

memorandum

DATE:

REPLY TO

ATTN OF: EM-54 (Geiser:3-7640)

SUBJECT:

Guidance to Operations Offices and Focus Areas on Implementing the New Approach for Collecting Deployment Information

TO:

Distribution

The purpose of this memorandum is to distribute the corporate guidance to the Operations Offices and Focus Areas on implementing Environmental Management's (EM) new approach for collecting technology deployment information. The improved approach to collecting deployment information is based on five tenets:

- EM will use one system, Integrated Planning, Accountability, and Budgeting System-Information System (IPABS-IS), to collect deployment data. This data will be collected in a system that is designed and operated by the EM Chief Information Officer (CIO).
- Deployment information will be captured within the Project Baseline Summary structure of IPABS-IS only. Historical deployment data will be inserted into those projects to the maximum extent possible.
- The performance measure will shift from first-time use of technology per site to first-time and baseline use of technology per Project Baseline Summary.
- Deployment data will be reported by the Department of Energy (DOE) Operations Offices only. EM's Focus Areas can support the preparation, but cannot submit deployment data regarding DOE sites.
- Consistent with the approach taken on other EM corporate performance measures, the Headquarters site teams, not the Office of Science and Technology, will be responsible for acceptance of Operations Office-reported deployment data.

This new approach does not require the Field to provide any new data through IPABS-IS. However, some modifications to the functions within IPABS-IS are needed, which are currently being reviewed by the EM CIO. Guidance to implement the new approach for Operations Offices and Focus Areas are discussed in the attachment to this memorandum. Questions regarding the attached guidance should be provided to John DeGregory, Office of Technology Applications, at (301) 903-7949.

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Attachment

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Guidance to Operations Offices and Focus Areas for Implementing the New Approach

This guidance is the first step in the implementation of the paper written March 2000 entitled “Collection and Verification of Technology Deployments in Fiscal Year 2000 and Beyond: The New Approach for Capturing and Understanding the Use of New Technology in EM’s Cleanup Efforts.” Guidance and responsibilities for implementing the new approach are discussed below.

1. Explanation of Data Input Requirements to Integrated Planning Accountability, and Budgeting System-Information System (IPABS-IS): Planning vs. Execution

Planning Module: **Operations Office** personnel are responsible for reporting potential and committed deployments in the IPABS-IS planning module deployment tab. The specific data to be reported includes technology name and technology ID number, projected year of deployment, and status (potential or committed). Deployment commitments become the set of deployments contributing to the Operations Office corporate performance measures for the indicated year. The total number of deployment commitments for the Operations Office should equal or exceed the deployment corporate performance measure for the year. The number of potential and committed deployments is used in the prioritization process by the Office of Science and Technology to determine funding allocation in future years. Planned deployments in IPABS-IS are used to develop the Focus Area Annual Performance Plans.

Execution Module: **Operations Office** personnel are responsible for reporting actual deployments in the IPABS-IS execution module deployment tab. The specific data fields to be reported include: technology title, the technology ID number, date of deployment, actual cost savings, technology baseline status, and a narrative explanation associated with the deployment which is to include the name of the Federal employee nominated to receive a Technology Innovation Certificate.

2. Report Federal Employee Eligible to Receive a Technology Innovation Certificate

At the end of each fiscal year, following the Headquarters approval of deployment data, Environmental Management (EM) will recognize those Federal employees who have brought new technology to bear in meeting EM mission objectives on a Project Baseline Summary (PBS) basis. These certificates have the following designations: bronze, silver, gold, and platinum. A bronze certificate recognizes first time use of a new technology within a PBS. The silver certificate recognizes baseline use of the technology within a PBS. A gold certificate is awarded once the technology becomes baseline at more than one PBS within a Operations Office. A platinum certificate is awarded for a technology that becomes the baseline within two or more PBSs at different Operations Offices. Gold and platinum certificates are provided to the Federal employee who pioneered the use of the new technology.

Operations Office personnel should reference the name of the Federal employee responsible for each deployment in the IPABS-IS narrative field associated with the deployment. This reference, and its exact spelling, will be used to generate the technology innovation certificates.

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3. Report Deployments for Corporate Performance Measures for First Time and Baseline Use at the PBS

Operations Office personnel are to enter deployments in the IPABS-IS execution module deployment tab for the first-time use of a technology per cleanup project. Once the technology becomes part of the baseline, Operations Office personnel are to indicate this status in the appropriate data field of the same tab. Only the Operations Offices will be allowed to enter deployment data. Operations Offices are encouraged to enter data as soon as the deployment occurs. Deployment information will be transferred from IPABS-IS to Technology Management System (TMS) at the end of each year following acceptance of the data by Headquarters site teams.

Focus Areas are to support the preparation and reporting of deployments by Operations Offices. The size and scope of many of the cleanup projects (PBSs) are sufficiently large that the PBS manager may not be aware of all the technologies used to accomplish project goals. In addition, the majority of OST-developed technologies that have been deployed are commercially available, and the site contractor and/or Federal project manager may not know that the technology was developed by OST. For this reason, it is important that Focus Areas maintain communications with the PBS managers that are responsible for relevant work and with the vendors that have made Focus Area technologies commercially available. This communication will be essential if **PBS managers** are to accurately report the use of new technology in general and the use of Focus Area technology in particular.

4. Headquarters will Establish Metrics for First Time Use Per PBS and Baseline Use

The shift to report both first time use and baseline use of new technology per PBS will require EM to define what is meant by baseline use. The draft definition below is currently under consideration:

A technology is considered to be "baseline" when it is adopted as part of the standard technical approach within the cleanup project.

One time use may or may not be baseline depending on whether or not there is a need for subsequent use of the technology. If the cleanup application is resolved in a single use, then the technology is considered "baseline" even if it is not used again. For most technologies, subsequent applications of the same technology would indicate that the technology is part of the baseline. The final designation for "baseline" use resides with the Operations Office.

The new approach, looking at first time use per project and baseline use within a project, means we need to rethink and revise the current deployment goals by Operations Office. The current goal of 60 first time deployments for EM is based on use per site. Under the new approach, we would have to (a) modify this goal by Operations Office to reflect the shift to a project basis, and (b) add a goal by Operations Office for baseline use. The original basis for the goal of 60 deployments, one deployment

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per \$100M of annual funding is not a defensible approach for determining the new goal. The goal should be based in part on the amount of funding received, the number of projects, past performance, and expected site closure dates. The current site contracting strategy may also have a role in determining the goal. In the end, regardless of the way EM determines the initial targets, the final goal will need to be a negotiated between the Headquarters site team and the Operations Office.

5. Include Descriptors in the Narrative Field of IPABS-IS (Optional Field)

Operations Office personnel are requested to complete an optional narrative field In IPABS-IS associated with each deployment. This field should include: a description of the method of calculating cost savings associated with the deployment. Other related information will be captured in the Deployment Fact Sheet (DFS) in TMS (see item 10, section 8, of this guidance).

6. Relationship between TMS (Historical Data) and IPABS-IS

TMS contains historical deployments dating to fiscal year 1991. TMS will continue to retain additional details about the development and demonstration of technologies being developed by OST. TMS will continue to house the DFS Builder and Deployment Fact Sheets contain detailed descriptions of technologies and related deployment information (non-DOE deployments, see item 7 below) not tracked or collected in IPABS-IS. In addition, TMS will track and maintain peer review data, demonstration data, and technologies ready for implementation (with Innovative Technology Summary Reports) and assist with information products. TMS will continue to house additional information needed to manage the OST program.

IPABS-IS is EM's single information system for tracking and collecting corporate performance measures, and therefore, all deployment data will be reported in IPABS-IS by the **Operations Offices. Headquarters site teams**, not the OST, will be responsible for acceptance of Field-reported deployment data. Once the verification process is complete at the end of the year, all deployment data collected in IPABS-IS will be transferred to TMS.

7. Non-DOE Deployment Information

Focus Areas will continue to track non-Department of Energy deployment of OST technologies in TMS. These deployments do not contribute to corporate performance measures, but are useful to OST in providing cost and performance data associated with multiple uses of OST-developed products and therefore, these deployments will be documented through the DFS process.

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8. Deployment data in the Work Package Ranking System (WPRS)

The WPRS , as in previous years, relied exclusively on end user data supplied in IPABS-IS. The planned deployments reported in the IPABS-IS planning module deployment tab contributes 20 percent weight to the overall score of a Focus Area work package, with two thirds allotted to deployment commitments, and one third to potential deployments. In Fiscal Year 2000, the set of deployments considered in the ranking system were limited to those reported at active projects, projected to be deployed between FY 2000 and FY 2010, and directly developed by the Focus Area being evaluated. **Operations Offices** are encouraged to continue to update potential and committed deployment data in the planning module, and to work with the **Focus Areas** to identify correct technology ID numbers for accurate reporting purposes. (NOTE: The technology ID number is the single unique identifier for each technology.)

9. Deployment Data in the Annual Performance Plan (APP) and Current Performance Plan (CPP) Reports

In the future, the CPP report in TMS will not include deployments. It is no longer the **Focus Area's** responsibility to report deployment information, and therefore, deployments will not be planned in TMS.

Focus Areas will continue to report planned deployments by their Focus Area in their respective APP and should obtain the majority of this data from the deployment planning data as reported by Operations Offices in IPABS-IS planning module deployment tab. It is incumbent upon the Focus Areas to notify Operations Offices of potential and committed deployments so that the data can be accurately reported in IPABS-IS by the Operations Offices.

10. Prepare Deployment Fact Sheets

Operations Office personnel will have the responsibility to build and edit DFS. Operations Office personnel will prepare a DFS once a technology is reported deployed, then revise the DFS when the technology is declared as baseline. An association, or link in the IPABS-IS project execution module to the DFS builder in the TMS will facilitate the preparation. This link has been requested to be available by July 28, 2000.

The DFS builder in TMS is being modified to incorporate the elements listed below. Further discussion and guidance associated with the DFS shall be addressed within the appropriate documentation for the TMS DFS Builder. In addition, the guidance will also address using the DFS as a resource in the recognition of the top 10 technologies in a given fiscal year.

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DFS Elements:

NOTE: *Data elements 1 - 5 below, which are related to deployment in the IPABS-IS execution module, should constitute the official electronic submittal of technology deployment metrics information for that Operations Office.*

1. Technology Title
2. OST/TMS - Technology ID #
3. Baseline Technology
4. PBS Name and Number with Operations Office
5. Date of Deployment
6. Narrative Field -
to include actual cost savings and the calculation methodology used
7. Technology Description - Narrative
8. Deployment Description - to include benefits information such as: schedule acceleration; programmatic risk reduction; worker/environment risk reduction; enabling technology; impact on long-term stewardship. This field should also include the site technology Need addressed; the federal employee to receive the Technology Innovation Certificate, and problem category.
9. Location
10. Vendor Company, Vendor POC(s), and Vendor's name for this technology
11. Points of Contact (POC) - [name and phone number]:
 - a. End User POC(s)
 - b. OST Program POC(s)
12. Technology User POC(s)
13. Photo/Graphic (Optional)