

Office of Chief Counsel
Office of Science - Chicago Office

**Customer Service Plan
Fiscal Year 2013**



Kimberly Donham
Acting Chief Counsel

Approved: _____

A handwritten signature in black ink, appearing to read "Kimberly Donham", written over a horizontal line.

Kimberly Donham

OCC Revision History

TITLE: OCC Customer Service Plan

POINT OF CONTACT: Michelle Galbert, OCC

SCMS MANAGEMENT SYSTEM:

TO BE UPDATED: As Needed

REVISION	DATE	REASON/DRIVER	DESCRIPTION
0	Oct 2005	OCC Performance Plan	New requirement
1	June 2010	Update	Updated performance target information
2	January 2011	Update	Updated performance target information and adjust to new CH template
3	February 2011	Update	Update Customers Information to Change Site Offices to External Customers
4	October 2011	Update	Update performance target information for FY12
5	December 2012	Update	Update performance target information for FY13

OFFICE OF CHIEF COUNSEL CUSTOMER SERVICE PLAN

Who We Are

The Office of Chief Counsel (OCC) reports to the Office of the Manager, Chicago Office (CH) and is currently made up of 18 attorneys and 7 non-attorney staff members. In addition to our Chief Counsel, we have two Deputy Chief Counsels who supervise the day-to-day activities of our General Law Division and the Intellectual Property Law Division. Most of OCC is physically located at CH, however, two OCC attorneys are physically located at the Brookhaven Site Office and another two attorneys are at the Berkeley Site Office. The mission of the OCC is to efficiently provide all legal functions, advice, and counsel necessary for effectively carrying out Department of Energy and CH missions and responsibilities.

Our Customers

OCC provides policy guidance, advice and assistance, and support to the CH Manager, CH business lines, CH contractors, CH employees, CH-supported Site Offices/employees and contractors, other DOE organizations and DOE external customers. OCC also provides legal advice on intellectual property matters to other DOE elements, as assigned. Direct support and assistance is also provided to the DOE Office of Science and the General Counsel, as requested.

Our customer base includes:

EXTERNAL TO CH	INTERNAL TO CH
HQ General Counsel	The Manager/Office of the Manager
SC and Other HQ Elements	Office of Acquisition and Assistance (ACQ)
Site Offices	SC-CH Matrix Organizations
Other DOE Field Elements	SC-CH employees (in their official capacities)
Department of Justice (DOJ)	
Freedom of Information Act//Privacy Act (FOIA/PA) Requesters	

Site Offices: ASO, BHSO, BSO, FSO, PSO, AMSO

SC Laboratories: PNNL, LBNL, ANL, BNL, PPPL, FNAL, Ames Laboratory

Non-SC Field Elements/Laboratories (IPL): ID, INL, RESL, EMCBC, GO, NETL (including Albany Research Center), NREL, WAPA, BPA and ORP

Products and Services

OCC provides its customers with the following products and services.

- Products – When requested, OCC provides all of its customers with documents that clearly reflect the advice it renders. Proposed revisions to documents and other written communications containing advice are accompanied by contact information for customer use in the event they have questions related to the advice rendered.
- Services – The services that OCC provides to all of its customers is high quality legal advice in the areas of General Law and Intellectual Property Law.

Customer Service Planning and Goals

OCC's policy is to fully incorporate sound customer service principles into the day-to-day work of each OCC employee, both attorney and non-attorney. To accomplish this, OCC will incorporate customer service standards into planning and operations, with the goal of providing "best in class" legal products, services and advice to our customers. OCC recognizes the critical role excellence in customer service plays in accomplishing our OCC mission, as well as the missions of our customers. OCC embraces the idea that "best in class" customer service and resulting customer satisfaction require organizational and individual commitment, are critical elements of individual and organizational performance, and must be given appropriate emphasis by OCC management and staff. The OCC customer service policy supports the CH Customer Service Policy, the Office of Science Strategic Plan, the DOE Strategic Plan, and the President's Management Agenda. OCC's commitment to providing "best in class" customer service will help to make accomplishing CH and DOE missions we support possible.

The OCC approach to customer service will include the following general standards:

- Professionalism, Customer Responsiveness, and Timeliness
 - OCC will meet deadlines and provide timely advice, both written and oral. -OCC staff will return telephone calls and emails promptly.
 - OCC staff will listen to our customers' concerns, will be courteous, professional and treat our customers with respect.
 - OCC staff will acknowledge our mistakes and prevent the same mistake in the future.
- Quality of OCC Services -OCC will deliver quality products and services that meet or exceed our customers' needs and expectations.
 - The knowledge and skill set of the OCC staff will meet or exceed the needs and expectations of our customers.
 - The OCC staff will be open to new ideas.
 - The OCC staff will provide creative problem solving for customer problems, create win-win solutions, provide viable alternative solutions, follow through, and learn from the experience.
 - OCC staff will identify problem situations up-front and propose workable solutions or options to resolve those problems before they arise.
 - The OCC staff will actively seek to understand our customers' business needs in

- order to serve them right the first time.
- OCC will provide the types of legal services our customers need.

Communication

OCC adheres to the following standards for customer communication and accessibility:

- OCC written and oral communications will be clear, accurate, and address our customer's problem or question.
- OCC staff will be accessible to our customers, whether face-to-face, by telephone or email.
- OCC staff will keep our customers informed of the status of ongoing issues.
- OCC will provide our customers with information regarding OCC services and who to contact if our customers have a question, problem, or concern.
- OCC staff will keep our customers informed of new developments and trends in various areas of the law.

Customer Satisfaction

OCC utilizes data from the OCC Action Tracking System, the FOIA Xpress Tracking System, Surveys, and other mechanisms to ascertain Customer Satisfaction. The following surveys support OCC's customer satisfaction effort.

- OCC Customer Service Survey

One mechanism OCC utilized for ascertaining Customer Satisfaction is an electronic (SNAP) Customer Service Survey issued approximately every three years. The OCC Customer Service Survey primarily focuses on the customer service standards listed above, customer satisfaction levels, and customer recommendations for improvement. This survey is an invaluable tool for measuring OCC customer satisfaction and identifying areas for OCC improvement in response to customer feedback. The results of this survey will be shared with our customers. If necessary, corrective action plan(s) addressing OCC customer service dissatisfaction or recommendations will be included in the Report. The results feed into the OCC Annual Plan Measure: Percentage of OCC Customers satisfied or highly satisfied (95%). In years in which no survey is performed, this measure is addressed subjectively by verbal discussions by the Chief Counsel and Deputy Chief Counsel/Supervisory Attorneys with Customers about staff performance. In FY 2013, OCC will conduct its tri-annual Customer Service Survey.

- Targeted Customer Surveys

In addition to periodic surveys of OCC customers, OCC implements a system of targeted surveys. These surveys are provided by OCC staff to customers at the conclusion of major actions. For example, a survey is provided to attorneys who serve as legal advisors on SC-CH acquisition and assistance boards and panels to obtain feedback from the board/panel chairman. These surveys feed into the measure in the OCC Annual Plan measure "Percentage of M&O and non-M&O Board/Panel Chairmen satisfied or highly satisfied with OCC support (100%)."

Customer Service and Performance Metrics

In accordance with customer service planning and goals, OCC has established performance standards to support customer service, as follows:

Standard	Measure	Target
<p>I. Professionalism, customer responsiveness, and Timeliness</p>		
<p>OCC will meet deadlines and provide timely advice, both written and oral.</p>	<ul style="list-style-type: none"> • Average IPL review of Work For Others Agreements, Cooperative Research and Development Agreements (CRADAs), and Joint Work Statements • Percentage of above IPL reviews under 3 days • Percentage of OCC-GL and IPL action items complete within 3 days or customer time limit, whichever is longer • Percentage of Office of Government Ethics Form 450 (Confidential Financial Disclosure Form) reviewed within 30 days of receipt of complete information • Percentage of ethics opinions issued within 14 days of request and receipt of complete information from requester • Percentage of litigation deliverables submitted within assigned time limit • Percentage of SC CH on-time FOIA/PA responses (within 20 business days of receipt of valid FOIA/PA request or within 30 days if unusual circumstance extension allowed by statute) 	<p>less than 3 days</p> <p>90%</p> <p>90%</p> <p>100%</p> <p>100%</p> <p>100%</p> <p>90%</p>

II. Communication and Accessibility

- OCC staff will return telephone calls and e-mails promptly.
- OCC staff will listen to our customers' concerns, will be courteous, professional and treat our customers with respect.
- OCC staff will acknowledge our mistakes and prevent the same mistake in the future.
- OCC written and oral communications will be clear, accurate, and address our customer's problem or question.
- OCC staff will be accessible to our customers, whether face-to-face, by telephone or email.
- OCC staff will keep our customers informed of the status of ongoing issues.
- OCC will provide our customers with information regarding OCC services and who to contact if our customers have a question, problem, or concern.
- OCC staff will keep our customers informed of new developments and trends in various areas of the law.
- OCC staff will coordinate as necessary with their Oak Ridge Office counterparts on important legal issues common among those offices

III. Quality of OCC Services

- OCC will deliver quality products and services that meet or exceed our customers' needs and expectations.
- The knowledge and skill set of the OCC staff will meet or exceed the needs and expectations of our customers.
- The OCC staff will be open to new ideas.
- The OCC staff will provide creative problem solving for customer problems, create win-win solutions, provide viable alternative solutions, follow through, and learn from the experience.
- OCC staff will identify problem situations up-front and propose workable solutions or options to resolve those problems before they arise.
- The OCC staff will actively seek to understand our customers' business needs in order to serve them right the first time.
- OCC will provide the types of legal services our customers need.

- Percentage of OCC Customers satisfied or highly satisfied (95%)
- Percentage of M&O and non-M&O Board/Panel Chairmen satisfied or highly satisfied with OCC support (100%)

Those customer service standards are routinely incorporated in the annual performance metrics (for FY13 inclusion, see 3.2 below), and are issued a target of 100% compliance. The following targets and measures contain many measures that support OCC customer service, which are also tracked as goals in the FY13 OCC Annual Performance Plan:

CH DDFO 1.1. Every business unit will identify and support at least one developmental and one cross training assignment opportunity by 03/31/2014.

CH DDFO 1.3. Every business unit will ensure IDPs are current and include appropriate, feasible training and development activities by 04/30/2013.

CH DDFO 1.4. Every business unit Supervisor will monitor completion of learning activities identified in IDP, and completion of certification/qualification requirements on a quarterly basis.

***CH DDFO 1.12.** Conduct monthly discussions between CH and OR Chief Counsels to discuss common legal issues; will be held by the last day of each month.

CH DDFO 2.1. Every business unit will contribute leadership and technical expertise to policy-focused councils, committees, working groups, etc. by participating in efforts to improve, revise or streamline DOE directives, rules and regulations as appropriate by 3/30/2014.

CH DDFO 2.2. Every business unit will ensure SCMS Management System Owners (MSOs), Secondary Management System Owners (SMSOs), and Subject Matter Experts (SMEs) apply the concepts of the Enterprise Risk Model as described in the SCMS Requirements Management.

CH DDFO 3.1. All business units will continue to strive for excellence in customer service by surveying customers to obtain and analyze customer satisfaction feedback with the goal of attaining a highly satisfied or satisfied rating for each customer survey by 9/30/2013.

CH DDFO 3.2. Each business unit will assure at least 90% of their customer service standards are met as described in their Customer Service Plan by 03/31/2014.

CH DDFO 3.5. Every business unit will conduct a review (Lean Six Sigma or other self-assessment) of at least one critical/major process by reviewing and benchmarking work processes and sub processes to identify those areas that could be streamlined in order by 9/30/2013.

CH DDFO 3.6. Each quarter the Chicago Office will provide FSO with a summary of the hours of support that the ISC provided to FSO during the previous quarter, as well as a summary listing of the customer satisfaction surveys sent to FSO during the previous quarter.

****CH DDFO 3.15.** Ensure 90% on-time SC-CH FOIA/PA responses (within 20 business days of receipt of valid FOIA request, or within 30 days if unusual circumstances extension allowed by statute).

****CH DDFO 3.16.** Complete 90% of all GL reviews within the monthly customer deadline.

CH DDFO 3.22. Applicable business units will ensure that the annual review of Environment, Safety, and Health; Human Resources Services; Information Technology and Legal Services are completed by 09/30/2013.

CH DDFO 3.25. Every business unit will ensure responses for comments regarding SCMS documents submitted through the SCMS automated commented process are provided within 45 days.

***CH DDFO 3.26.** The Chicago and Oak Ridge Managers will, on a quarterly basis, brief the SC-DDFO on the status of SCMS.

CH DDFO 3.27. The Chicago Office SCMS POCs or SMEs will continue to work with the SCMS MSO/SMSOs who reside at SSI to accomplish the annual reviews/revisions of the SCMS Management Systems.

****CH DDFO 3.28.** Process 25 patent applications filed on behalf of DOE by 09/30/2013.

****CH DDFO 3.29.** Process 750 inventions to final disposition by 09/30/2013.

CH DDFO 3.34. Every business unit will use video conferencing as a first alternative and make use of low-cost/no-cost conference facilities on the Argonne site to reduce the costs of Chicago hosted conference/workshops/meetings (cost-avoidance data will be tracked).

CH DDFO 3.36. Every business unit will identify at least two additional opportunities to eliminate paper processes with a goal of continuing to work toward a paperless office by 03/31/2014.

****CH DDFO 3.38.** OCC will continue to work towards a paperless office in the FOIA area by reducing the paper usage by 90% by 03/31/2014.

CH DDFO 4.3. Work with the Site Offices to further integrate the delivery of our expertise with their CAS approach to oversight activities by 09/30/2013.

CH DDFO 4.7. Provide qualified staff for Ames assessments consistent with the Ames Site office assessment schedule.

CH DDFO 4.8. Collaborate with Argonne Site Office (ASO) to formally document the FY13/14 assessment related support that the Chicago Office will provide to address ASO expectations.

CH DDFO 4.9. The Chicago Office (or the ISC) will utilize the Brookhaven Site Office staff to augment Chicago (or ISC) supported reviews and process improvement projects.

CH DDFO 4.10. Provide qualified staff for Pacific Northwest National Laboratory assessments consistent with the Pacific Northwest Site Office assessment schedule.

CH DDFO 4.11. Collaborate with the Princeton Site Office (PSO) to formally document the FY13/14 assessment related support that the ISC Chicago Office will provide to address PSO expectations.

NOTE: *Denotes Joint SC-CH and SC-Oak Ridge (OR) Measure

**Denotes measures applicable to OCC only