

Monitoring EERE's Recovery Act Portfolio

Performance monitoring of Recovery Act projects within EERE has been an ongoing effort. Project recipients have been reporting technical and financial progress to project officers on a quarterly basis.¹ Field Operations, in coordination with the field and headquarters, have worked to develop formal monitoring plans as well as implement centralized systems that allow the reporting of monitoring data.

Two distinct monitoring plans were developed by EERE for project officers—one for Weatherization and Intergovernmental Program (WIP) projects and one for non-WIP projects. Monitoring plans are seen as a “best practice” for management oversight of performance monitoring by the DOE Office of the Chief Financial Officer (CFO) and Inspector General (IG).

Past audit findings were a consideration in the development of EERE's monitoring framework, and coordination with the risk mitigation team continues to inform the process.

Due to the increased scrutiny of WIP projects, WIP already has in place a monitoring plan and centralized monitoring system with reporting capabilities. EERE is now focusing its efforts to implement a similar system for monitoring non-WIP projects. Table 1 provides the achieved reviews for the 2010 monitoring efforts for WIP and non-WIP projects.

Table 1. FY 2010 Monitoring Activities

Monitoring Activity	Actual
WIP Desktop Monitoring Reviews	4,963
WIP On-site Monitoring Visits (Apr - Oct 2010)	513
Non-WIP (RDD&D) Desktop Monitoring Reviews (Q4 FY10)	375
Non-WIP (RDD&D) On-site Monitoring Visits	75
Total Monitoring Activities	5,926

WIP Monitoring Activities

WIP published the first version of a monitoring plan for the Weatherization Program, State Energy Program, and the Energy Efficiency and Conservation Block Grants in August 2009 and a second version in March 2010. The monitoring plan and associated checklists outline EERE's oversight monitoring approach for the \$11.3 billion of funds designated

¹ Reporting frequency is specified in the award and is based on 10 CFR 600 and Paperwork Reduction Act requirements. WIP also collects some data on a monthly basis.

for the three WIP grant programs. WIP's grant performance management system, Performance and Accountability for Grants in Energy, provides a central location for collecting and reporting grant monitoring data. Executive-level reports on WIP monitoring activities and resultant recipient performance assessments were distributed internally beginning June 2010. The WIP monitoring plan was developed in coordination with the program, CFO, and IG representatives. Monitoring activities compliant with the plan began in October 2009, and monitoring on-site visits accelerated from February through September 2010. Currently, EERE leadership receives the executive-level report on WIP monitoring on a bi-weekly basis. Periodically, an independent analysis of the data and executive report is performed.

Non-WIP Monitoring Activities

A separate monitoring plan for non-WIP projects that include research, development, demonstration, and deployment (RDD&D) activities was developed by the Office of Field Operations in response to a request from the CFO. Differences between WIP projects and the nine non-WIP projects point to guidelines and tools specific to RDD&D. The information collected from these differences contributed to the development of specific non-WIP monitoring plans. These non-WIP monitoring plans were coordinated between EERE programs and field elements and reviewed by the CFO and IG representatives. EERE executive leadership signed and approved the plan in August 2010. The plan outlines the monitoring practices to be implemented for the RDD&D activities and provides tools and templates to support the implementation and reporting of these practices. As part of EERE's continual improvement efforts, best practices are collected centrally and made available to all monitors so that success stories can be shared and lessons can be learned across the organization.

In conjunction with the monitoring plan, the following activities have also been achieved:

- A new Internet-based monitoring central repository, IMPACT, has been implemented to store and provide a centralized location to report the monitoring data collected.
- Six informational and training Webinars have been presented for over 145 attendees in the field and at headquarters to introduce the monitoring plan results and new reporting requirements.
- Project officers continue to perform desktop reviews and began submitting the associated reports in November 2010.



Furthermore, a quarterly executive-level report will be produced outlining the performance of our recipient projects and our monitoring efforts. Future monitoring oversight includes performance analysis of insight and feedback for continual improvement for RDD&D activities. Table 2 shows the items included in the future monitoring oversight for 2011.

Table 2. FY 2011 Monitoring Activities

Monitoring Activity	Plan
WIP Desktop Monitoring Reviews	8,925
WIP On-site Monitoring Visits	800
Non-WIP (RDD&D) Desktop Monitoring Reviews	2,000
Non-WIP (RDD&D) On-site Monitoring Visits	150
Independent Project Reviews	125
Total Monitoring Activities	12,000

Independent Project Reviews

Independent Project Reviews (IPRs) will be conducted on a sample of RDD&D projects, which are selected for review based upon a methodology that considers several factors—recipient, and project type, and award size, for example. The IPR process began with a pilot phase in November 2010. IPRs are expected to enter full implementation by December 2010 and will continue for 19 months. Each month, 8–12 projects will undergo reviews. The goal is to review 210–225 projects during this initiative.

Quarterly Monitoring and IPRs

EERE’s monitoring includes desktop and on-site reviews, executive reporting, program monitoring meetings, independent project reviews (IPR), and IPR outcome meetings. Desktop reviews are typically conducted on a quarterly basis, and on-site reviews are conducted on an annual basis or as needed. Executive reporting and program monitoring meetings follow each quarterly cycle to ensure risks are evaluated and corrective actions are completed. IPRs and IPR outcome meetings are conducted on a monthly basis. As part of EERE’s continual improvement efforts, best practices are collected centrally and made available to all monitors so that success stories can be shared and lessons can be learned across the organization.

EERE Quarterly Monitoring Cycles

Quarterly desktop reporting may inform the IPR selection process, and IPRs can also validate desktop and on-site review reporting. Figure 1 illustrates the EERE performance monitoring activities cycle by fiscal year. Monitoring is performed for the life of an award and concludes only when an award is closed out. The overall goal for EERE’s rolling monitoring cycle approach is to achieve the intended outcomes for each project including adherence to the scope of work, schedule and budget.

For More Information

Contact the Field Performance Management team via e-mail at FieldOps@hq.doe.gov or visit: www.eere.energy.gov/fieldoperations

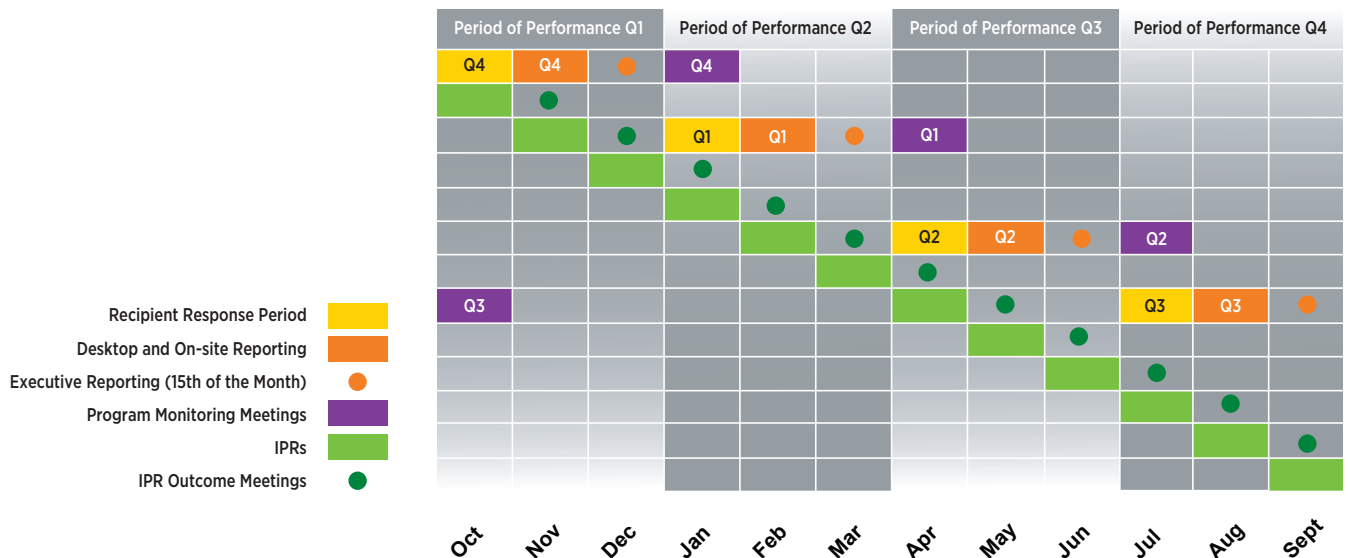


Figure 1. EERE Quarterly Monitoring Cycles