - Is the portfolio meeting the program goals?
  - Interaction among participants, with DOE staff



# Annual Funding Cycle

- Jan – Mar : DOE HQ Program staff plan budget for following fiscal year
- Apr - Jun : DOE works with OMB to finalize the Budget to be requested by President
- Jul - Sep : House and Senate Committees discuss and mark up the budget, Congress passes the budget, President signs the budget, OMB sends approved budget to DOE
- Oct – Dec : DOE HQ sends guidance letters and funds to GFO, Project Managers prepare requests (specify amount of funds to be obligated) for various projects, Finance group certifies availability of funds, Contracting Officer signs the award (NFAA form) and sends to the recipient for counter signature, funds become available for invoice payments, drawdowns.



# Continuing Resolution Mode

- When the budget does not get signed by September 30, operations continue under Continuing Resolution mode
- In October, and every month thereafter, until the budget is signed and funds become available, DOE HQ gets 1/12<sup>th</sup> of the President's Requested Budget
- HQ sends Guidance letters and funds to GFO
- Normal process is used to send the funds to the projects, except that amounts are much smaller, not necessarily 1/12<sup>th</sup> of the planned budget (Projects with low un-costed balance get priority). After the budget is signed, the balance of the funds flow through the normal process.



# Invoice Submissions/Payments

- Recipients can continue to do the work and get paid for it, so long as they have a balance of obligated funds
- There are two Payment systems. In ACH system, the recipient submits an invoice and supporting documents. The Project Manager approves it for payment. The ASAP system is faster because the recipient draws down funds, without submitting a real invoice.
- Payment is generally for reimbursement of the incurred cost, but there is provision for some advance withdrawals
- Once an invoice has been paid or funds withdrawn, the DOE Data Bases, are updated with new budget numbers for the project – cumulative payment, unspent obligations.



# Implications of “Uncosted”

- The current unspent obligation is called “Uncosted”
- For a program or portfolio, a large “Uncosted” may be grounds for OMB/DOE to request smaller budget – work is not being done, there is still money left to get the work done
- For a project, it may be grounds for decreased funding obligations in the current FY
- Timely invoicing or draw down is very important.
- Plan the work and spending so that you are left with only about 20 – 25% of your annual budget, at the end of September, each year.



# Financial Reporting

- Quarterly Financial Status Report Form SF-269 (1 page) to be electronically submitted to PMC site, within 30 days
- The funds for National Laboratories (paid directly by DOE HQ) are not included on this form
- Includes DOE and Recipient (Cost Share) funds spent during the Quarter and Cumulative to Date, as well as Total Approved Budget
- Should be consistent with the invoices and payments (ASAP requires no details or approval, ACH does)
- Details of spending are provided in the Budget and Cost Share Tables included in the Quarterly Technical Progress Report. Forecast Tables have been included to facilitate planning
- All relevant supporting documents should be kept by the Recipient, for possible audit by a government agency in future.



# Upcoming Solicitations

- ITP/Materials is planning two simultaneous, separate solicitations
- GO95011 - Materials for Energy Efficient Processing (Open Call)
- GO950224 – Materials for Energy Efficient Processing (Lab Call)
- Both will cover “Degradation Resistant Materials”, “Materials for Energy Systems”, and “Materials for Separations” focus areas. Lab Call will also include “Thermophysical Databases and Modeling”
- Multiple partner teams and Industrial Participation will be required
- In the Open Call, national laboratory participation will be limited to under 50% and they cannot be lead
- Cost Share of 30/20 % (respectively) for R&D and 50% for demonstration phase will be required. “High risk – high reward” concepts are anticipated from the Lab Call.



# Upcoming Solicitations (continued)

- Solicitations should be posted on IIPS site by **6/26/05**
- Planned Proposals due date is **10/17/05**
- Evaluation by independent panel of reviewers by **12/05**
- Selections would be announced in **February 2006**.
- Negotiations to be held and awards to be made between **March and September, 2006**
- Plan to make **2 – 5 awards under each call**; Total DOE Budget about **\$8 million under each call**
- Project Periods: **2 – 4 years**, with 2-3 budget periods; **go/no-go** decision points.