NATIONAL ENERGY TECHNOLOGY LABORATORY

How to Work with DOE?

High-Level Articles and Project Administration Overview

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Stabilize and Optimize Coal Power: Program Portfolio Kick-off Meeting

U.S. DEPARTMENT of ENERGY

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Agenda

- Financial Assistance Staff Overview
- How to Think About the Articles
- Articles 2–3
- Article 4
- Articles 5 & 7
- Reporting Requirements
- Article 11
- Working with DOE — Playbook
- Key Takeaways
- Questions

Financial Assistance Staff

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- Anna-Lee Misiano
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- Patrick Martin
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How to Think About the Articles

The Articles are the operating rules around the technical work — who can decide, what must be documented, and how DOE verifies progress.

- The technical scope tells us what work gets done.
- The Articles tell us how that work is administered with DOE.
- The recurring themes are:
  - communicate early
  - document decisions
  - retain evidence
  - obtain required approvals
- Treat DOE requirements as part of project execution — not paperwork added at the end.
- Plan deliverables and evidence when the work is planned.
- Escalate questions before commitments are made when approval may be required.

Articles 2–3: Who You Work With & What the Agreement Covers

Know the DOE roles, route communications correctly, and stay within the agreed scope.

- **Article 2 – Administration**
  - The Agreement Technical Representative is the main technical point of contact.
  - The Agreements Officer handles formal agreement matters such as modifications, waivers, and changes to terms.
  - Technical correspondence goes to the technical representative, with the Agreements Officer copied as required.

- **Article 3 — Purpose & Scope**
  - The work centers on modernization, reliability, and efficiency improvements.
  - The scope includes major generation, fuel-preparation, boiler, and electrical upgrades.
  - Technical Objective completion and DOE determination are tied to the project schedule and payments.

Article 4: Money, Cost Share & Payment

DOE reimbursement follows completed Technical Objectives and adequate supporting documentation.

- Payments are made after successful Technical Objective completion, subject to the agreement.
- Costs must be reasonable, directly related to the project, and supported by records.
- The required cumulative recipient cost-share level must be maintained.
- Submit the required reimbursement form.
- Include a summary of work completed and the Technical Objective deliverables.
- DOE may request additional support before releasing funds; insufficient documentation can delay payment.

Articles 5 & 7: Information, Foreign Engagement & Security

Protect non-public information and check approval requirements before foreign collaboration or participation.

- DOE non-public information must be protected and used only as authorized.
- Appropriate systems and controls are expected for non-public information.
- Data rights and markings matter when information is delivered to DOE.
- Certain foreign collaborations require advance written DOE approval.
- Personnel and entity disclosures may need updates when circumstances change.
- Work is generally expected to be performed in the United States unless advance authorization applies.

Article 8: Reporting, Acceptance & Audit Readiness

DOE needs timely, reviewable evidence — and the project must remain ready for review throughout performance.

- **Technical Objective acceptance**
  - Deliver Technical Objectives on time and in a form DOE can review electronically.
  - DOE may accept or reject completed objectives; identified deficiencies can be corrected through an agreed cure timeline.
  - Reimbursement depends on DOE determining the applicable objective is complete.

- **Records & audits**
  - Maintain financial records consistent with normal accounting practices and the agreement.
  - Project records are subject to examination or audit.
  - Be prepared to provide documents, information, and site access when authorized reviews require it.

Reporting Requirements - Timeline

Reporting is continuous: meetings, periodic reports, objective packages, and event-driven notices

- **Monthly**
  - Status presentation beginning within 30 days of the effective date
  - Activities, objective status, schedule, cost, risks, actions
- **Quarterly**
  - Narrative + quantitative reports
  - Due within one month after each Government fiscal quarter
- **Annual / Technical Objectives**
  - Annual public-oriented project status meeting
  - Technical Objective-specific deliverables before expected payment
  - Kickoff and closeout meetings

Reporting Requirements — What to Show

Use the same management picture across monthly and quarterly reporting

- **Progress**
  - Major activities completed
  - Major activities planned
  - One-slide public project summary
  - Technical Objective % complete and forecast dates
- **Schedule & Risk**
  - Integrated baseline/current schedule
  - Schedule performance index and critical path
  - Updated risks and mitigation strategies
  - Items requiring DOE input / approval
- **Cost & Performance**
  - Updated objective costs by cost-share category
  - Cumulative actual cost and planned / earned value
  - Cost performance index
  - Business Case Analysis updates, as appropriate

Article 11: Requirements That Show Up in Daily Execution

Several "miscellaneous" Articles have very practical impacts on procurement, construction, inspections, and communications.

- **Execution & Compliance**
  - Davis-Bacon requirements apply as determined by the agreement, including flow-down and certified payroll responsibilities.
  - Required permits and applicable environmental requirements must be maintained.
  - Inspection, testing, commissioning, and start-up records must be complete and available to DOE.

- **External communications**
  - Public-facing communications about agreement work must be coordinated with DOE.
  - Photo/video requests call for advance notice; other communications also require lead time.
  - DOE may conduct independent engineering reviews and site assessments with prior notification.

Working with DOE — Playbook

A few habits make administration much easier and reduce surprises.

- **Before the work**
  - Know the Technical Objective and success criteria.
  - Identify the evidence DOE will need before work starts.
  - Confirm whether DOE approval is needed before making a commitment or change.
- **During the work**
  - Keep the DOE contacts informed of schedule, risk, and cost changes.
  - Maintain procurement, cost, inspection, test, and decision records as work occurs.
  - Make monthly and quarterly reporting consistent with the current project controls.
- **At completion**
  - Build a clean completion package that maps evidence to the objective.
  - Allow time for DOE review and questions before payment timing becomes critical.
  - Close actions and preserve records for audit and closeout.

Key Takeaways

The agreement works best when technical execution and agreement administration are managed together.

- **Remember**
  - Know the DOE roles and approval boundaries.
  - Tie every Technical Objective to clear evidence and cost support.
  - Report consistently and escalate material issues quickly.
  - Build compliance into procurement and field execution.
  - Coordinate changes and public communications before acting.

- **Simple Rule**
  - If it affects scope, schedule, cost, eligibility, foreign participation, deliverables, or public communications — **check the Articles and coordinate with the appropriate DOE contact.**

Questions & Discussion

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