

# **Attachment A Transition Plan**

## TRANSITION PLAN

### I. Introduction

This Transition Plan identifies the complete set of transition activities that will be conducted by the Alliance for Sustainable Energy, LLC (the Alliance) during the 60-day transition period in order to attain and demonstrate our readiness to assume full responsibility for the management and operation of NREL. This Plan is designed to enable accomplishment of that objective in a manner that ensures safety of personnel, minimizes disruption, builds employee morale, and assures continuity of all business services. We will commence transition activities immediately after notification of contract award.

### Approach

We will manage the NREL transition as a project, using our core management approach "plan, organize, perform, and review" (see Figure AttA-1) under the direction of our Laboratory Director, Dr. Dan Arvizu, and our Transition Manager, Ms. Peg Jarrett from Battelle, and Deputy Transition Manager, Mr. Jerry Bellows from MRI.



They will focus on coordinating with DOE, managing the pace of transition, controlling resources, and assisting the Transition Team to stay on schedule. They were selected because of their combined transition experience, relevant subject matter expertise, and knowledge of NREL. Ms. Jarrett and Mr. Bellows have been given all authority necessary to fulfill the Transition Plan through a formal delegation from the LLC Board of Directors, in coordination with the NREL Laboratory Director and President of the LLC, Dr. Dan Arvizu.

**Figure AttA-1. We Manage Transition as a Project, Based on Successfully Transitioning More than 11,300 staff at DOE Labs**

We recognize that transition is likely to occur concurrent with fiscal year close-out and commencement of a new fiscal year. To ameliorate these concerns, we are proposing a robust team of corporate resources with transition experience and subject matter expertise to **plan, organize, perform, and review** the transition effort.

Continual communication is absolutely essential to achieve an effective, seamless transition. Throughout the transition period, this interaction will occur at two formal levels: (1) daily (Monday through Friday) plan-of-the-day (POD) meetings of the Alliance Transition Team to review and assess transition progress and status, and (2) weekly meetings of the Laboratory Director and Transition Manager/Deputy Manager with senior Alliance and DOE site management and the DOE Transition Manager to communicate transition status, resolve open issues, and reprioritize as necessary. Day-to-day communication will occur among transition staff and DOE counterparts as necessary to accomplish all tasks.

In addition, we will implement a comprehensive communications plan for incumbent NREL staff, DOE, and other external stakeholders. By communicating clearly and frequently, providing a strategic framework for responses and decisions, we will lessen any staff, DOE, and stakeholder concerns during this period of change.

Transition will end with our demonstration to DOE that we have successfully completed all actions that enable us to assume full responsibility for the Contract. Dr. Arvizu will notify DOE's contracting officer (CO) when we have completed all transition activities and "are ready to assume full responsibility for the Laboratory." We will propose a comprehensive Readiness Review to be held with the DOE Transition Team (DTT) anticipated 1 week prior to the end of Transition. DOE-HQ will have the opportunity to participate by videoconference. We have found in other transitions that these final reviews provide an excellent forum for demonstrating our readiness, answering questions, and conveying our excitement and enthusiasm for assumption of full contract responsibility. We will conduct transition activities using office space () and equipment located in Golden, Colorado, Denver West Building 51. The space will be provided by the Alliance at no cost to the Government.

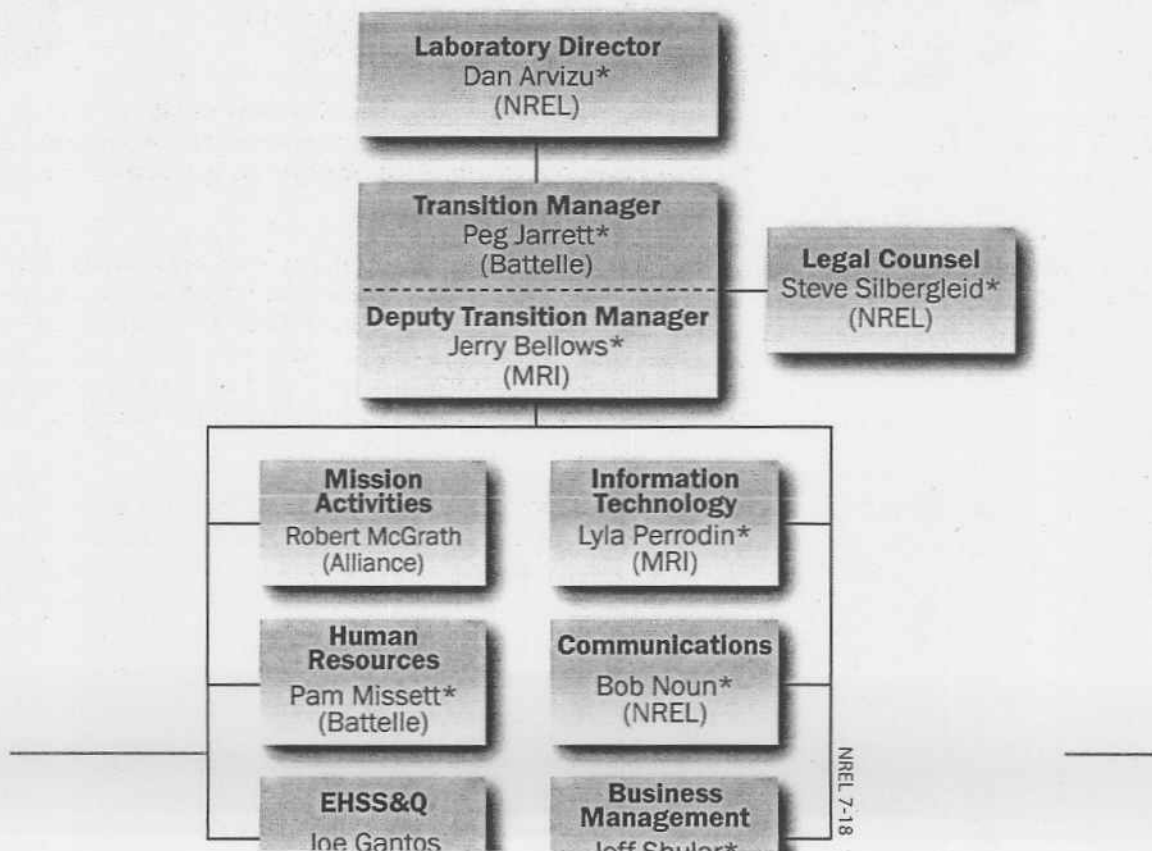
**Assumptions**

Our Transition Plan is based upon the following assumptions:

1. NREL incumbent personnel will be available to assist in certain transition activities consistent with their current job responsibilities. Although we will minimize engaging incumbent staff (primarily using subject matter experts over the parent companies), we do anticipate the need for incumbent support in the Mission Activities reviews, Human Resources (HR), Contracts, and Finance areas to accomplish transition tasks. We assume that necessary incumbents will be made available to support these activities.
2. We recognize that MRI has continuing responsibility for all laboratory operations through the end of transition and that those responsibilities include facilitating the orderly transfer of people, facilities and equipment, systems and programs to the Alliance.
3. Incumbents will have prepared comprehensive briefing materials on programs, projects, and budgets that will be shared with Alliance early in transition.

**Organization and Identification of Transition Team**

Our Transition Team (see Figure AttA-2) will ensure that all necessary actions/activities are completed in order to fully take over management and operation (M&O) of NREL at the conclusion of transition.



## Figure AttA-2. Alliance's Transition Team

### Approach to Selecting Transition Team Members

Our approach to selecting Transition Team members takes into account our strategy of minimizing disruption to ongoing NREL operations. As such, we will use Battelle and MRI corporate subject matter experts (SMEs) as appropriate to conduct those activities unique to the transition effort. In certain functional areas, it will be necessary to have access to individuals with critical background knowledge of current NREL processes/systems/stakeholders in order to efficiently perform transition activities. Some incumbent managers will be leading transition efforts in their functional areas, and their ongoing day-to-day responsibilities will be assumed by fully qualified delegates. These individuals and the rationale for their selection are described below.

- **Mr. Bob Noun** (Director of External Affairs)—Possesses in-depth knowledge of NREL stakeholders
- **Ms. Kimberly Adams** (Communications Specialist)—Has extensive experience developing laboratory-level internal communications
- **Mr. Steve Silbergleid** (General Counsel)—Has in-depth knowledge of the myriad of legal issues present during transition activities and is a key point of contact for Organizational Conflict of Interest plans
- **Ms. Olivia Killough** (HR Director)—Has critical knowledge of NREL's HR systems, policies, procedures, programs and capabilities needed to facilitate all HR-related aspects of transition
- **Mr. Kevin Novotney** (Finance Manager)—Has in-depth knowledge of Finance systems to facilitate efficient implementation of contract Work Breakdown Structure (WBS) and mapping to Alliance's new organizational structure
- **Ms. Bobi Garrett** (Senior Vice President, Integrated Planning, Analysis, and Assessment)—Has key knowledge about NREL's strategies/vision. She has served as the point of contact (POC) for the Five-Year Strategic Plan and will retain that responsibility in her new role
- **Ms. Sue Hock** (Laboratory Development Manager)—Has key knowledge regarding performance assessment and will support completion of the Five-Year Strategic Plan and Performance Evaluation Management Plan

### Subject Matter Expert (SME) Teams

We will accomplish all tasks necessary during transition using a cadre of talented, experienced SMEs as follows:

- **Mission Activities**—This team will be led by the Alliance's Deputy Director for Science and Technology, Dr. Robert McGrath, and will include the Senior Vice President for Integrated Planning, Analysis, and Assessment, (Ms. Bobi Garrett) Senior Vice President, Commercialization and Deployment (Ms. Casey Porto), our Vice President for Deployment and Industry Partnerships (Dr. Mike Pacheco), our Vice President for Commercialization (Mr. Bill Farris), and our

Associate Laboratory Director for Renewable Electricity (Dr. Robert Hawsey). They will conduct program reviews, determine deployment status, and perform a commercialization assessment. They also will participate in facility walkdowns as appropriate.

- **Human Resources (HR)**—Our HR Team will be led by Ms. Pam Missett, an HR Manager with 9 years of Battelle experience. This team will include Ms. Linda Evans, MRI HR Director; Ms. Stephanie Morrison, MRI Benefits Specialist; Ms. Penny Burton, MRI Staffing and Equal Opportunity Specialist; and Ms. Olivia Killough, NREL HR Director. They will work with NREL HR staff, focusing on compensation, benefits, and hiring to effectively conduct all activities necessary to successfully complete the workforce transition activities for NREL's 1,200-member workforce (including post-docs), with a high degree of focus on maintaining excellent staff relations. They also will ensure completion of the four required HR plans: (1) Human Resources Compensation Plan, (2) Human Resources Workforce Plan, (3) Diversity Plan, and (4) Equal Opportunity Plan.
- **Environment, Health, Safety, Security, and Quality (EHSS&Q)**—This SME team will be led by Mr. Joe Gantos, our proposed EHSS&Q Director from Battelle, who has 24 years of relevant experience. The EHSS&Q Team will conduct facility walkdowns, update Standard Operating Procedures (SOPs), and review and transfer all permits. Mr. Robert Martig, an ES&H Manager from MRI, will support this effort.
- **Communications**—Led by Mr. Bob Noun, NREL's current Director of External Affairs, this team (consisting of two Specialists—Ms. Kimberly Adams from NREL and Ms. Linda Cook from MRI) will ensure that all internal/external communications provided during transition are timely and contain consistent thematic messages. In addition, this team will manage the Alliance website, including the Q&A staff site and the Transition Hotline (routing questions to appropriate SMEs for timely responses) and will update necessary logos, letterhead, websites, and other key communication mechanisms during transition.
- **Business Management**—Mr. Jeff Shular, MRI's Director of Contracts and Pricing, will lead the Alliance's Business Management Team. Mr. Shular brings 17 years of relevant experience to this task and will ensure that all Finance, Contracts, and other business systems are fully operational at the end of transition. He will be assisted by Mr. Ron Davis, a senior subcontract specialist from Battelle; Mr. Jeff Leumont, a senior finance specialist from Battelle; and Ms. Brenda Williams, a senior accountant from MRI.
- **Information Technology (IT)**—The IT Team will provide systems support to the Business Management Team during transition and will be led by Ms. Lyla Perrodin, an IT Manager with 29 years of relevant experience, including 4 years with MRI. She will ensure that infrastructure reviews/support as well as cyber systems reviews/support are provided in an efficient manner to support all transition activities. She will be assisted by Ms. Marilyn Davidson, Battelle's

Vice President for Information Management; and Mr. Duane Klotz, an HR manager for Battelle.

#### Key Issues

We have identified the following key transition issues and milestones:

- **Personnel**—We will identify and classify all current incumbent personnel, map them to our proposed new organization, extend offers of employment, and enroll them in our benefit plans. We will communicate to incumbent staff using a variety of communication and HR resources to ensure a high degree of confidence and morale. These include “all hands” meetings as well as individual group meetings.
- **Due Diligence**—Our due diligence reviews will take advantage of the knowledge several of our team members have by virtue of their current and prior roles and knowledge of the site. Accordingly, our approach to facility safety reviews will be one of “confirmation.” We will review existing documentation and do limited walkdowns, thus saving DOE transition costs.
- **Safe Continuity of Operations**—At the conclusion of transition, we will assume responsibility for all work scope within safety requirements and with minimal impact on continuity of operation.
- **Property Inventory and Transfer**—We will use existing approved property management systems as the basis for developing our Joint Reconciliation Property Inventory (JRPI) plan and the baseline from which to evaluate inventories and transfer property from MRI to the Alliance.

We will prepare a comprehensive Transition Agreement between MRI and the Alliance to ensure the timely, seamless transfer of all subcontracts, facilities, property, and equipment. This Agreement will be completed prior to the Readiness Review (to be effective Day 1 of Contract takeover).

#### Phased Approach Using Project Management Techniques

We have developed a comprehensive Work Breakdown Structure (WBS) to identify, define, and schedule all of the activities and deliverables required to be completed during transition. Level One of the WBS (WBS 1.0) is the entire Transition Plan Project. Level Two consists of the seven transition activities identified in H.24 of the RFP plus two additional activities: (1) Transition Management to address the activities necessary to organize and manage the transition effort and (2) Other Plans and Deliverables to schedule and deliver those plans and/or deliverables to DOE as identified in Part III, Section J of the RFP as well as H.3 and H.24. Level Three of the WBS provides a further breakdown of the effort, activities, and deliverables to be accomplished during transition. Below Level Three, we have listed the specific activities to be accomplished to meet Level Three requirements and to achieve the objectives of Level Two milestones. Each task has been scheduled and given a duration as well as a specific start/finish date.

This level of detail is necessary to adequately plan our transition effort. We also have developed a Responsibility Assignment Matrix (RAM) (see Figure AttA-3) that identifies which Transition SME Team is responsible for each activity and deliverable in the WBS. Responsibilities are assigned for each activity below Level Two. The RAM demonstrates how we have organized the work effort. These two efforts of planning and organizing will provide DOE with the assurance that the Transition Team knows what tasks must be performed and when each task is scheduled for completion.




Our Transition Team will begin each day (Monday through Friday) with a plan of the day (POD) meeting. This meeting will serve three important purposes: (1) to discuss the planned activities for the day to ensure that each team is knowledgeable and ready to perform those activities scheduled for that day as well as other near term effort, (2) to review overall transition status, identify any items that may require corrective actions and follow up on any corrective actions previously taken to ascertain if those actions were effective and if our critical path items remain on track, and (3) to ensure that timely communication occurs among the teams that share WBS activities.




<b>WBS</b>									
	1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9
<b>Transition Team</b>	<b>Transition Mgmt.</b>	<b>Mission Activities (H.24.1)</b>	<b>Business Systems (H.24.2)</b>	<b>Assignment of Existing Agreements (H.24.3)</b>	<b>Property Inventory (H.24.4)</b>	<b>Litigation Mgmt. (H.24.5)</b>	<b>M&amp;O Contract Closeout (H.24.6)</b>	<b>Human Resources (H.24.7)</b>	<b>Other Plans/Deliverables</b>
<b>Mission Activities</b> • Program Reviews • Deployment Status • Hiring • Planning & Assessment		X							X
<b>Business Management Systems</b> • Finance/Accounting • Contracts/Business Services • Litigation Management • Property • Requirements Management			X	X	X	X	X		X
<b>Human Resources</b> • Compensation • Benefits • Hiring								X	X
<b>EHSS&amp;Q</b> • Walkthroughs • SOP Updates • Permits		X		X					
<b>Information Tech.</b>			X	X					
<b>Communications</b>	X								
<b>Transition Mgmt.</b>	X								

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...transition plans for dealing with finances and the shift of expectations or requirements. Over time, the items comprising this list may change. Each week the items on the list will be evaluated on a "stop light" basis (green, yellow or red), and the corrective actions being taken for those identified as yellow or red will be discussed in weekly meetings with the DOE Transition Manager. An example of this weekly scorecard is shown in Figure Atta-4.

Day 34 of 60

Objective	Total Planned	Completed to Date	Status
Personnel Mapped	1,200	1,190	Complete
Offers Issued	1,200	1,190	Complete
Offers Accepted	1,200	1,185	
Employees Enrolled	800	200	
Procedures Adapted	50	5	

 In Jeopardy     Behind Schedule     On Schedule

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As soon as possible after award notification, the entire Alliance Transition Team will meet with cognizant DTT members as well as other key personnel from the DOE GO (as deemed appropriate) so that each member of our respective teams are introduced to each other. This Transition Kick Off meeting will also provide DOE with an opportunity to convey expectations and identify any concerns that may have emerged prior to Contract award. Our intent will be to hear and understand DOE's expectations and protocols concerning communications and information flow between our team and the DTT, discuss our proposed delivery schedule of the Section J plans/other deliverables/attachments, and obtain any advice and counsel that DOE considers appropriate to facilitate a smooth transition.

Immediately after Contract award, our Executive Management Team (Key Personnel) will request a meeting with the principal staff of EERE to introduce our leadership, describe the organization contained in our proposal, and brief them on our vision and overarching concepts for NREL in meeting the requirements and objectives of DOE as reflected in the Department's Request For Proposal (RFP).

#### Comprehensive Communications Approach

There are two distinct features of our communications approach: (1) a proven framework for frequent information exchange and issue resolution within the Alliance and in our interactions with DOE and incumbent staff, and (2) proactive outreach to all stakeholders including industry, government, and academia as well as those in the Golden and Denver areas.

Our Laboratory Director, Transition Manager, and Deputy Transition Manager will meet weekly with senior DOE management and the DOE Transition Manager to provide schedule and overall transition status and to address any emerging concerns so that any issues can be promptly addressed. These meetings will also identify and remove any barriers necessary to facilitate the accomplishment of transition tasks. These meetings may also include other members of our Transition Team, DTT, and/or NREL SMEs on an as-needed basis. To facilitate daily interaction and communication during transition, we will prepare a joint point-of-contact (POC) list that includes both Alliance and DTT transition counterparts (with information such as locations, phone numbers and e-mail addresses, etc.) during the first week of transition. This listing will be finalized (subject to regular updating) and provided to DOE, Alliance, and NREL personnel. An initial POC list is provided (see Appendix A—Transition Team Point of Contact List).

Another essential element of our communications process is providing DOE with the status of our readiness to assume responsibility for NREL. We will conduct an informal Transition Status Briefing for DOE on Day 30 as well as a comprehensive Readiness Review (anticipated to be approximately one week prior to the end of transition) to demonstrate our ability to take over full M&O of the laboratory.



Because NREL's incumbent workforce is a crucial stakeholder in this transition, we also have planned a series of frequent, informative communications. We will use a wide variety of mechanisms, including the following:

- Frequent transition updates/information messages from Dr. Arvizu
- A series of laboratory staff meetings focusing on introducing the Alliance Executive Management Team (Key Personnel), Associate Laboratory Directors (ALDs), Vice Presidents, and Directors; communicating our vision for the future of the laboratory; and answering questions from employees
- An introductory information packet to all incumbent staff that contains the Alliance organizational chart, explanation of any benefits changes, and a high-level schedule of transition activities
- A website ([www.AllianceforSustainableEnergy.org](http://www.AllianceforSustainableEnergy.org)) for staff questions/answers and periodic electronic newsletters highlighting transition activities
- A transition hotline for staff to raise questions/concerns.

The Alliance will introduce its Executive Management Team to a broad range of external stakeholders through direct meetings and electronic communications. Care will be taken to listen to the interests and comments of all stakeholders and respond accordingly. Community understanding will be a key factor in helping provide stability throughout transition.

#### **Approach to Minimizing Impacts on Continuity of Mission/Operations**

Our transition will ensure minimization of impacts on continuity of mission/site operations based upon several factors including: (1) our Transition Team's familiarity with current site activities based on current and prior roles at NREL, (2) our experience in transitioning similar activities at other DOE locations, and (3) our attention to scheduling considerations.

We will schedule and coordinate within our SME teams proactively in order to necessitate only one walkdown per facility. Similarly, we will request only one briefing in each science/technology/commercialization area. We will maximize the use of Battelle and MRI SMEs to minimize demands on incumbent personnel.

We recognize it is important to minimize impact on continuity of mission/operations not only during Transition, but also in the post-transition period as well. We will review existing policies and procedures during transition and adopt them as our own with the minimum change necessary. Our Deputy Laboratory Director/COO will prepare a letter to staff stating that all existing policies and procedures (including SOPs) will remain in effect until reissued and reassigned to the new organizational structure. This letter will be issued upon our assumption of M&O responsibilities.

#### **Dispute Resolution**

We anticipate differences in perspectives and potentially competing priorities during this intense period of change. Our team will work closely with our counterparts at MRI and DOE to minimize disputes and barriers wherever possible. Each SME Team Lead (accountable for distinct WBS elements) will be responsible for timely resolution or elevation of issues. Issues not resolved at the Team Lead level will be addressed by the Transition Managers and Deputy. If resolution at this level is not reached, the matter will be escalated to senior Alliance and MRI management. Resolution should be achievable at this level in all cases except when there is genuine uncertainty about which of two alternative courses would be preferred by the DOE. Should this occur, we will seek and abide by Contracting Officer guidance. We do not envision any case in which a dispute cannot be resolved using this approach.

## Identification and Prioritization of Post-Transition Issues

As a result of our extensive knowledge of NREL and all of its operations, we do not expect major surprises during transition. However, should the DOE Transition Manager and Alliance agree that there are issues that cannot be resolved during Transition, we will systematically document such and include them in our final Readiness Review Report along with a proposed action plan for closeout of these items through the use of a Potential Issues Form (see Appendix B—Potential Issues Form).

### II. Transition Project Plan (WBS 1.0)

**A. Transition Management (WBS 1.1).** Our Transition Manager has been delegated full authority to carry out transition activities by the Laboratory Director/President of the Alliance. She will ensure that all required safety and security training is completed by the team in order to obtain badges and team site access to facilities. An essential element of transition management will be the establishment of both internal and external communications, the details of which are described above in the Comprehensive Communications Approach. Ms. Jarrett will conduct daily meetings with the Alliance Transition Team to ensure progress is being made and milestones are being met. Weekly meetings are designed to ensure that DOE is kept fully informed on progress. Central to our transition approach is managing the effort as a project, using a WBS that identifies and *plans* all the work to be performed, and *organized* teams of SMEs with specific responsibility for *performing* every element of the WBS. Additionally, we have developed a schedule that identifies the start and completion date for all activities so that transition management can continually *review* work accomplishment and ensure that all activities are completed within approved time constraints. We will use Microsoft Project software to assist us in tracking project status.

**B. Mission Activities (WBS 1.2).** The Mission Activities Team will efficiently crosswalk all programs, projects, and facilities into the line organizations, and will coordinate actions with the human resources and business management systems teams. While only one briefing will be requested for each program/project, additional interactions with the various elements of NREL program management may be required.

All science, technology, commercialization programs, and facilities will be identified and assigned to the appropriate manager, as shown on our new organizational chart during the first 2 weeks of transition. The Mission Activities Team will cross-walk the work scope, budget, and milestones/deliverables for all NREL programs/projects/tasks/subtasks that define the program/project roles, responsibilities, accountabilities, and authorities for all laboratory mission activities. Our parent organizations have a detailed understanding of the NREL mission activities, which enables the development of an inventory, categorization of the work elements, and completion of the cross walk using a graded approach.

Programs/projects/tasks/subtasks will be categorized and cross-walked in a streamlined way. Those requiring sub-division and placement into multiple operating units will each receive a complete cost, schedule, and deliverable review to determine placement in the new organization. These reviews will be completed by the fourth week of transition. Effective communications and assignment of staff within the new NREL organization will ensure efficient transition of line management responsibilities for the Laboratory. Facility walk-downs and SOPs will be coordinated and conducted with the EHSS&Q SME team to facilitate assumption of turnover and ownership. Associate Laboratory Directorys (ALDs) and Vice Presidents will validate the transfer of staff, systems data, and SOPs for all operating units and facilities. This activity will be a key input for our Senior Vice President for Integrated Planning, Analysis, and Assessment in developing the five-year Strategic Plan and in the development of the Performance Evaluation Management Plan.

A key element of effective transition of mission activities is an aggressive communications plan, which will be implemented in collaboration with the Communications Team. Communications relative to program/project/task/subtask responsibilities will be first focused on NREL staff. Communication plans and briefings will be reviewed with DOE/GO and then implemented with all EERE program levels at DOE/HQ. Our communications strategy also will engage all Work-For-Others and Cooperative Research

and Development Agreement (CRADA) partners. Finally, key industry and university leaders will be targeted to maintain existing and build new relationships that support the Alliance vision and strategy.

**C. Business Management Systems (WBS 1.3).** We consider "business management systems" to include all NREL policies, procedures, and associated business software applications that are active at contract award and support the mission activities of the laboratory. The incumbent knowledge of our corporate parents provides insight and awareness of ways to expedite selected system transfers, which will minimize disruption of ongoing NREL operations and contribute to lower costs during transition.

Our approach to transfer the responsibility for the business management systems used at NREL to the Alliance is based on elements taken from MRI and Battelle transitions successfully performed at DOE laboratories and includes the following features:

- Identification of an assigned Business Management Systems Team Lead (Mr. Jeff Shular, MRI) and SMEs from MRI and Battelle who will initiate activities on Day 1 of transition
- Identification of long-lead-time activities and critical path events
- Maximized use and transfer of existing business management systems and performance gap of analyses on these systems to identify options for future enhancements or replacements if they could result in greater efficiency or reduced costs over the term of the new contract. In the latter case, proposed enhancements and/or replacements will be discussed with DOE and an implementation plan developed and submitted, post-transition, to DOE.
- System testing and validation where applicable (e.g., the cost accounting system setup and integrity of the new contract's chart of accounts).

Based on our knowledge of current NREL business operations, we have identified 40 business management systems to review during transition in preparation for our assumption of full responsibility for their continued use at the conclusion of transition. These systems and their current organizational owners are identified in **Appendix C**. Most of the current system owners will not change as a result of transition to Alliance. **Appendix D** shows, on an exception basis, where current NREL systems will map to a different business office in the new Alliance organizational structure.

All of these business management systems have equal priority relative to the transition timeline because they provide essential support for NREL mission activities. However, the Business Management Systems Team will (after discussion with the DTT) identify candidate systems for expedited assessment and will fast-track completion of those activities for early review by DOE. System characteristics that could facilitate expedited reviews include: stand-alone systems that support discrete functions, systems not requiring any modifications, and systems not requiring formal government review/approval. The NREL Requirements Management System, and the Safe Operating Procedures Development and Tracking are two systems we propose to review and prepare to migrate to the Alliance early in the transition. These procedures are not expected to require wholesale reconstitution to remain valid; however, exceptions to address new contract requirements needing immediate implementation will require planning for revisions to OPPs/SOPs during transition. Therefore, we anticipate the migration of these systems to Alliance can be effected with an all-staff memorandum from the Deputy Laboratory Director/COO informing staff of the continued applicability of existing policies and procedures as well as SOP core requirements (with exceptions noted), upon our assumption of full control of the new contract.

In contrast to expedited business management system transfers, we also know some systems will present more challenges and/or involve long-lead task elements. For example, we recognize the need to maintain appropriate records for the current DOE contract with MRI so all necessary close-out actions can be concluded and simultaneously establish and maintain records for the new contract with Alliance. To

accomplish this in an effective manner, we will establish a "Company-2" chart of accounts for the Alliance within the Oracle-based accounting application to capture new transactions and transfer applicable financial balances from current contract accounts to the new contract with the Alliance. The associated system testing, needed to insure that this system is operating properly is expected to be a long-lead activity. Related finance and accounting activities include, but are not limited to, preparations for:

- Establishing a DOE bank account for the new contract (see **Section III, Other Required Plans/Deliverables and Schedule**). We will establish the authority of the Alliance to draw down funds from the U.S. Treasury, identify new signatories, and provide for electronic access. This will also establish deposit and disbursement cut-over dates as well as allow us to transfer balances from the Special Financial Institution Account Agreement as soon as possible.
- Establishing new accounts for Bayh-Dole and Collaboratory funds and transfer of those resources to the Alliance.
- Implementing new credit card programs to accommodate items such as airline ticket purchases and employee travel.
- Creating payroll accounts for all state and local entities in which our employees work to comply with state and local withholding tax requirements (e.g., Colorado, Virginia, Washington, DC and the City and County of Denver); determining worker compensation requirements for these locations, changing bank accounts required for payroll disbursement, establishing a new contractor identification number of all the appropriate government entities, establishing payment transmittal and reporting processes for the IRS and the State and local entities, and identifying the timeframe for payroll cut over.
- Providing W-9 information to all NREL customers, and transitioning W-9 records while retaining records for both the old and new entities.
- Applying for sales tax exemptions/licenses in all jurisdictions in which NREL will be doing business.

Several business systems will be integral to executing our transition activities (e.g., IT infrastructure, cost accounting applications, Human Resources Information System [HRIS]) and will be concurrently used and reviewed beginning on Day 1 of transition. The Business Management Team will work closely with other Transition teams whose activities are dependent on enterprise business applications, most notably regarding the assignment of existing contractual agreements, setting up the cost accounting structure for the new contract, the M&O contract financial closeout, and HR activities to migrate the workforce from MRI to the Alliance.

Based on our knowledge of existing NREL business management systems and the key activities needed to prepare these systems for full control by Alliance, the following preliminary status levels have been identified (see **Table AttA-1** below):

**Table AttA-1. Preliminary Status Levels**

Candidates for Early Completion	Long-lead Transition Effort
♦ Data Warehouse	♦ Finance
♦ Earned Value Management System	♦ Payroll
♦ I.S. Cyber Security	♦ Purchasing
♦ Patent Tracking	♦ Human Resources Information System
♦ OCI Plan/Program	♦ Program Support
♦ Opportunity Management System	

- |                                                                                                                                                    |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <ul style="list-style-type: none"><li>◆ NREL Policies and Procedures Manual</li><li>◆ Safe Operating Procedures Development and Tracking</li></ul> |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------|--|

Several business management system transition activities will, or may, require action by Alliance and our corporate parents in advance of Day 1 of transition. For example, signature authority designations/delegations to accept and sign contractual agreements and signature authority to approve payments to vendors and subcontractors must be in place on Day 1. Because of its importance and potential long-lead time for interaction with the MRI, Battelle, and Alliance's Governing Board, this activity will be performed in advance of the transition period at no cost to DOE and these activities have been identified in Appendix F as pre-transition activities.

**D. Assignment of Existing Agreements (WBS 1.4).** Upon commencement of transition, the Business Management System SME for Contracts, Mr. Ron Davis (from Battelle) will obtain lists of all (i) subcontracts, purchase orders, personal and service subcontracts, consulting agreements, insurance policies, etc. ("Subcontracts") and (ii) Cooperative Research and Development Agreements (CRADAs), Work-for-Others Agreements (WFOs), and intellectual property license agreements ("Technology Partnership Agreements"), whether active or in close-out, from NREL. All subcontracts and Technology Partnership Agreements (TPAs) will be reviewed by the team, assisted by personnel from the Mission Activities Team, to determine (consistent with our Concept for NREL) whether each subcontract or agreement should be continued or terminated. Based on our knowledge of NREL programs and plans, we estimate that approximately 1,400 agreements will be transferred to Alliance, including 725 active subcontracts, 475 inactive subcontracts, and 200 active/inactive TPAs. We know that almost all NREL contracts have an assignment provision and that NREL's Contracts and Business Services Office has the capability to upload key contract information and then download into a common template, thus greatly reducing the time required to finalize such assignments to the Alliance.

Given the above, and our experience gained on other transitions, and our understanding of the terms of these agreements, our goal is to have all active subcontracts and TPAs determined to be mission/operational necessary, unilaterally assigned to us within the first 20 days of transition and effective at the completion of transition when we will assume responsibility for these agreements from MRI. Subcontracts and TPAs that are either in close-out or to be terminated will be unilaterally prepared for assignment to the Alliance by Day 55 effective as of the completion of transition when the Alliance will assume responsibility for these agreements from MRI.

During the first 30 days, Mr. Davis, assisted by NREL Senior Patent Counsel and personnel from NREL's Technology Transfer and Finance Offices, will also establish the mechanisms to transfer the MRI accounts containing royalty revenue from license agreements, unexpended balances of income received for use at NREL (if any), and equity positions (if any) in licenses in third-party entities. Subject to NREL mission needs and working with MRI and NREL financial personnel, we will transfer these royalty streams to an Alliance account.

We will prepare letters of assignment for the incumbent contractor for each subcontract or agreement, utilizing templates approved by Transition Team Legal Counsel, to be executed by authorized NREL contracts, technology transfer, or legal personnel, as appropriate. Novation agreements will be used only when requested by NREL's commercial partner or when the specific agreement does not provide for assignment. This phased approach will allow the Alliance to ensure that all subcontracts and agreements necessary for mission and/or operational needs are available when the Alliance takes over responsibility management and operation of NREL.

To facilitate our ability to rapidly initiate its deployment activities, the Business Management Systems SME, assisted by NREL Senior Patent Counsel, will ensure the transfer of title to NREL IP (subject to the Government's retained rights) which includes 169 issued U.S. patents, 60 issued Foreign patents, 70 pending U.S. Patent Applications, 9 pending U.S. Provisional Patent Applications, 87 pending Foreign Patent Applications, and 21 pending Patent Cooperation Treaty Applications; 13 registered copyrights; and 7 registered U.S. trademarks owned and/or controlled by MRI, MRI Ventures (MRIV) and/or NREL to the

Alliance. Within the first 30 days of transition, we will prepare the necessary paperwork to initiate the process of transferring title to this IP. Actual transfer will commence immediately after the completion of transition by the appropriate filing of the assignment and/or recordation documentation in the United States Patent and Trademark Office (or U.S. Copyright Office) and other pertinent foreign patent offices as appropriate.

Although these filings and/or recordation are not a transition requirement, our goal is to complete the transfer of title of IP to Alliance as soon as possible after we assume management and operational responsibility for NREL so that we can demonstrate to potential collaborators that we have clear title to this IP, particularly with respect to foreign rights. The assignment and/or recordation (a legal formality) within the various foreign jurisdictions associated with the IP identified above will take 60 to 90 days in view of the differing legal requirements within the various foreign jurisdictions.

For transition regulatory permits, we will prepare the necessary papers, and submit them for DOE review and approval, notifying all cognizant regulatory agencies of the change in operational responsibility for those permits and/or notification and registration requirements currently in the name of NREL and SERI. A detailed list of these permits and notifications is contained in **Appendix E**. After consultation with appropriate members of the DTT and within the first 7 days of the transition, the EHSS&Q Team, assisted by Business Management Systems SME and Legal Counsel, as necessary, will make initial contact with each cognizant regulatory agency by Day 20 to inform them of our pending responsibility for management and operation of NREL, and to address any changes in POCs, to elicit any concerns, and to discuss the proposed path forward for revising the permit or notification and registration requirement. We will provide the DTT with drafts of all proposed documents effectuating the requisite changes no later than Day 30; and upon receipt of DOE approval, these permits and notifications will be transmitted to the cognizant regulatory agencies. We will complete all activities for which Alliance is solely responsible by Day 45 and provide DOE's Transition Manager with any assistance required to assure that the 4 permits currently jointly held by DOE and MRI are successfully reissued to DOE and the Alliance by the end of Transition.

**E. Joint Reconciliation of Property Inventory (JRPI) (WBS 1.5).** The Business Management Systems SMEs will initiate planning for the requisite JPRI to cover approximately 11,500 items valued at approximately \$132 million located both on- and off-site with cognizant personnel from the MRI and NREL within the first 10 days of transition - with the expectation that this plan will be complete by Day 20.

Given our corporate knowledge of NREL's currently approved property management system and the fact that NREL will be conducting a wall-to-wall inventory of all property on the NREL site, including obtaining written certifications from all subcontractors and/or technology transfer partners who have NREL-assigned property at their facilities (scheduled to be completed by the end of FY08), we are prepared, subject to Contracting Officer (CO) approval, to accept the transfer-in-place of all sensitive items and other property on the NREL books without a JPRI.

**F. Litigation Management (WBS 1.6).** As of the date of submittal of our offer, there is no current on-going litigation involving MRI's M&O of NREL. If any litigation is subsequently filed, Alliance (subject to DOE approval), will accept full responsibility for such litigation and seek to have MRI removed as a party to the litigation.

**G. M&O Contract Financial Close-Out (WBS 1.7).** The Alliance and our parent organizations will fully cooperate with DOE by providing all the expertise and support needed to close out the existing M&O contract. These activities will be closely integrated with the current NREL staff to minimize disruption of on-going operations. To ensure that all financial activities necessary for a smooth, effective, and complete transition are accomplished, we will take the following actions:

- Establish the process to transition all financial balances and transactions including the Standard Accounting & Reporting System, foreign travel, Facility Management Information System, and EERE's Basic and the Applied R&D Integration/Corporation Planning System

- Identify all outstanding claims and initiate the preparation of final settlements with subcontractors and vendors
- Identify assignments of refunds, rebates, and credits, if applicable
- Initiate discussions with DOE regarding settlement of final indirect rates
- Initiate patent clearance for subcontracts containing intellectual property provisions.

**H. Human Resources (WBS 1.8).** The Alliance HR transition lays the longer-term foundation for the creation of a work environment that fosters open communication, fair and equitable performance management, mission-focused rewards and recognition, an innovative scientific culture, and the opportunity for professional growth and development to attract and motivate a highly skilled, diverse workforce. An orientation session for the Alliance Transition Team will be scheduled within the first 7 days of transition to ensure that all new Key Personnel, other new Alliance leadership including our VP for Commercialization; VP for Deployment and Industrial Partnerships; Director of Environment, Health, Safety, Security, and Quality; ALD for Renewable Electricity and Building Systems; and MRI/Battelle SMEs complete necessary Safety/Security, HR, and IT training to meet all laboratory safety, computer access, security, and badging requirements.

In addition to completing all activities necessary to fully transition the existing 1,200-member workforce (including post-docs) (see Figure AttA-5 below) the HR Team (as part of the Business Management Systems Team's gap analysis) will evaluate the effectiveness of existing HR systems. This assessment will begin on Day 10 and will be completed by Day 30. Results will be documented and provided to the Alliance leadership.

During transition, we will ensure that any necessary benefits changes are comparable to the prior offerings and will focus specific communication to incumbent staff on this subject.

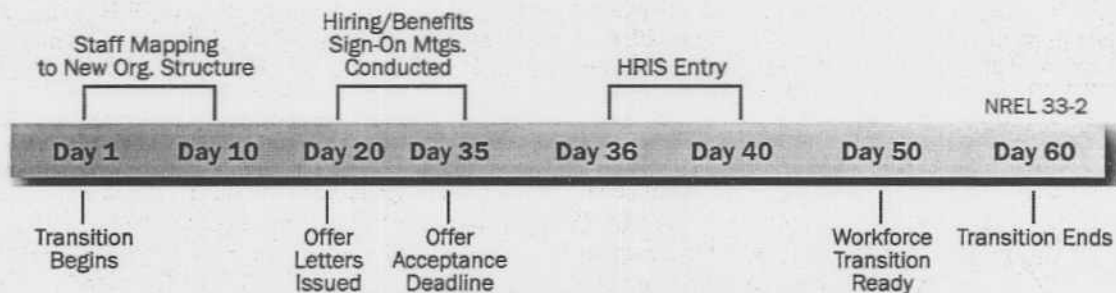


FIGURE ATT A-5. HR WORKFORCE TRANSITION TIMELINE

In addition, the HR Transition Team will ensure that the following HR plans are completed during Transition as follows:

- **Workforce Plan.** This plan will be completed by Ms. Penny Burton, an HR Strategic Talent Acquisition Manager with 30 years of relevant experience, including 8 years with MRI. She will (in collaboration with the Alliance's Executive Management Team), ensure that the Workforce Plan is completed by Day 30 of transition and submitted to the Alliance's Transition Manager for transmittal to DOE. The Plan will include: a) an analysis of the critical skills needed at NREL to support the new mission; b) a review of the current status of critical skills present at NREL and c) the identification and recruitment strategy for missing critical skills needed to achieve mission goals and d) retention strategy for critical skills.

In addition, the Workforce Plan will include the strategy and approach to use joint appointees, including NREL staff appointments at universities and reciprocal university faculty appointments at NREL.

- **Human Resources Compensation Plan.** Ms. Linda Evans, MRI's HR Director, will be responsible for ensuring that the HR Compensation Plan fully describes Alliance's policies regarding cost-effective compensation and benefit management programs that support the recruitment and retention of the existing and next generation workforce. This Plan will include a market-based compensation/benefits program that entails both the framework for pension and health/welfare benefits and the strategic framework of the Total Compensation package applicable to both incumbents and new hires.

Our cost-reimbursable level two Incentive Compensation (IC) strategy and approach also will be outlined in this Plan. Alliance's Board of Directors, in conjunction with the Laboratory Director, will ensure that the IC goals are strategically aligned to support NREL's mission accomplishment and will approve all IC actions. This program will be supplemented as appropriate by the respective parent organizations using nonreimbursable funds.

The Alliance will complete the HR Compensation Plan through a comprehensive evaluation process including: (1) review of the current compensation system to determine if sufficient alignment exists between the competitive market as well as the Alliance's HR recruitment/retention strategy; (2) review of market survey participation to determine if the current comparator group is still competitively aligned with NREL's critical skills markets; (3) analysis of internal equity; and (4) analysis of compensation "best practices" through active participation in Battelle's Compensation "Communities of Practice" group. This plan will be completed by Ms. Rochelle Anderson, Senior HR Generalist, and submitted to the Alliance's Transition Manager for transmittal to DOE on Day 55 of Transition.

Current staff health/welfare benefits are provided via MRI "umbrella" contracts with Blue Cross/Blue Shield of Kansas City (medical), Cigna (dental), VSP (vision) and Discovery Benefits (flexible reimbursement, COBRA). We are not anticipating any carrier changes during transition, which will minimize the expense of creating new plans or negotiating new benefit subcontractors. The current defined benefit and defined contribution plans available to both incumbent and new staff will continue largely unchanged. The new Alliance plan will be comparable to the existing plan. As required by Section H.24 in the RFP, Ben-Val comparators will be evaluated to ensure competitive market alignment. In addition, we will outline our plan to offer staff access to Retiree Medical benefits at reduced rates under an access plan and at no cost to DOE. We anticipate this new offering will support DOE's objective to attract/hire and retain talented staff to support mission outcomes.

The Total Compensation package will be augmented significantly by addition of a new Recruiting and Retention Toolkit, a mechanism to provide (for example): Outcome based performance bonuses to staff, retention bonuses for critical skills, exceptional relocation costs, and educational loan repayment. This toolkit supports NREL's strategy to recruit/retain critical skills. In addition, the existing compensation structure will be reviewed to ensure appropriate career pathing and market mapping exists to enable achievement of NREL's missions.

### III. Other Required Plans/Deliverables and Schedule (WBS 1.9)

In addition to the two HR plans required in the RFP (Section H): (1) Compensation Plan and (2) HR Workforce Plan, there are 18 plans or deliverables identified in the RFP Part III Section J. Four of these



deliverables are being submitted as part of our proposal: (1) Transition Plan, (2) Key Personnel Matrix, (3) Small Business Subcontracting Plan, and (4) Performance Guarantees.

Four other Section J attachments identify laws, regulations or other requirements for contact compliance: (1) Applicable Laws and Regulations, (2) Operating and Administrative requirements, (3) Sensitive Foreign National Control, and (4) Subcontracts, Purchase Orders, and Other Actions Requiring DOE Review and Approval and Other Agreements Between the Parties. We have reviewed these requirements and the existing NREL Requirements Management System currently has policies, procedures, and forms in place that comply with these requirements (with the exception of DOE Directive 442.1A Employee Concerns Program). We will continue to keep these policies, procedures, and forms in place and operable. Additionally, on at the end of Transition, we will map ownership and responsibility to the new organizational structure and make all other changes necessary to further ensure currency and compliance. For those policies and procedures that are not in the current contract, we will develop and deliver to DOE our planned implementation in a timeframe so that they can be in place immediately after DOE concurrence.

There are an additional 10 plans contained in Section J due after contract award. We will complete seven of the 10 required Section J plans/activities by Day 30 of Transition. Completing these plans early will give DOE the added time benefit to review/approve these plans (as needed) prior to contract takeover. **Figure AttA-6** identifies each of these Section H and Section J requirements by Plan Title, Responsible Individual, RFP Reference, and Scheduled Submittal Date.

Plan Title	Responsible Individual	RFP Ref.	Submittal Date
Human Resources Compensation Plan	Evans	H.3/H.24	Day 55
Human Resources Workforce Plan	Burton	H.24	Day 30
Special Financial Institutions Account	Leaumont	Section J, Att..D	Day 15
Performance Evaluation Management Plan	Garrett	Section J, Att..J	Day 55
Diversity Plan	Killough	Section J, Att.K	Day 45
Employee Concerns Program Implementation Plan	Silbergleid	Section J, Att.L DOE 0442.1ACRD H.28	Day 30
Equal Opportunity Program (Plan)	Killough	Section J, Att.M	Day 45
Supplemental Requirements to Laws, Regulations, and DOE Directives	Shular	Section J, Att..N	Day 15
Commercialization Plan	Porto	Section J, Att.O	Day 30
Five Year Strategic Plan	Garrett	Section J, Att.P	Day 30
Organizational COI Management Plan	Silbergleid	Section J, Att.Q	Day 25
Organizational COI Implementation Plan	Silbergleid	Section J, Att..R	Day 25

references in this section refer to the attachment references used in Part III, Section J of the RFP. NREL 38-12

**Special Financial Institutional Account Agreement For Use With the Payments Cleared Financing Agreement (SFIAA) (Attachment D)**—During the first week of transition, we will discuss with appropriate members of the DTT a suggested path forward to procure the SFIAA required by Clause H.25 (Special Financial Institutional Account Agreement). Our preliminary approach, subject to CO approval, is to negotiate a new, short-term (6 months to a year) SFIAA with U.S. Bank, the current holder of the SFIAA for NREL, on comparable terms. This action will give us sufficient time to plan and execute a competitive procurement for a SFIAA with a 2-year term, with an option to extend for up to an additional 3 years. If the CO approves this approach, we will present an SFIAA for DOE execution within one week of receiving DOE approval. This will ensure that DOE's CO can modify the Alliance's contract for management and operation of NREL to include the SFIAA as Attachment D no later than the end of transition. Mr. Jeff Leumont (Battelle), Finance SME, will work with the Transition Team member and incumbent staff to ensure all necessary actions occur.

**Performance Evaluation Management Plan (Attachment J)**—This Plan will be completed by Ms. Bobi Garrett, Senior Vice President for Integrated Planning, Analysis, and Assessment and delivered to the DTT on Day 55 of transition. The first year's plan will cover November 9, 2008, through September 30, 2009, and will be based on the suite of performance objectives, measures, and targets for each Mission and Operational Performance Goal [C.5 (a)(1)-(4) and (C.5 (a)(5)-(8), respectively]. Ms. Garrett (with the support of Ms. Sue Hock, NREL's Laboratory Development Manager) will engage all members of our EMT as well as DOE GO staff to effectively complete this Plan. We anticipate that DOE review/approval of this Plan will be completed post-transition. Upon DOE approval, this Plan will be incorporated by modification into our contract.

**Diversity Plan (Attachment K)**—After an initial meeting with the DOE/GFO EEO Officer (anticipated to be in the first 2 weeks of transition), this Plan will be submitted on Day 45 to the Alliance Transition Manager for submittal to DOE. NREL's HR Director, Ms. Olivia Killough, will ensure timely completion of this Plan, with support from the HR Team. The first year's plan will cover January 1, 2009 through December 31, 2009, and will include a review of existing diversity programs (such as workforce retention and pipeline, educational outreach, community involvement/outreach, subcontracting, technology transfer and partnerships) to determine alignment with NREL's new mission/vision. This Plan also will be integrated with our EEO/Affirmative Action plan and Workforce Plan in areas such as recruitment, development, training, and retention of a qualified, diverse workforce.

**Employee Concerns Program Implementation Plan (Attachment L)**—This plan will be submitted on Day 30 of Transition and will be completed by NREL's Chief Counsel, assisted by our Laboratory Director, EHSS&Q Director, and corporate SMEs. A review will be performed of the existing NREL employee concerns program and a meeting held with DTT personnel by Day 10 to elicit any comments/concerns they may have on the existing employee concerns program. Thereafter, a draft Plan will be prepared for internal review and command by the Deputy Laboratory Directors, Senior Vice Presidents, ALDs, Vice Presidents, Ombudsman, and Directors. Upon finalization of comments, the Plan will be approved by the Deputy Laboratory Director/COO and delivered to our Transition Manager for transmittal to DOE's CO on Day 30. This early delivery is designed to provide sufficient time for DOE review and approval so that DOE's CO can modify our contract for management and operation of NREL to include Attachment L by the end of transition.

**Equal Opportunity Program (Plan) (Attachment M)**—Following an initial meeting with the DOE/GFO EEO Officer (anticipated to be in the first 2 weeks of transition), NREL's HR Director, Ms. Killough, will ensure that this Plan is completed (with support from the HR SME team). We will deliver this Plan to the Transition Manager for submittal to DOE by Day 45. This Plan (which will be integrated with the Diversity and Work Force Plans) will outline the EEO/affirmative action initiatives that will be implemented to attract, develop and retain qualified minorities, women, persons with disabilities, and covered veterans). To complete this Plan, "good faith efforts" will be reviewed to determine effectiveness. The first year's Plan will cover January 1, 2009 through December 31, 2009.

**Supplemental Requirements to Laws, Regulations, and DOE Directives (Attachment N)**—This Attachment, which will be completed and submitted on Day 15 of transition, will be completed by the Business Management Systems SME Team Lead (Mr. Jeff Shular), assisted by transition Legal Counsel and staff from NREL's Office of Requirements Management as well as SMEs from Battelle and MRI. We will review all DOE Directives, including the DOE Contract Requirements Documents (CRDs) in Section III, Attachment F, as well as the concurrence analyses previously done by NREL, to determine whether each analysis is still valid. Upon completion of this review, a meeting (within the first 7 days) with appropriate members of the DTT to discuss the results of our review and to get initial DOE feedback. A draft Attachment N will be prepared, supplemented with the required concurrence analysis, and any assurance required by Clause H.18 and submitted to our Deputy Laboratory Directors, Senior Vice-Presidents, Associate Laboratory Directors, Vice-Presidents, Ombudsman, and Directors, as appropriate for review and comment. Upon finalization of comments, Attachment N will be approved by the Deputy Laboratory Director/COO and delivered to our Transition Manager for transmittal to DOE's CO on Day 15. This early delivery provides sufficient time for DOE review and approval so that DOE's CO can modify our contract for M&O of NREL to include Attachment N by the end of Transition.

**Commercialization Plan (Attachment O)**—This Plan will be completed and submitted on Day 30 of Transition by Ms. Casey Porto, our Senior Vice President for Commercialization and Deployment. She will be assisted by our Vice Presidents for Commercialization and Deployment and Industry Partnerships who possess in-depth knowledge of existing commercialization platforms within academic, national laboratory, Federal and state government, and industry. They will conduct an assessment of current NREL capabilities/activities as well as an initial briefing with DOE-GO to determine expectations of this plan by Day 15. A comparison sampling and "best practices" analyses also will be conducted within leading government laboratory and research university environments to provide the necessary plan framework. Ms. Porto will ensure this plan is completed and delivered to our Transition Manager for transmittal to DOE consistent with our schedule commitment. Early delivery will provide sufficient time for DOE review and approval so that DOE's Contracting Officer can modify our contract to include Attachment O by the end of transition.

**Five-Year Strategic Plan (Attachment P)**—This Plan will be completed by our Senior Vice President for Integrated Planning Analysis and Assessment (Ms. Bobi Garrett) with support from Ms. Sue Hock (NREL's Laboratory Development Manager) during the first 30 days of Transition. Ms. Garrett will engage all members of our Executive Management Team as well as DOE-HQ and DOE-Golden Office staff to effectively complete this plan. Ms. Garrett will submit this plan to our Transition Manager for transmittal to DOE. We anticipate that DOE review/approval of this plan will be completed post-transition.

**Organizational COI Management Plan (OCOIMP) (Attachment Q)**—This Plan, which will be prepared and submitted on Day 25 of transition, will be completed by the Alliance's Chief Counsel, assisted by a Senior Attorney from the NREL Legal Office who has in-depth knowledge of the existing OCOIMP and Organizational Conflict of Interest Implementation Plan (OCOIIP). Prior to drafting the OCOIMP, they will hold a meeting with appropriate DTT personnel (by Day 7) to elicit any comments/concerns with respect to NREL's existing OCOIMP and/or OCOIIP and/or issues, if any, that DOE perceived with our proposal from an OCI standpoint. After this meeting, they will draft the OCOIMP, which will be reviewed by NREL's Chief Counsel, and a briefing held (by Day 10) for our Laboratory Director, Deputy Laboratory Directors, and Senior Vice Presidents to obtain initial feedback.

Based on this feedback, we will make appropriate revisions and circulate the revised draft (by Day 10) for internal review and comment by our Laboratory Director, Deputy Laboratory Directors, Senior Vice Presidents, Associate Laboratory Directors, Vice Presidents, and Directors for Contracts, Human Resources, and Communications. By Day 15, we will send the draft OCOIMP for review by our corporate parents, MRI and Battelle, since the Plan will address potential interactions between the corporate parents and NREL. Based on feedback received, we will prepare a final document for review by the General Counsel, and then brief the Plan, by Day 20 to the Laboratory Director, Deputy Laboratory Directors, and Senior Vice Presidents and the Chair and Vice Chair of our Board of Directors.

The OCOIMP will then be approved by the Laboratory Director and forwarded to our Transition Manager for delivery to DOE's CO on Day 25. This early delivery provides sufficient time for DOE review and approval so that DOE's CO can modify our contract for M&O of NREL to include Attachment Q by the end of transition.

**Organizational COI Implementation Plan (OCOIP) (Attachment R)**—This Plan, which will be prepared and submitted on Day 25 of transition, will be completed by the Alliance's Chief Counsel, assisted by a Senior Attorney from the NREL Legal Office with in-depth knowledge of the existing OCOIP. This new OCOIP will subsume the existing three Supplemental Plans for Solar, Biomass, and Site Operations, as well as any other Supplemental Plans issued by NREL and approved by DOE subsequent to proposal submission. The approach for preparing the OCOIP, including interactions with the DTT, schedule for the development and internal review of the OCOIP, and the internal review process, including review participants, is identical to that described above for the OIOIMP. The OCOIP will then be approved by the Laboratory Director and forwarded to our Transition Manager for delivery to DOE's CO on Day 25. This early delivery provides sufficient time for DOE review and approval so that DOE's CO can modify our contract to include Attachment R of NREL by the end of Transition.

#### **IV. Overall Schedule**

A detailed schedule of proposed activities to occur during transition is provided in **Appendix F—NREL Transition Plan Work Breakdown Structure and Detailed Schedule**.

**Appendix A—Transition Team  
Point-of-Contact List**



## Transition Team Point-of-Contact List

### Appendix A

Alliance SE				DOE – Golden Office			
Name	Team function	Business phone	Name	Team function	Business phone		
Adams, Kim	Communications Support	303-275-3614					
Arvizu, Dan	Lab Director	303-275-3011					
Bellows, Jerry	Deputy Transition Mgr.	303-275-3093					
Cook, Linda	Communications Support	816-360-1943					
Evans, Linda	HR Support	816-360-5293					
Farris, Bill	Mission Activities Support	509-375-2747					
Gantos, Joe	EHS&Q Lead						
Garrett, Bobi	Mission Activities Support	303-275-3070					
Robert Hawsey	S&T/C&D Team Support						
McGrath, Robert	Mission Activities Lead						
Jarrett, Peg	Transition Mgr.						
Killough, Olivia	HR Support	303-275-3013					
Missett, Pam	HR Lead						
Noun, Bob	Communications Lead	303-275-3062					
Novotny, Kevin	Business Management Systems Support	303-275-4502					
Pacheco, Michael	Mission Activities Support						
Parrofin, Lyia	IT Lead	816-360-1933					
Porto, Casey	Mission Activities Support						
Shular, Jeff	Business Management Systems Lead	816-547-8474					
Silbergield, Steve	General Counsel	303-384-7416					

## Appendix B—Potential Issue Form

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## Appendix B

Potential Issue Form

PI # \_\_\_\_\_

Status: In Review / Open / Closed

Organization/Program affected (if any): \_\_\_\_\_

Identified by: \_\_\_\_\_ Date: \_\_\_\_\_

Preliminary assessment of impact:  
Critical Issue? Yes or No

Pre-Existing condition? Yes or No

Potential Issue Title: \_\_\_\_\_

Description of the Issue: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Check All Criteria that Apply

- Imminent risk (to workers, public or environs)
- Unacceptable security risk
- Needed for clear roles and responsibilities
- Financial and business systems functionality
- Unacceptable regulatory/financial/legal risk

Describe the Potential Impacts:

(e.g. schedule, durations, critical path, etc.)

Schedule Impacts

- Minor, Less than 2 weeks
- Marginal, 2 weeks to 1 month
- Moderate, 1 to 3 months
- Significant, 3 to 9 months
- Critical, Greater than 9 months

Baseline Cost Impact

- Minor, Less than \$50,000
- Marginal, \$50,000 to \$100,000
- Moderate, \$100,000 to \$250,000
- Significant, \$250,000 to \$750,000
- Critical, Greater than \$750,000

Proposed Resolution/Mitigation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Resolution Accepted by: \_\_\_\_\_ Date: \_\_\_\_\_



# Appendix C—Current NREL Business Management Systems and Subsystems

## Current NREL Business Management Systems and Subsystems

**Appendix C - Current NREL Business Management Systems and Subsystems**

**Requirements Management**

- NREL Policies and Procedures Manual
- Requirements Management System
- Director's Office Tracking System

**Contracts and Business Services**

- Purchasing (Oracle ERP)
- Subcontract Invoice Tracking and Payment

**Finance**

- Finance (Oracle ERP)
    - General Ledger
    - Project Accounting
    - Accounts Payable
    - Billings and Accounts Receivable
    - Accruals
    - I-Expense
    - Web ADI
    - Fixed Assets
    - Cash Management
    - Recharges
    - FAMIS Recharges
    - BRIO Reporting
    - FTE
    - STARS
    - Document Imaging
    - E-Stubs
  - Payroll
    - Timecard Entry (Oracle)
    - Time Collection (Deltek)
    - Payroll (Ceridian)
  - Project Management
- Budgeting (Hyperion)  
Funding (Hyperion)
- Credit Card Programs
    - American Express Account
    - Employee Travel Cards
    - Purchase Cards
  - DOE Systems
    - STARS
      - Conference Management System
      - Foreign Travel System
      - FAMIS Reconciliation
      - BARDI/CPS (EERE)

**Information Services**

- NREL Enterprise Software System (Oracle ERP, Hyperion, Ceridian)
- Microsoft, UNIX, MacIntosh Systems
- Deltek System
- Cyber Security System
- Client Services Work Control Management
- Data Warehouse
- Integrated Library System
- Publications Database
- Inter-library Loan and Document Delivery

**Human Resources**

- Human Resources Information System (Oracle ERP)
  - Personnel
  - Compensation and Benefits
  - Recruiting
- Performance Measurement System<sup>a</sup>
- Applicant Tracking System (Brass Ring)<sup>b</sup>

**Legal**

- Patent Tracking System
- Organizational Conflict of Interest Program

**Environmental Safety and Health**

- Safe Operating Procedures Development and Tracking
- Chemical Management System
- Safety Inspection System
- Environmental Management

**Security and Emergency Preparedness**

- Badging (ID Works)
- Building Access (C\*Cure)
- Security Clearances

**External Affairs**—no dedicated business systems other than OPPs

<b>Technology Transfer</b> Opportunity Management System (MRI) <sup>b</sup> Intellectual Property Management (I.P. Manager) <sup>b</sup>
<b>Site Operations</b> Real Property Inventory (FIMS) Facilities Information Management Systems (FAMIS) Space Allocation Program Lease Agreement System Facilities Work Control Management
<b>Construction Management</b> Earned Value Management System
<b>Program Support</b> - no dedicated business systems other than OPPs
<b>Laboratory Development Office</b> Performance Evaluation and Measurement Process

<sup>a</sup> In procurement phase.

<sup>b</sup> In implementation phase.

**Appendix D—Mapping of Business Management  
Systems From NREL to Alliance  
(Exceptions Only)**

Appendix D. Mapping of Business Management Systems from NREL to Alliance (Exceptions Only)

Business Systems	Current NREL Org. Unit	Current Exec. Mgr.	Alliance Org. Unit	Alliance Exec. Mgr.
Requirements Management	ODLD	B. Glover	ODLD/COO/EHSS&Q	B. Glover
Information Services	ODLD/Information Services	B. Glover	ODLD/COO/Information Systems	B. Glover
Legal	OLD	D. Arvizu	OLD/Pres/General Counsel	D. Arvizu
Environment, Safety, Health, & Quality	OLD	D. Arvizu	ODLD/COO/EHSS&Q	B. Glover
Security and Emergency Preparedness	ODLD/Security and Emergency Preparedness	B. Glover	ODLD/COO/EHSS&Q	B. Glover
External Affairs	OLD	D. Arvizu	SVP/IPAA/Planning, Outreach, and Assessment	B. Garrett
Technology Transfer	Strategic Development & Analysis	B. Garrett	SVP/C&D/Commercialization	C. Porto
Site Operations	ODLD/Site Operations	B. Glover	ODLD/COO/Infrastructure and Campus Development	B. Glover
Construction Management	ODLD/Site Operations	B. Glover	ODLD/COO/Infrastructure and Campus Development	B. Glover
Program Support	ODLD/Program Support	B. Glover	ODLD/COO/Information Systems	B. Glover
Performance Evaluation & Measurement Process	Strategic Development & Analysis/Laboratory Development Office	B. Garrett	SVP IPAA/Planning, Outreach, and Assessment	B. Garrett

OLD = Ofc. of Laboratory Director.  
 OLD/Pres. = Office of Laboratory Director and President.  
 ODLD = Ofc. of Deputy Laboratory Director.  
 ODLD/COO = Ofc. of Deputy Laboratory Director & COO.  
 SVP IPAA = Senior VP for Planning, Outreach, and Assessment.  
 SVP C&D = Senior VP for Commercialization and Deployment.

## Appendix E—NREL Permits

Appendix E - NREL Permits

Type	Number	Permit holder	Permit type	Issuing agency name	Permit description	Location description
Permit	99JE0400	DOE / NREL	Air	CDPHE	TCPDU air emissions	STM
Permit	07JE0277	DOE / NREL	Air	CDPHE	RFHP Construction Permit, Initial Approval	STM
Permit	P15-07-00003	NREL		USDA APHIS	Surgarcane Bagasse	STM
Permit	PDEP-06-00178	NREL		USDA APHIS	Oryza sativa leaves and stems	STM
Permit	PDEP-07-00222	NREL		USDA - APHIS	Wheat Streams	STM
Permit	04JE1442L	NREL / DOE	AIR	Colorado Dept. of Public Health and Environment (CDPHE)	Air Emission Permit for Land Development (fugitive dust from construction activities)	NWTC site
Permit	04JE1443L	NREL / DOE	AIR	CDPHE	Air Emission Permit for Land Development (fugitive dust from construction activities)	STM site
Permit	37232	SERI	Groundwater Monitoring Well	Colo. Div. Of Water Resources	Permit to Construct a Well (MW-1)	STM
Permit	37229	SERI	Groundwater Monitoring Well	Colo. Div. Of Water Resources	Permit to Construct a Well (MW-2)	STM
Permit	37228	SERI	Groundwater Monitoring Well	Colo. Div. Of Water Resources	Permit to Construct a Well (MW-3)	STM
Permit	37231	SERI	Groundwater Monitoring Well	Colo. Div. Of Water Resources	Permit to Construct a Well (MW-4)	STM
Permit	37230	SERI	Groundwater Monitoring Well	Colo. Div. Of Water Resources	Permit to Construct a Well (MW-5)	STM
Notification and	2873-001	DOE	Aboveground Storage Tank	Colorado Dept. of Labor & Employment	Registration of aboveground storage tanks	STM--SERF Emergency

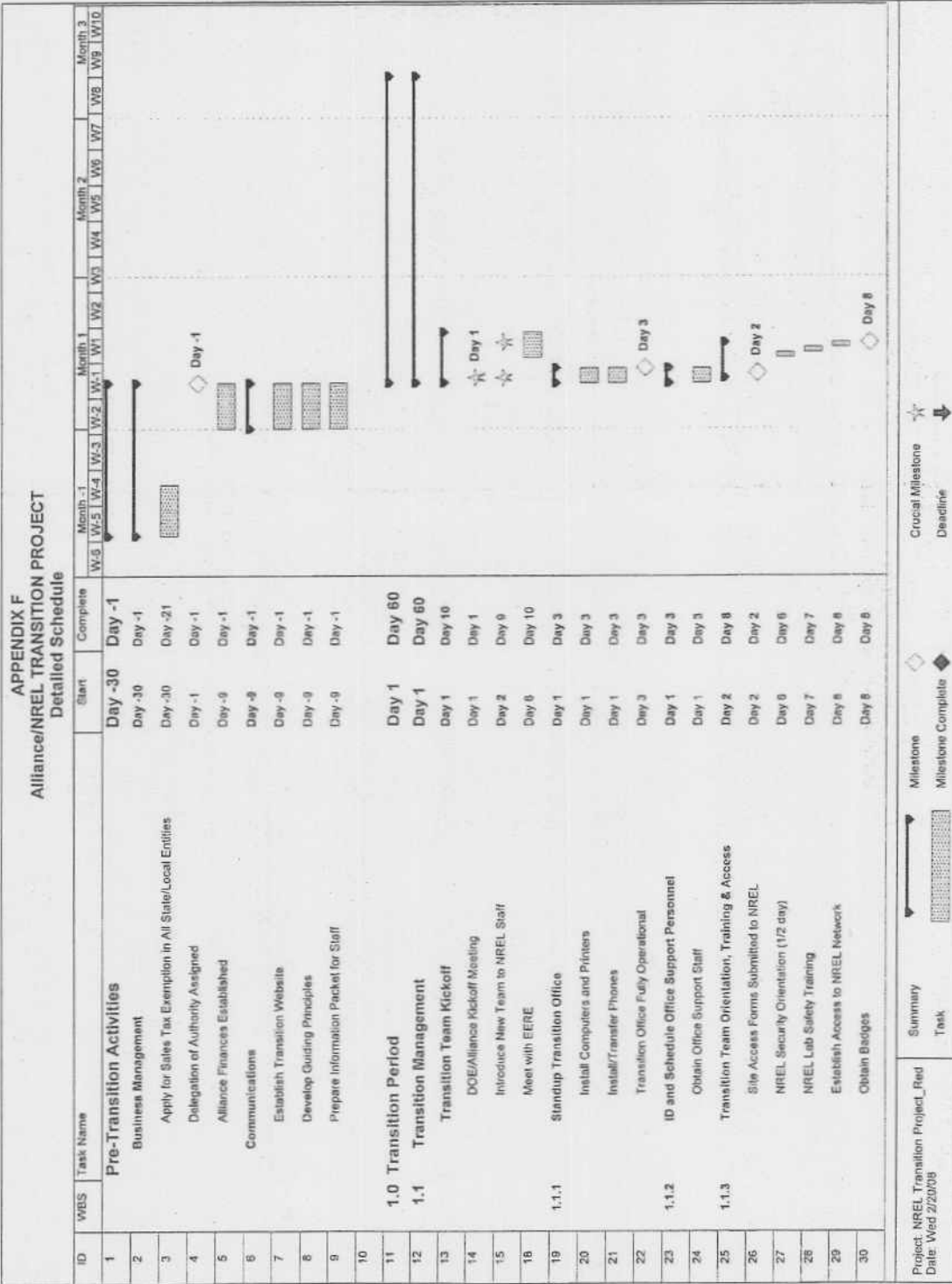


Type	Number	Permit holder	Permit type	Issuing agency name	Permit description	Location description
Registrations and Registrations	2873-002	DOE	Aboveground Storage Tank	Colorado Dept. of Labor & Employment	Registration of aboveground storage tanks	Generator Tank STM--PDU Ethanol Storage Tank
Notification and Registrations	93000378	DOE	Historic Registration	National Park Service	National Register of Historic Places	Colorado Amphitheater
Notification and Registrations	93000379	DOE	Historic Registration	National Park Service	National Register of Historic Places	Ammunition Igloo
Notification and Registrations	AFP-CO-00255	DOE	Alcohol	Alcohol & Tobacco Tax and Trade Bureau	Alcohol Producer's Permit	AFUF (PDU)
Notification and Registrations	TF-CO-0331	DOE	Alcohol	Alcohol & Tobacco Tax and Trade Bureau	Industrial Alcohol User Permit	NREL-wide
Notification and Registrations	COR10000F	DOE	Notice of Intent (NOI)	EPA	Stormwater Discharges Associated with Construction Activity Under an NPDES General Permit	S&TF
Notification and Registrations	COR10CA3F	DOE	Notice of Intent (NOI)	EPA	Stormwater Discharges Associated with Construction Activity Under an NPDES General Permit	NWTC Quonset
Notification and Registrations	PWSID Number CO0230860	DOE / NREL	Drinking Water	CDPHE	Non-community supply of hauled water from a surface water source	NWTC site
Notification and Registrations	N/A	MRI	Transportation	U.S. Department of Transportation	Hazardous Materials Certificate of Registration	NREL-wide
Notification and Registrations	001	NREL	AIR: Ozone Depleting Substances	CDPHE	Registration of stationary appliances (2 SERF chillers)	SERF

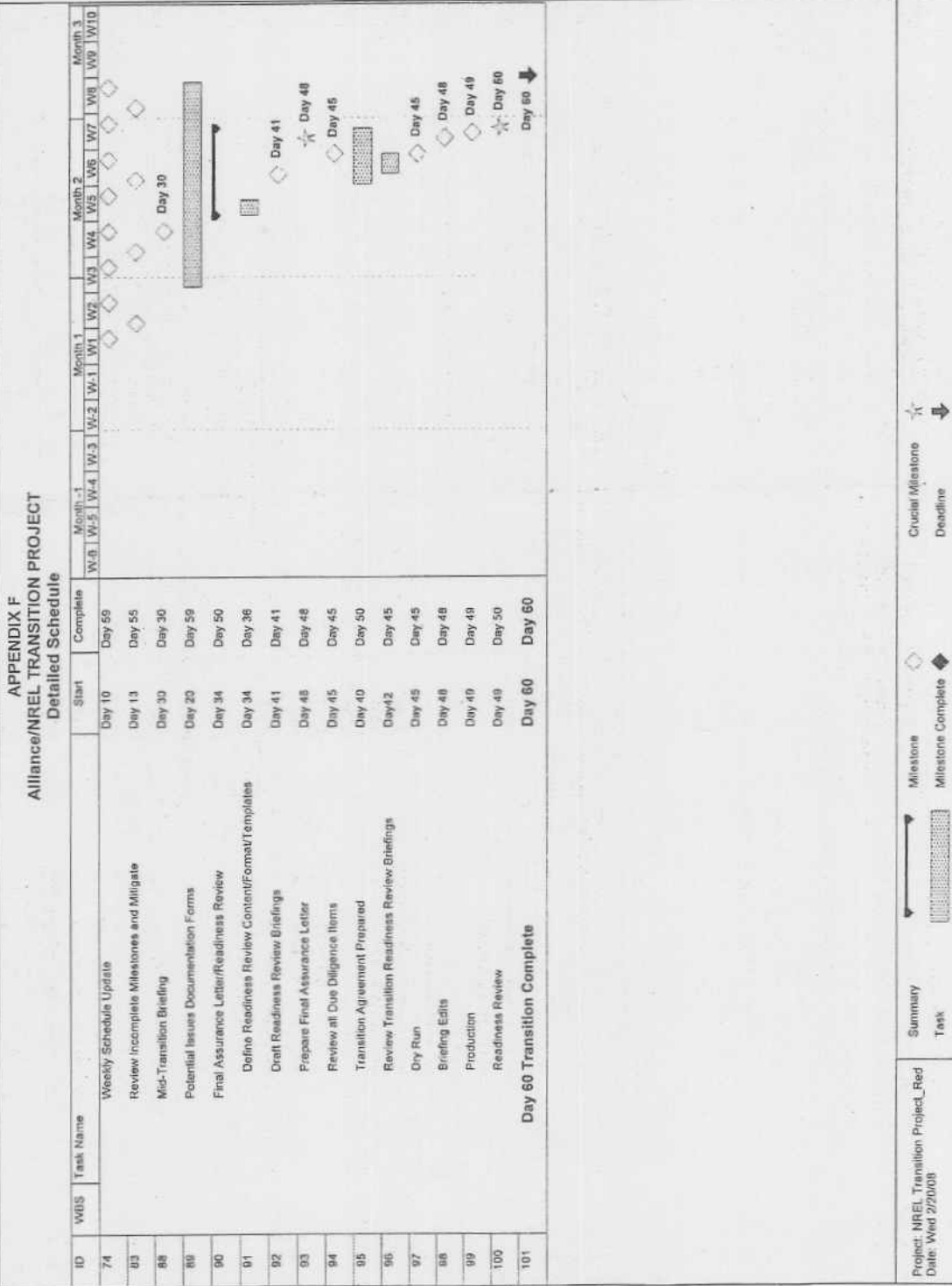
Type	Number	Permit holder	Permit type	Issuing agency name	Permit description	Location description
Notification and Registrations	002	NREL	AIR: Ozone Depleting Substances	CDPHE	Registration of stationary appliances (2 SERF chillers)	SERF
Notification and Registrations	N/A	NREL	AIR: Ozone Depleting Substances	CDPHE	Facility Notification	STM, NWTTC
Notification and Registrations	1	NREL	AIR: Ozone Depleting Substances	CDPHE	Registration of stationary appliance (chiller in DWOP)	DWOP
Notification and Registrations	85936	NREL	Registration	CDPHE	X-Ray Machine Certification Report	SERF
Notification and Registrations	85937	NREL	Registration	CDPHE	X-Ray Machine Certification Report	SERF
Notification and Registrations	85938	NREL	Registration	CDPHE	X-Ray Machine Certification Report	SERF
Notification and Registrations	92056	NREL	Registration	CDPHE	X-Ray Machine Certification Report	SERF
Notification and Registrations	COR10000F	NREL/MRI	Notice of Intent (NOI)	EPA	Stormwater Discharges Associated with Construction Activity Under an NPDES General Permit	S&TF
Notification and Registrations	COR10CA2F	NREL/MRI	Notice of Intent (NOI)	EPA	Stormwater Discharges Associated with Construction Activity Under an NPDES General Permit	NWTTC Quonset
Notification and Registrations	CO4890000017	US DOE / NREL	Hazardous Waste	CDPHE	Notification of Regulated Waste Activity	DWOP

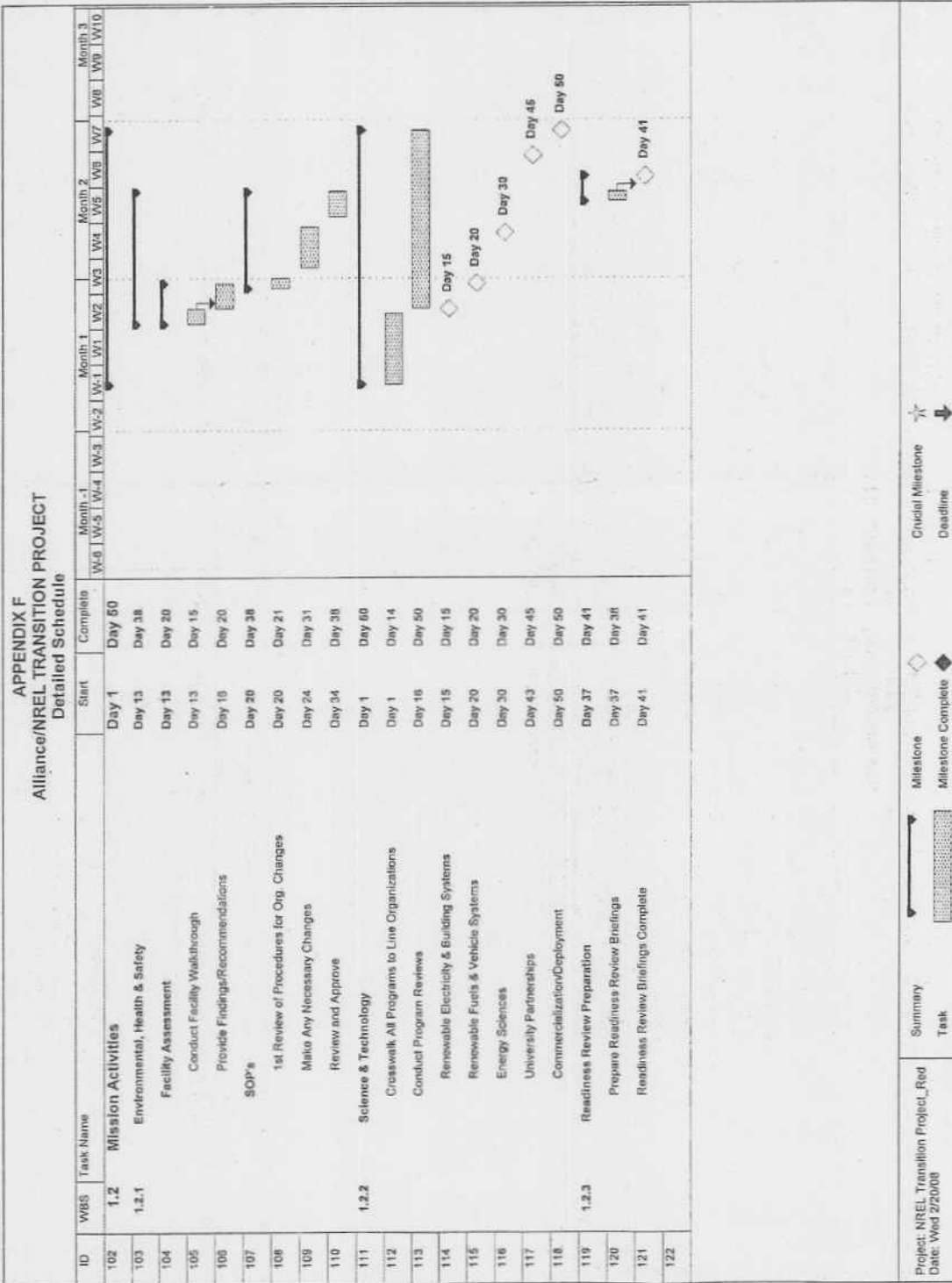
Type	Number	Permit holder	Permit type	Issuing agency name	Permit description	Location description
Notification and Registrations	CO3890090076	US DOE / NREL	Hazardous Waste	CDPHE	Notification of Regulated Waste Activity	STM
Notification and Registrations	COD980805162	US DOE / NREL	Hazardous Waste	CDPHE	Notification of Regulated Waste Activity	JSF
Notification and Registrations	COD983802448	US DOE / NREL	Hazardous Waste	CDPHE	Notification of Regulated Waste Activity	NWTC
Notification and Registrations	COR000207563	US DOE / NREL	Hazardous Waste	CDPHE	Notification of Regulated Waste Activity	ystem

## Appendix F—NREL Transition Plan Project and Detailed Schedule





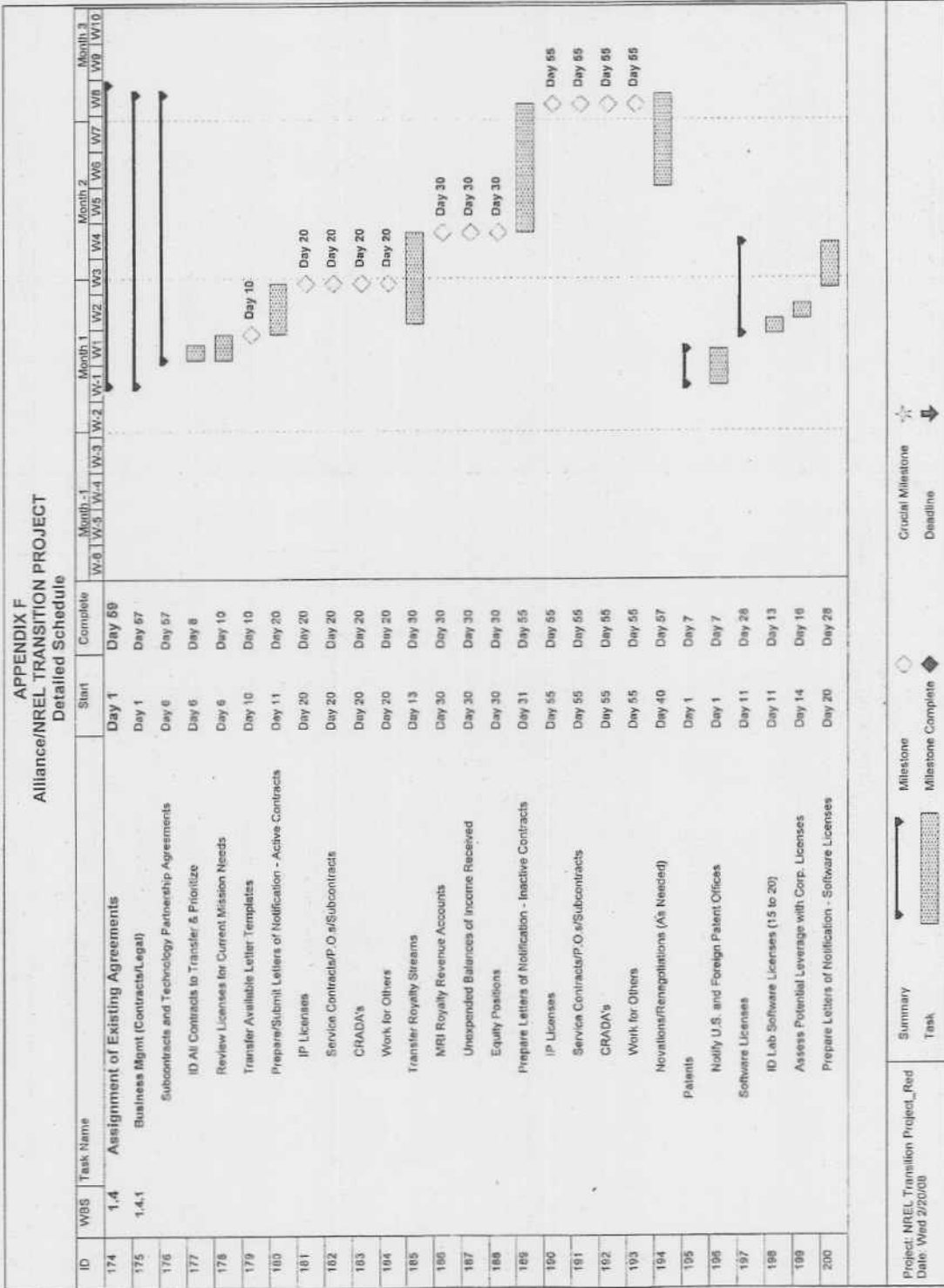












Project: NREL Transition Project\_Red  
Date: Wed 2/20/08

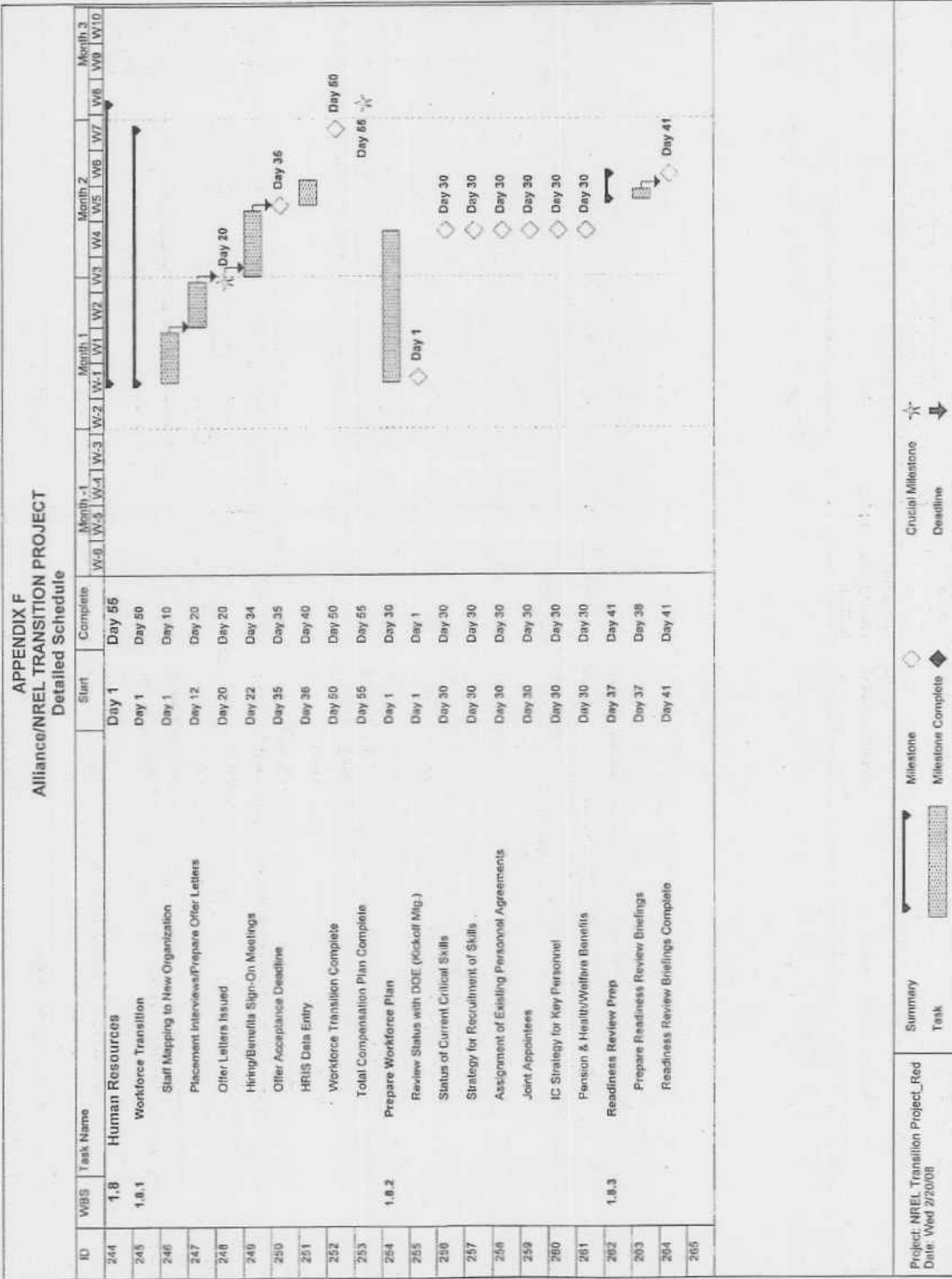
Summary  
Task

Milestone  
Milestone Complete

Crucial Milestone  
Deadline







APPENDIX F  
Alliance/NREL TRANSITION PROJECT  
Detailed Schedule

ID	WBS	Task Name	Start	Complete	Month																
					Month -1	Month 1	Month 2	Month 3													
266	1.9	Other Plans and Deliverables	Day 1	Day 59	W-6	W-5	W-4	W-3	W-2	W-1	W1	W2	W3	W4	W5	W6	W7	W8	W9	W10	
267		Special Financial Institutions Account Agreement (H.125)	Day 1	Day 15																	
268		Performance Evaluation Mgmt Plan (H.13)	Day 1	Day 55																	
269		Diversity Plan (J, Alt. K)	Day 1	Day 45																	
270		Employee Concerns Program Implementation Plan (H.28)	Day 1	Day 30																	
271		Equal Opportunity Program Plan (J, Alt. M)	Day 1	Day 45																	
272		Supplemental Requirements	Day 1	Day 15																	
273		Commercialization Plan	Day 1	Day 30																	
274		5-Year Strategic Plan (H.12)	Day 1	Day 30																	
275		OCI Management Plan (H.26)	Day 1	Day 25																	
276		OCI Implementation Plan (H.26)	Day 1	Day 25																	

Project: NREL Transition Project\_Red  
Date: Wed 2/20/09

Summary Task

Milestone Milestone Complete

Crucial Milestone Deadline