



Department of Energy
Office of Science
Washington, DC 20585

August 7, 2012

MEMORANDUM FOR DISTRIBUTION

FROM: JOSEPH MCBREARTY *Joseph MCBrearty* 8-7-12
DEPUTY DIRECTOR FOR FIELD OPERATIONS
OFFICE OF SCIENCE

SUBJECT: Guidance for Annual Performance Plans and Assessment Reports

The Deputy Director for Field Operations (DDFO) Annual Performance Plan process is an essential element of the Office of Science (SC) approach for performance and accountability in all aspects of our field operations. These plans and reports are also key components in the implementation of the SC Integrated Safety Management System.

The objectives of the Annual Performance Plan process are to establish clear performance goals and objectives for SC-3 that will move us toward achieving the DDFO vision, translate the SC-3 goals and objectives into site-level measures, and flow site-level measures into individual employee performance plans. This process also provides a tool to communicate priorities within SC-3 and externally, and it creates a basis for strengthening and evaluating performance, conducting self-assessments, and achieving continuous improvement.

There are two significant changes in this year's process. First, you should combine your fiscal year (FY) 2012 Annual Assessment Report and FY 2013 Annual Performance Plan into one document using the attached template. Second, in order to alleviate the inevitable increase in workload due to fiscal year-end activities, we will be moving these documents off of the fiscal cycle. Accordingly, this year's Annual Performance Plan should cover performance through March of 2014 (i.e., an 18-month period). Future plans will return to a 12-month period.

Please provide your draft report electronically by September 7th. I will provide feedback on the draft plans within 2 weeks, and the plans should be finalized by October 1st.



Template

Annual Performance Plan October 1, 2012 – March 31, 2014

I. Manager's Perspective

Provide an overview of last year's performance, a brief description of the approach taken to establish the FY 2013/14 plan, and major opportunities and challenges going forward.

II. Performance Assessment

Discuss performance against the FY 2012 Annual Performance Plan, including noteworthy accomplishments or results, challenges, and/or major concerns as well as actions taken to mitigate vulnerabilities or improve performance. Include your Field Office Annual ISM declarations as an attachment. The Field Office Annual ISM Declaration includes the evaluation of the Field Office and the status of your contractor's (if applicable) ISM Program. (i.e., date of last contractor declaration, date and method of DOE verification, FY 2011 schedule for contractor declaration and DOE verification)

III. FY 2013/14 Objectives and Measures

Identify specific measures associated with each of the attached goals. While every organization may not have a measure for each objective, the majority of your measures should flow directly from these objectives. If you have additional organization-specific goals and objectives, include those here as well.

IV. Oversight Plan

In this section, provide an oversight/assurance description summary and cover all areas of SC-3 responsibility. For all organizational elements, include a one-page description of the processes and activities used to assess yourself and ensure that you are meeting the expectations for your organization. This would include formal assessments that would be reflected in the Integrated Assessment Schedule (IAS). For the ISC and Headquarters elements, this would include a one page description of how the office is ensuring that oversight support needs are being met. Include descriptions of your oversight data collection and feedback mechanisms, as well as a summary of the status of Contractor Assurance System implementation at your site. For organizational elements involved in contractor oversight, include a no more than one-page description of your contractor oversight plan. The plan should cover and integrate all of your contractor oversight activities with your Contractor's Assurance System activities. Specifically, the plan should include the following elements: day-to-day operational awareness activities, issues management, IAS activities and the development and evaluation of the Performance Evaluation and Measurement Plan.

OFFICE OF SCIENCE, DEPUTY DIRECTOR FOR FIELD OPERATIONS

GOALS AND OBJECTIVES

JULY 2012

The Office of Science will provide a best-in-class platform for science at our laboratories – establishing a level of excellence in SC field operations that is equal to our excellence in science.

Goal 1: Develop our people, allowing us to achieve success as a team; train the next generation of field operations leaders.

Excellence in field operations can only be achieved with the highest caliber workforce. We must ensure our current workforce is challenged and rewarded, and that new additions to the SC field operations team are of the highest quality. We will work collaboratively with SC-2 and SC-4 in both areas.

Specific SC-3 Objectives

- Establish/reinvigorate employee recognition programs, at both the local and SC-wide levels, that incentivize and reward employees.
- Clearly communicate expectations, including the types of behaviors that we want. Follow that with training (Rules of Thumb), development, and leadership to onboard staff. Improve our use of performance-based evaluations to drive accountability.
- Improve communication across SC-3 so our workforce has situational awareness, and understands intent and expectations from senior leadership.
- Formalize and implement a mentoring program within SC-3.
- Recruit, develop, and retain new staff to meet mission needs and increase core competencies.
- Provide detail opportunities to staff so that they gain perspective from other SC organizations, as well as other DOE offices.
- Provide functional subject matter experts (e.g., contracting officers, federal project directors, safety managers) with low-cost ways to meet, collaborate, and share ideas.
- Conduct meaningful succession planning, leveraging hiring, training, and developmental opportunities.

Goal 2: Develop and implement policies and programs that enable science.

Development and implementation of policies that enable science at our laboratories is critical to achieving our mission. We do this in collaboration with the other DOE line programs, as well as in conjunction with functional offices like the Office of Management; Health, Safety and Security; and the Office of the Chief Information Officer.

Specific SC-3 Objectives

- Partner across the Department to drive development of innovative policies and practices, and implement mutually beneficial and fair solutions.

- Partner with DOE functional organizations to ensure their policies and practices support the science mission, ensuring there is a proper balance between mission and meeting requirements.
- Develop a communication tool for ensuring that SC's field operations are well-understood by the upcoming transition team.
- Continue to leverage horizontal integration opportunities like the Field Management Council, the Chief Operating Officers Board, and the Working Capital Fund Board, to effect DOE-wide improvements that benefit Science.
- Improve communication throughout the DDFO organization to ensure that policies and practices are well-understood (including intent) and implemented consistently and effectively across our organization.
- Drive improvements in laboratory safety and sustainability.
- Implement an SLI program that is based on current Science priorities, and evaluate alternative financing methods for facility needs.
- Improve the way we work with small businesses.

Goal 3: Streamline our processes to eliminate inefficiencies and reduce costs.

Providing a best-in-class platform for science requires us to continually streamline our processes, eliminate inefficiencies and reduce costs. Our approach should be two-fold, looking at our own systems and processes to find efficiencies and also working with the laboratories to support their efforts to reduce the cost of doing business. Over the next year, work should focus on reducing low/no-value transactions at the site and Headquarters levels, ensuring a risk-based approach is taken in or requirements management processes, and continuing to be careful stewards of taxpayer dollars in conducting our business every day.

Specific SC-3 Objectives:

- Clearly communicate expectations and incentivize staff to take innovative approaches to conducting the science mission, and look for ways to creatively solve problems.
- Aggressively seek opportunities for reducing transactions, eliminating low-value work, and automating work where possible to gain efficiencies and increase productivity.
- Build on recent internal business process improvements (e.g., financial assistance processes) and heavily engage in Department-wide business process efforts to drive improvements (e.g., STRIPES, funds distribution).
- Improve the way we integrate our work across the SC-3 organizations (e.g., capitalizing on ISC resources), and increase collaboration throughout SC.
- Efficiently use program direction funding by reducing spending on travel, federally-sponsored conferences, office equipment, etc.
- Reduce response times – e.g., quicker response times for intellectual property reviews, improved processing of grants, faster responses to laboratory requests.
- Support implementation of the best practices identified by the Operations Improvement Committee to be executed across the laboratories.
- Ensure SCMS reflects the most up-to-date and efficient methods of conducting business and meeting mission goals.

- Critically review directives, Acquisition Letters, and other requirements documents to ensure controls are commensurate with risk, and will be cost effective. Support implementation of the Enterprise Risk Model framework.
- Develop tools to measure and improve our level of customer support (individually and collectively).
- Provide improved technologies to increase efficiency and productivity.

Goal 4: Fully implement Contractor Assurance Systems (CAS) as the cornerstone of field operations oversight and performance.

SC's field operations must simultaneously drive outstanding mission performance while holding the contractor accountable. Science will continue to use Contractor Assurance Systems as the cornerstone of our oversight and performance model for ensuring best-in-class laboratory operations. An initial round of CAS peer reviews has been completed, and both contractor and federal staff should now focus on the behavior changes necessary to fully implement CAS. Site Managers and laboratory Chief Operating Officers need to ensure that staff all the way to the "deck plate" understand CAS and execute their work in accordance with the goals of effective contractor assurance. For contractors, these behaviors will focus on engaging the workforce in driving improvements, self identifying and correcting issues, and demonstrating effective performance. For federal staff, behaviors should include finding ways to modify oversight to take full advantage of CAS results.

Specific SC-3 objectives:

- Critically and objectively analyze results of the initial round of CAS peer reviews to determine the state of implementation across SC, share lessons learned among the sites, and identify risks to successful implementation going forward.
- Conduct an in-depth analysis of 2 of the 4 primary assurance processes (i.e., self-assessment, performance measurement, issues management, feedback and improvement) to benchmark, share lessons learned, and drive behavior changes necessary to optimize that element of CAS.
- Develop tools to share CAS results at appropriate levels of detail throughout SC.
- Clearly communicate and reinforce expectations for using CAS as the cornerstone of our oversight processes - from leadership to staff and across functional lines.
- Work within individual site offices to ensure CAS is maturing in all areas of operations, including business systems.
- Spend time in the field, observing work and verifying CAS results via "boots on the ground".