

**U.S. DEPARTMENT OF ENERGY  
NATIONAL NUCLEAR SECURITY ADMINISTRATION  
NEVADA SITE OFFICE**

**ORDER**

**NSO O 413.XB**

**Approved: 09-11-08  
Review Date: 09-11-12**

**PROJECT MANAGEMENT  
PRINCIPLES AND PRACTICES**

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**INITIATED BY:  
Office of the Assistant Manager  
for Safety and Operations**



## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB

9-11-08

1

1. OBJECTIVE. To establish the requirements for management of the National Nuclear Security Administration Nevada Site Office (NNSA/NSO) DOE O 413.3A projects for acquisition of capital assets and designated activities.
2. CANCELLATION. NSO O 413.XA, PROJECT MANAGEMENT PRINCIPLES AND PRACTICES, dated 6-16-04, and Changes thereto.
3. APPLICABILITY.
  - a. The provisions of this Order apply to all NNSA/NSO organizational elements.
  - b. Contractor requirements are contained in the Contractor Requirements Document (CRD), Attachment 1. Compliance with the CRD is required to the extent set forth in an NNSA/NSO contract.
4. REQUIREMENTS. For a summary of requirements, reference Attachment 2, "Requirements Applicability Matrix."
  - a. DOE O 413.3A Projects. NNSA/NSO activities, including Reimbursable Capital Construction, which meet the requirements established in DOE O 413.3A for a Capital Asset Project will be managed in accordance with the principles and practices contained within the Order. Specific NNSA/NSO implementation requirements are as follows:
    - (1) Designation of Federal Project Directors (FPD). The Assistant Manager (AM) responsible for each DOE O 413.3A project will formally recommend an FPD to the NNSA/NSO Manager for consent, and request approval as required in DOE O 413.3A, or by the Manager in the case of designated activities.
    - (2) Qualification Requirements for FPDs. FPDs will be qualified under the Department of Energy (DOE) Project Management Career Development Program described in DOE O 361.1A, ACQUISITION CAREER DEVELOPMENT PROGRAM.
    - (3) Performance Requirements.
      - (a) DOE O 413.3A establishes Total Project Cost (TPC) thresholds for DOE O 413.3A projects. Formal Energy Systems Acquisition Advisory Board (ESAAB) reviews will be conducted for

DOE O 413.3A projects, which fall under the purview of DOE and/or NNSA in accordance with requirements contained within the Order and Program Office requirements. For DOE O 413.3A projects where the Manager has been designated as the Acquisition Executive (AE), the ESAAB-equivalent process defined in Attachment 3 will be used to review and approve Critical Decision (CD) and Baseline Change Control (BCC) requests.

- (b) When delegated by the Manager, the FPD will be the Approval Authority for all Level 2 baseline changes within thresholds defined in the approved Project Execution Plan (PEP). A Level 2 BCC board will be established to advise the FPD according to the guidelines contained in Attachment 4.
  - (c) The Integrated Safety and Security Management System will be incorporated into every project.
  - (d) Safety requirements in the Safety Basis Review Team (SBRT) Review Team Plan will be incorporated into all nuclear projects.
- b. Designated Activities. Designated activities are activities, including non-DOE or non-NNSA funded projects and DOE funded projects with a TPC between \$5 million and \$20 million, which can be managed using tailored principles and practices from DOE O 413.3A, and have a responsible federal individual that controls at least two out of the three facets of project management (cost, scope, and schedule). Construction activities supporting experiments, tests, and other basic research projects whose end objectives are not new capital assets are generally not considered as candidates for designated activities since the federal project manager seldom has control over at least two out of the three facets of project management. Designated activities will be managed in accordance with the principles and practices as follows:
- (1) Designation of Activities. Activities will be formally designated by the applicable AM as a designated activity, to be managed using DOE O 413.3A project requirements as tailored, and communicated to the Manager.
  - (2) Designation of Program, Project, and Functional Managers (PM/FM). The AM responsible for each designated activity will formally recommend a PM or FM to the Manager for approval.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB

9-11-08

3

- (3) Qualification Requirements for PMs/FMs. PMs/FMs will be qualified in accordance with the Technical Qualification Program (TQP) for “Technical Program Manager” and the TQP for the applicable Functional Area if required. Incumbents will have 18 months in which to become qualified.
- (4) Performance Requirements.
  - (a) Designated activities will have formal integrated baselines defining scope, cost, and schedule.
  - (b) Baselines for designated activities will be under formal configuration management practices with all changes to the baseline subject to formal BCC.
  - (c) PEPs or equivalent for designated activities will be developed. The PEP or equivalent will document and provide a common understanding of the tailored approach taken to address project management requirements.
  - (d) Designated activities will have formal task plans, work authorizations, and corresponding funding authorization documents.
  - (e) Risk management will be performed on all designated activities throughout their life cycle. The plan for managing and mitigating risks must be addressed in the PEP or equivalent document.
  - (f) Designated activities will utilize an Integrated Project Team (IPT) comprised of the FPD or PM; the Contract Project Manager (CPM); the Facility Representative (if applicable); procurement, safety, and legal personnel; and applicable technical Subject Matter Experts (SME), as well as other contractor personnel who have the appropriate background and experience in project management, contracting, fiscal, legal, security, Environmental, Safety, and Health, Quality A, and other technical areas.
  - (g) Formal monthly progress reporting by either the FPD or FM will be performed in accordance with the requirements of the applicable AM.

- (h) Formal quarterly project reviews on designated activities will be conducted by the applicable AM.
- (i) Independent Project Reviews will be conducted on designated activities when required by the applicable AM.
- (j) Independent Cost Reviews will be conducted on designated activities when required by the applicable AM.
- (k) Management reviews will be conducted on designated activities as needed to identify issues and concerns, remove barriers, and to ensure safety and the success of the activity.
- (l) Value engineering studies tailored to the risk of the designated activity will be conducted to ensure alternative approaches are properly considered when required by the applicable AM.
- (m) Safety issues will be identified and resolved as early in the design process as is practicable.

5. RESPONSIBILITIES.

- a. DOE and NNSA Program Offices. Provide guidance and establish requirements for conduct of projects, programs, and functions as applicable to their area of responsibility.
- b. Manager.
  - (1) Serves as the delegated AE for DOE and NNSA Program Offices' activities as designated, approves FPDs for delegated DOE O 413.3A projects, and PMs/FMs for designated activities. In this capacity, exercises decision-making authority for CDs and BCCs for DOE O 413.3A projects following CD-0 (which may not be delegated below the Program Secretarial Officer or NNSA Deputy Administrator). Establishes and chairs the NNSA/NSO ESAAB-equivalent board.
  - (2) Concurs in proposed FPD and forwards recommendation for approval to the NNSA AE.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

5

- (3) Ensures the establishment of a formal IPT no later than CD-0 for all DOE O 413.3A projects.
- c. Executive Council. Serves as the NNSA/NSO ESAAB-equivalent board for delegated DOE O 413.3A projects.
- d. Assistant Manager for Safety and Operations (AMSO). Provides the Secretariat for the NNSA/NSO ESAAB-equivalent board.
- e. Assistant Managers. Establish policies and procedures for the management of designated activities under their purview. Categorize activities as DOE O 413.3A projects and designated activities. As delegated by the Manager, approve Level 2 project baseline changes and allocation of NNSA contingency funds.
- f. Federal Project Directors. In addition to the duties delineated in DOE O 413.3A, the FPD will:
  - (1) Ensure the appropriate engineering work products are implemented in construction, fabrication, and modification associated with designated projects in accordance with best industry practices, design criteria, and DOE, NNSA, and NNSA/NSO policies and requirements.
  - (2) Serve as the single point of contact between federal and contractor staff for all matters relating to the project and its performance.
  - (3) Serve as the Contracting Officer Representative, if appointed.
- g. SBRT Leader. Participates on the IPT and coordinates the integration of the SBRT Review Plan into the project for nuclear projects.

### 6. REFERENCES.

- a. DOE O 361.1B, ACQUISITION CAREER DEVELOPMENT PROGRAM, dated 01-24-08; Chapter IV, "Project Management Career Development Program Module."
- b. DOE O 413.3A, PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS, dated 07-28-06.

- c. DOE M 413.3-1, PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS, dated 03-28-03, Chapters 4 through 16 and Appendices.
- d. DOE O 420.1B, FACILITY SAFETY, dated 12-22-05.
- e. DOE O 425.1C, STARTUP AND RESTART OF NUCLEAR FACILITIES, dated 03-13-03.
- f. DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY, dated 10-15-96.
- g. DOE M 450.4-1, INTEGRATED SAFETY MANAGEMENT SYSTEM MANUAL, dated 11-01-06.
- h. DOE G 450.4-1B, INTEGRATED SAFETY MANAGEMENT SYSTEM GUIDE, dated 03-01-01.
- i. DOE G 413.3-2, QUALITY ASSURANCE GUIDE FOR PROJECT MANAGEMENT, dated 06-27-08.
- j. DOE G 413.3-3, SAFEGUARDS AND SECURITY FOR PROGRAM AND PROJECT MANAGEMENT, dated 11-15-07.
- k. DOE G 413.3-6, HIGH SUSTAINABLE BUILDING, dated 05-06-08.
- l. DOE G 413.3-10, EARNED VALUE MANAGEMENT SYSTEM (EVMS), dated 05-06-08.
- m. DOE G 413.3-13, U. S. DEPARTMENT OF ENERGY ACQUISITION STRATEGY GUIDE FOR CAPITAL ASSETS PROJECTS, dated 07-22-08.
- n. DOE G 413.3-17, MISSION NEED STATEMENT GUIDE, dated 06-20-08.
- o. DOE G 413.3-11, PROJECT MANAGEMENT LESSONS LEARNED, dated 08-05-08.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB

9-11-08

7

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### 7. DEFINITIONS.

- a. Baseline. A formal description of the planned technical scope, schedule, and cost of a project against which project performance is measured. The technical baseline is the reference set of high-level technical documents that contain the technical requirements necessary to satisfy mission need. The schedule baseline is the set of sequenced activities, critical path, and approved milestones for performance of the project. The cost baseline allocates resources and estimated costs against the scheduled activities for the total scope of work.
- b. Baseline Change Control. The process by which requests for changes to an approved baseline are evaluated, justified, and approved.
- c. BCC Board. A group qualified in technical matters involving quality, reliability, financial, schedule, safety, health, environmental, legal, and contractual issues including SMEs for the technology employed in a project with responsibility to advise the chairperson who holds change control authority.
- d. Contractor Project Manager. The contractor official responsible and accountable for successful execution of contractor's project scope of work. The CPM is responsible for the day-to-day management of the project and delivering the means, methods, and resources to meet the project end-point requirements and the intermediate requirements that the FPD determines are value-added and necessary to achieve project success.
- e. Designated Activities. Designated activities are activities, including Work for Others projects, which can be managed using tailored principles and practices from DOE O 413.3A, and have a responsible federal individual that controls at least two out of the three facets of project management (cost, scope, and schedule).
- f. DOE and NNSA Program Managers. Individuals in an organization or activity who are responsible for the management of a specific function or functions, budget formulation, and the execution of the approved budget. The DOE and NNSA Program Managers receive approved funding from the Office of the Controller identifying program dollars available to accomplish the assigned functions.
- g. DOE and NNSA Program Offices. The DOE and NNSA organizational elements responsible for managing a program and overseeing activities conducted by an operations or field office.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-12-08

8

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- h. Energy Systems Acquisition Advisory Board-Equivalent. A multifunctional body of representatives designated by the AE to provide technical and managerial advice and assistance concerning CDs and BCC requests for DOE O 413.3A projects and designated activities for which the Manager has AE authority.
  - i. ESAAB-Equivalent Process. The formally approved process by which DOE O 413.3A projects under the purview of NNSA/NSO are subject to review and approval of CDs and baseline change requests by the Manager as the delegated AE.
  - j. Reimbursable Capital Construction. Non-DOE or non-NNSA funded work undertaken to acquire a capital asset. This includes work for other federal agencies such as the Department of Defense and the Department of Homeland Security. Projects with a TPC of \$5 million or more are normally designated activities.
  - k. Safety Basis Review Team. The NNSA/NSO team tasked with implementing a robust safety basis document review process for a nuclear facility. The safety basis is a combination of information relating to the control of hazards at a nuclear facility including design, engineering analysis, and administrative controls, which demonstrate that the facility can be operated safely.
8. CONTACT. Questions concerning this Order should be directed to the Office of AMSO at (702) 295-3424.

 *Stephen A. Mellington*  
Stephen A. Mellington  
Acting Manager

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 1  
Page 1

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### CONTRACTOR REQUIREMENTS DOCUMENT (CRD)

The National Nuclear Security Administration Nevada Site Office (NNSA/NSO) Performance-Based Management, Environmental Management Support, and Security Contractors must have project management systems that satisfy the following requirements:

**NOTE:** These requirements were taken from DOE O 413.3A. Based on the tailoring found in the *NNSA/Defense Program Requirements Manual for Project Management*, this CRD expands the applicability of the DOE O 413.3A CRD, for DOE O 413.3A Projects with a Total Project Cost greater than the congressionally-mandated upper limit for a DOE General Plant Project (GPP), CRD requirements (1-5) below, will be utilized as stated. For GPPs and Designated Activities, refer to Attachment 2, Requirements Applicability Matrix, for tailoring of these requirements.

1. The industry standard for project control systems described in American National Standards Institute/Electronic Industries Alliance-748, *Earned Value Management Systems*, must be implemented on all projects for control of project performance during the project execution phase.
2. Cost and schedule performance, milestone status, and financial status must be reported to NNSA/NSO on a monthly basis using NNSA/NSO-approved Work Breakdown Structure elements and data elements for all projects, except for time-and-materials contracts, firm-fixed-priced contracts, or level-of-effort support contracts, for control of project performance during the project execution phase. The report must also include variance analyses and Corrective Action Plans (CAP) that integrate cost, schedule, and scope if variances exceed NNSA/NSO-established reporting thresholds. Also reported will be analyses of cost and schedule trends, financial status, and BCC activity including the allocation of management reserve, potential problems, and critical issues.
3. For project subcontracts that must be accomplished by the Performance-Based Management Contractor (PBMC), the contractor must have a written Acquisition Plan, which is appropriate for the requirement and dollar value of each subcontract and consistent with the intent of the Federal Acquisition Regulation. The Acquisition Plan for a project subcontract to be awarded by the PBMC is developed by a team of contractor employees including, as a minimum, the prospective PBMC

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

Attachment 1

NSO O 413.XB

Page 2

9-11-08

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Project Manager and Contract Negotiator. The Acquisition Plan will also be concurred on by the NNSA/NSO Contracting Officer and Federal Project Director/Program Manager-Project Manager/Functional Manager.

4. Technical performance analyses and CAPs must be reported to NNSA/NSO for variances to the project baseline objectives resulting from design reviews, components, system tests, and simulations.
5. An integrated contractor technical, cost, and schedule baseline must be developed and maintained using documented contractor change control. Technical, cost, and schedule data must also be provided, as requested, by NNSA/NSO programs, for development and change control associated with federal baselines.

**NATIONAL NUCLEAR SECURITY ADMINISTRATION**  
**NEVADA SITE OFFICE (NNSA/NSO)**  
**REQUIREMENTS APPLICABILITY MATRIX**

NNSA/NSO Category	DOE O 413.3A Projects				Designated Activities	
	"Major Systems"	Reimbursable Capital Construction**	"Other"	General Plant Project (GPP)		
<b>Applicable Range in Total Project Cost (TPC) or Annual Cost (AC)</b>	TPC ≥ \$750M	Congressionally Mandated Upper Limit for a Department of Energy (DOE) GPP < TPC < \$750M	Congressionally Mandated Upper Limit for a DOE GPP < TPC < \$750M	TPC ≤ Congressionally Mandated Upper Limit for a DOE GPP	AC ≥ \$20M	AC < \$20M
<b>Responsible Individual(s) for Planning and Execution</b>	Federal Project Director	Federal Project Director	Federal Project Director	Federal Project Director	Project, Program, or Functional Manager	Project, Program, or Functional Manager
<b>Formal Designation of Responsible Individual(s)</b>	By DOE and NNSA Acquisition Executives (AE)	By NNSA/NSO Manager	By DOE and NNSA AEs; May Be Delegated to the NNSA/NSO Manager for Projects With TPC < \$100M; May Be Delegated to the Assistant Manager (AM) for TPC < \$20M	By NNSA/NSO Manager	By NNSA/NSO Manager	By NNSA/NSO AM With Concurrence by NNSA/NSO Manager
<b>Formal Qualification of Responsible Individual(s)</b>	DOE Project Management Career Development Program, DOE O 361.1B, Chapter IV	DOE Project Management Career Development Program, DOE O 361.1B, Chapter IV	DOE Project Management Career Development Program, DOE O 361.1B, Chapter IV	DOE Project Management Career Development Program, DOE O 361.1B, Chapter IV	Technical Qualifications Program (TQP) for "Technical Program Manager" <b>and</b> TQP for the Applicable Functional Area if Required	TQP for "Technical Program Manager," <b>and</b> TQP for the Applicable Functional Area if Required
<b>Energy Systems Acquisition Advisory Board (ESAAB) CDs Apply</b>	Yes	Yes--CDs Applied by NNSA/NSO ESAAB Equivalent	Yes	No*	No	No
<b>Management Advisory Board</b>	DOE and NNSA ESAABs	NNSA/NSO ESAAB-Equivalent	Program Office ESAAB-Equivalent or NNSA/NSO ESAAB-Equivalent	As Defined by Decision Authority	Not Applicable*	Not Applicable*

\* No Critical Decisions (CD) are involved, and Baseline Change Control is at AM level already.

\*\* Funded by non-DOE or non-NNSA entities.

\*\*\* GPP quarterly reviews will be conducted as an NNSA/NSO management review.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

**Attachment 2**  
**Page 2**

**NSO O 413.XB**  
**9-11-08**

NNSA/NSO Category	DOE O 413.3A Projects				Designated Activities	
	"Major Systems"	Reimbursable Capital Construction**	"Other"	General Plant Project (GPP)		
<b>Decision Authority for CDs</b>	DOE and NNSA AEs	NNSA/NSO Manager as AE	DOE and NNSA AEs or NNSA/NSO Manager as AE	Federal Project Director	Applicable NNSA/NSO AM	Applicable NNSA/NSO AM
<b>Establish Formal Performance Baselines</b>	Yes	Yes	Yes	Yes	Yes	Yes
<b>Formal Configuration Management Applies</b>	Yes	Yes	Yes	Yes	Yes	Yes
<b>Applicable Execution Document(s)</b>	Acquisition Strategy Project Execution Plan (PEP)	Acquisition Strategy PEP	Acquisition Strategy PEP	PEP (Contractor's Plan)	Execution Plan (Contractor's Plan as Applicable)	Execution Plan (Contractor's Plan as Applicable)
<b>Authorizations</b>	Work Authorization and Corresponding Funding Authorization From NNSA/NSO AM	Work Authorization and Corresponding Funding Authorization From NNSA/NSO AM	Work Authorization and Corresponding Funding Authorization From NNSA/NSO AM	Project Authorization and Corresponding Funding Authorization From NNSA/NSO AM	Approved Task Plans	Approved Task Plans
<b>Utilize an Integrated Project Team</b>	Yes	Yes	Yes	When Required by Decision Authority	When Required by Decision Authority	When Required by Decision Authority
<b>Formal Monthly Reporting of Progress and Performance</b>	Yes	Yes--to Customer and NNSA/NSO	Yes	Yes	Yes	Yes
<b>Conduct Quarterly Performance Review(s)</b>	Yes	Yes	Yes	No***	Yes	Yes
<b>Conduct External Independent Review(s) (EIR) and/or Independent Project Review(s) (IPR)</b>	EIR for CD-2 and CD-3; IPRs as Requested by AE	IPR for CD-3 and IPRs as Requested by AE	EIR for CD-2; IPR for CD-3 and IPRs as Requested by AE	When Required by Decision Authority	When Required by Decision Authority	When Required by Decision Authority
<b>Conduct Independent Cost Estimates and/or Independent Cost Review(s)</b>	Yes	Yes	Yes	When Required by Decision Authority	When Required by Decision Authority	When Required by Decision Authority
<b>Conduct NNSA/NSO Management Review(s)</b>	As Needed	As Needed	As Needed	As Needed	As Needed	As Needed
<b>Conduct Value Engineering Studies Tailored to the Risk of the Project</b>	Yes	Yes	Yes	When Required by Decision Authority	When Required by Decision Authority	When Required by Decision Authority

\* No Critical Decisions (CD) are involved, and Baseline Change Control is at AM level already.

\*\* Funded by non-DOE or non-NNSA entities.

\*\*\* GPP quarterly reviews will be conducted as an NNSA/NSO management review.

**PROJECT MANAGEMENT PRINCIPLES AND PRACTICES**

**NSO O 413.XB  
9-11-08**

**Attachment 3  
Page 1**

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**NATIONAL NUCLEAR SECURITY ADMINISTRATION  
NEVADA SITE OFFICE (NNSA/NSO)  
ENERGY SYSTEMS ACQUISITION ADVISORY BOARD (ESAAB)-EQUIVALENT  
REQUIREMENTS, UNDERSTANDINGS, AND EXPECTATIONS**

**FOREWORD**

This document reflects the current requirements, understandings, and expectations related to the NNSA/NSO ESAAB-equivalent process.

**PROJECT MANAGEMENT PRINCIPLES AND PRACTICES**

**TABLE OF CONTENTS**

	<b><u>Page</u></b>
FOREWORD.....	1
DEFINITIONS .....	4
1. ENERGY SYSTEMS ACQUISITION ADVISORY BOARD.....	4
2. NNSA/NSO ESAAB-EQUIVALENT.....	4
3. CRITICAL DECISION .....	4
4. BASELINE CHANGE PROPOSAL.....	5
5. NNSA/NSO AE.....	5
6. FEDERAL PROJECT DIRECTOR .....	5
7. CONTRACTOR PROJECT MANAGER .....	5
8. PROGRAM OFFICE .....	5
9. DESIGNATED ACTIVITIES .....	5
10. DOE O 413.3A PROJECTS .....	5
NNSA/NSO ESAAB-EQUIVALENT PROCESS .....	6
1. BACKGROUND .....	6
2. PURPOSE.....	6
3. APPLICABILITY .....	6
4. GOALS AND OBJECTIVES .....	7
5. ROLES AND RESPONSIBILITIES.....	8
a. Acquisition Executive .....	8
b. Board Members .....	9
c. Program Office.....	9
d. Federal Project Director .....	10
e. ESAAB-Equivalent Secretariat.....	10
6. BOARD MEMBERS .....	11
7. ESAAB-EQUIVALENT PROCESS.....	12
a. Scheduling .....	12
b. Review and Comment Resolution.....	13
c. Prebriefings.....	14
d. ESAAB-Equivalent Board Meetings.....	14

**PROJECT MANAGEMENT PRINCIPLES AND PRACTICES**

**NSO O 413.XB  
9-11-08**

**Attachment 3  
Page 3**

---

**TABLE OF CONTENTS**  
**(Continued)**

	<b><u>Page</u></b>
APPENDIX A—NNSA/NSO ESAAB-EQUIVALENT PROCESS FLOWCHART FOR CD AND BCP ACTIONS.....	16
APPENDIX B—ESAAB-EQUIVALENT PROCESS TIMELINE .....	17
APPENDIX C—CD INFORMATION OUTLINES.....	18
APPENDIX D—DECISION MEMORANDUM OUTLINE .....	46
APPENDIX E—NNSA/NSO ESAAB-EQUIVALENT PRESENTATION OUTLINE .....	47

**DEFINITIONS**

1. **ENERGY SYSTEMS ACQUISITION ADVISORY BOARD EQUIVALENT.** A multifunctional body of representatives designated by the NNSA/NSO Acquisition Executive (AE) to provide technical and managerial advice and assistance for Critical Decision (CD) points and Baseline Change Proposals (BCP).
2. **NNSA/NSO ESAAB-EQUIVALENT.** The process by which the NNSA/NSO AE reviews and decides on CDs and BCPs for those projects delegated to NNSA/NSO by the Department of Energy (DOE) and NNSA. This is accomplished by using NNSA/NSO elements (board) to review the project and provide advice to the AE.
3. **CRITICAL DECISION.** The CD is an approval given at specific points in a project's life cycle when transitioning from one project phase to another phase (e.g., from conceptual design to preliminary design). The CDs are used as review points to ensure the AE that the project is ready to proceed into the next phase and remains a mission need.
4. **BASELINE CHANGE PROPOSAL.** A BCP is a request made to make a change to the scope, cost, and/or schedule baselines of a project. The BCP is reviewed at the appropriate Change Control Board level and approved/disapproved by the appropriate Change Control Manager.
5. **NNSA/NSO AE.** The Site Office Manager who acts as the AE for the NNSA/NSO ESAAB-equivalent board process.
6. **FEDERAL PROJECT DIRECTOR (FPD).** The FPD is the NNSA/NSO employee assigned oversight of the project and the single NNSA/NSO interface with the Contractor Project Manager (CPM). The FPD will be responsible and accountable for the Project Management activities of one or more discrete projects under his/her cognizance and is usually the single point of contact between the government staff and the contractor staff for all matters relating to the project and its execution.
7. **CONTRACTOR PROJECT MANAGER.** The CPM is, generally, from the Performance-Based Management Contractor organization, the Architect-Engineer firm, Construction Management firm, or is a non-DOE or non-NNSA federal employee assigned to direct the project. The CPM is responsible and accountable for the day-to-day execution of assigned projects within approved cost, schedule, and scope baselines, as defined in the Project Execution Plan.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 5

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8. PROGRAM OFFICE. The advocate promoting the project could be DOE, NNSA, or NNSA/NSO. This is the organization responsible for planning and oversight of the execution of the specific activities and missions that comprise the program.
9. DESIGNATED ACTIVITIES. Designated activities are activities, including non-DOE or non-NNSA funded projects and DOE-funded projects with a Total Project Cost between \$5 million and \$20 million, which are designated to be managed using tailored principles and practices from DOE O 413.3A, and have a responsible federal individual that controls at least two out of the three facets of project management (cost, scope, and schedule).
10. DOE O 413.3A PROJECTS. Projects governed by DOE Order 413.3A and associated directives and guides.

**NNSA/NSO ESAAB-EQUIVALENT PROCESS**

1. **BACKGROUND.** DOE O 413.3A, PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS, sets the requirements for management of DOE O 413.3A projects and designated activities.
2. **PURPOSE.** This document specifies the ESAAB-equivalent procedures that will be followed by NNSA/NSO for projects and authority delegated by the Program Secretarial Officer (PSO) or NNSA Deputy Administrator to NNSA/NSO and for designated activities
3. **APPLICABILITY.**
  - a. The NNSA/NSO ESAAB-equivalent is responsible for advising the NNSA/NSO AE on CDs for all delegated projects and associated BCPs. Projects exempted from the NNSA/NSO ESAAB-equivalent process are General Plant Projects (GPP); accelerator improvement projects; and capital equipment, facilities, and infrastructure projects less than the congressionally mandated upper limit for a DOE GPP. The AE for the NNSA/NSO ESAAB-equivalent will make the final decision on the action presented before the board based upon the input from the board members. The board members will act as Subject Matter Expert (SME) in the evaluation of the project proposal, providing to the AE expert analysis, advice, and recommendations with respect to the implications of the CD or BCP being discussed.
  - b. At the request of board members, the NNSA/NSO ESAAB-equivalent will be supplemented with other disciplines or SMEs to meet the DOE O 413.3A requirements. The NNSA/NSO support staff may be asked to participate in preliminary review meetings to resolve issues at the appropriate level. NNSA/NSO ESAAB-equivalent members will advise the AE as to the suitability for the proposed decision or baseline change.
4. **GOALS AND OBJECTIVES.**
  - a. The concept of using ESAABs at CD points in federal projects was developed from the Office of Management and Budget (OMB) Circular A-109, *Major Systems Acquisitions*. The goals and objectives of this procedure accordingly reflect those of OMB Circular A-109.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 7

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- (1) To ensure the NNSA/NSO acquisition process reflects an integrated approach to matching program requirements with the project development and execution process.
    - (a) Each acquisition fulfills a mission need and can achieve adequate levels of performance and reliability in its intended operating environment.
    - (b) Planning is built upon this mission need.
    - (c) Competitive design concepts are evaluated, whenever economically beneficial.
    - (d) Appropriate tradeoffs are made between investment costs, ownership costs, schedule, and performance.
    - (e) A project-specific acquisition strategy is developed for each acquisition as soon as it is decided to solicit alternative design concepts.
    - (f) Adequate system tests and evaluations are conducted.
    - (g) Performance is assessed against project baselines and these assessments are provided to the AE at CD points.
    - (h) Ensure safety requirements are adequately addressed at every phase of the project.
  - (2) To provide appropriate AE oversight to the acquisition process for projects greater than the congressionally mandated upper limit for a DOE GPP
  - (3) To ensure line management involvement and accountability for project performance.
  - (4) To demonstrate commitment to improving the acquisition process to departmental and congressional elements.
- b. The NNSA/NSO ESAAB-equivalent process also provides a vehicle by which NNSA/NSO management can reinforce departmental policy, make necessary course corrections, and verify all organizational elements are working towards the same goal.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

5. ROLES AND RESPONSIBILITIES. The following are NNSA/NSO ESAAB-equivalent participants' functions:
  - a. Acquisition Executive.
    - (1) Appoints board members and/or SMEs to address key issues that need to be addressed in CDs including, but not limited to: Program Requirements, Legal, Budget, Environmental, Safeguards and Security, Safety and Health, Procurement, Project Management and Control, and Quality Assurance (QA).
    - (2) Requests participation of a representative board member from Office of Engineering and Construction Management (OECM) for projects with a TPC greater than \$20 million.
    - (3) Presides over NNSA/NSO ESAAB-equivalent meetings.
    - (4) Makes decisions on disposition of all requested CDs and BCPs, based upon input from board members.
    - (5) Assigns action items that may result from meeting discussions.
    - (6) Ensures board members fulfill their responsibility.
    - (7) Reviews Corrective Action Plan (CAP) reports on assigned project action items and independent reviews.
  - b. Board Members.
    - (1) Provide timely review of project materials.
    - (2) Fully evaluate project in their own area of expertise associated with the CD request.
    - (3) Prepare the directed questions/comments on specific project items that need resolution and submit them, through the ESAAB-equivalent Secretariat to the FPD.
    - (4) Work to resolve issues with project team.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 9

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- (5) Attend all NNSA/NSO ESAAB-equivalent meetings or provide an alternate.
- (6) Provide recommendation of disposition of CDs to the AE.
- (7) NNSA/NSO ESAAB-equivalent board members will act as SMEs in the evaluation of the proposed CD or BCP to:
  - (a) Ensure Defense Programs (DP) and Environmental Management (EM) requirements are met and common construction/business practices are followed.
  - (b) Provide effective recommendations and advice to the AE.

c. Program Office.

- (1) Works with the FPD to prepare project and materials for presentation to board.
- (2) Coordinates with the FPD and NNSA/NSO ESAAB-equivalent Secretariat to schedule meetings.
- (3) Works with the FPD to answer inquiries/resolve issues with board members.
- (4) The Program Office Representative, as part of the project team, coordinates with the FPD and NNSA/NSO ESAAB equivalent Secretariat to manage the project through the NNSA/NSO ESAAB-equivalent process.

d. Federal Project Director.

- (1) Establishes a schedule for required CDs within the overall project schedule.
- (2) Coordinates preparation of project documents supporting the decisions process.
- (3) Coordinates with the Program Office and NNSA/NSO ESAAB-equivalent Secretariat to schedule ESAAB-equivalent meetings.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

- (4) Prepares and presents the CD presentation to the NNSA/NSO ESAAB-equivalent presenting the proposed CD, identifying all issues associated with the proposed decision.
- (5) Works with the Program Office to respond to NNSA/NSO ESAAB-equivalent questions/requests and resolves issues.
- (6) Coordinates the development of a Decision Memorandum for AE signature with the ESAAB-equivalent Secretariat to document the CD and to capture any action items resulting from the ESAAB meeting.

### 5. ESAAB-Equivalent Secretariat.

- (1) Coordinates NNSA/NSO ESAAB-equivalent schedules for the AE.
- (2) Keeps the OECM and the DOE and NNSA ESAAB-equivalents informed (through the DOE and NNSA Program Offices) on schedule and status.
- (3) Offers improvements/suggestions on project planning and process to the AE, Program Office, and Project Team.
- (4) Works with ESAAB members to prepare Additional Information Requests (AIR) and provides to the FPD for action and response.
- (5) Advises AE on the technical and management significance of issues identified from NNSA/NSO ESAAB-equivalent and quarterly reviews.
- (6) Provides technical reviews and comments on the planning and execution of construction projects.
- (7) Develops lines of inquiry for use at the NNSA/NSO ESAAB-equivalent meeting.
- (8) Records minutes and action items resulting from ESAAB reviews and meetings.
- (9) Coordinates the decision memorandum process so:
  - (a) Decisions are appropriately documented in a timely fashion.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 11

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- (b) Action items/issues are captured and included in the decision memorandum package.
  - (10) Distributes meeting minutes and decisions to the FPD, CPM, Office of Project Management and System Support (NA-54), OECM, and Headquarters Program Offices as applicable.
  - (11) Maintains database/library of NNSA/NSO ESAAB-equivalent board meetings and actions for all delegated projects.
  - (12) Works with the FPD, Program Office, and NNSA/NSO ESAAB-equivalent board members to facilitate review process, arranges meetings, and tracks issues to resolution.
  - (13) Works with all parties to improve the NNSA/NSO ESAAB-equivalent board process.
6. BOARD MEMBERS. The following table shows the current membership of the NNSA/NSO ESAAB-equivalent who will review and/or approve CDs and BCPs for all delegated projects:

**PROJECT MANAGEMENT PRINCIPLES AND PRACTICES**

<b>Role/Area of Inquiry</b>	<b>Principal Board Member</b>	<b>Alternate Board Members</b>
<b>Chair</b>	Site Office Manager	Deputy Manager
<b>Legal</b>	Site Counsel	Designated Alternate
<b>Budget and Resource Management</b>	Assistant Manager for Business and Contract Management	Designated Alternate
<b>Defense Programs</b>	Assistant Manager for National Security	Designated Alternate
<b>Security</b>	Assistant Manager for Safeguards and Security	Designated Alternate
<b>Safety and Operations</b>	Assistant Manager for Safety and Operations	Designated Alternate
<b>Environmental Management</b>	Assistant Manager for Environmental Management	Designated Alternate
<b>Other support as required*</b>	Other specialized support as required	Designated Alternate

<b>ESAAB-Equivalent Secretariat</b>		
<b>Project Management</b>	Team Leader, AMSO Infrastructure Planning Team	Designated Alternate

**NOTE:** The board membership, Secretariat, and DOE and NNSA coordination will vary and be established based on the type of project being presented. The role/area of inquiry identified with an "\*" are not board members.

7. ESAAB-EQUIVALENT PROCESS. See Appendix A for a graphical representation of the NNSA/NSO ESAAB-equivalent process and Appendix B for the NNSA/NSO ESAAB-equivalent process timeline.
  - a. Scheduling.
    - (1) The FPD in cooperation with the program will request an NNSA/NSO ESAAB-equivalent meeting for approval of a CD or BCP. This ESAAB-equivalent meeting request will be sent to the NNSA/NSO Secretariat with copies to either NA-54 or Office of Project Management (EM-6) as appropriate and the respective DOE, NNSA, or Site Office Program.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 13

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- (2) Once a request is received, the NNSA/NSO Secretariat will coordinate with the AE and board members for the NNSA/NSO ESAAB-equivalent meeting and notify the FPD and Program Office of the specific date and time. The Secretariat will maintain an ESAAB schedule that will be updated regularly. The ESAAB-equivalent activity will follow the process flowchart and time lines as shown in the appendices.
- b. Review and Comment Resolution. The major facet of the NNSA/NSO ESAAB-equivalent process is the review and comment resolution phase. In this phase the ESAAB-equivalent board members evaluate the project request and formulate their comments, issues, and recommendations. **NOTE:** The goal of this phase is to resolve all comments and issues prior to the formal NNSA/NSO ESAAB-equivalent meeting with the AE.
- (1) The FPD, in cooperation with the advocate program, will supply appropriate project documents and materials to the NNSA/NSO Secretariat for distribution to the board members. The materials provided will be the requested action documents (i.e., CD request or BCP), results from any external and/or internal reviews since the last NNSA/NSO ESAAB-equivalent meeting, CAPs, and other materials that support the proposed decision or BCP. Appendix C contains listings of required documents and comprehensive outlines of suggested topics/lines of inquiry for each CD.
  - (2) The board members will examine the project through the provided materials and provide directed questions/comments to the Secretariat for submittal to the FPD. Board members' evaluations should identify project inadequacies, emphasizing in the comments:
    - (a) Those items to be corrected that are proven to ensure probability of project success.
    - (b) Conclusion on whether the inadequacy of project preparations is of sufficient impact that the project cannot proceed.
    - (c) Document reasons for any critical comment and attempt an evaluation of the cost impact of instituting recommendations that address comments.
    - (d) Formulate "tradeoffs" on alternative methods for attaining project success.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

- (e) The review and discussion of all relevant safety issues and the proposed resolution of those issues.
- (3) A telephone conference call or video conference review meeting will be held with the FPD, members of the Project's Integrated Project Team (IPT), Program Office, board staff, and the Secretariat, to review the project, discuss the comments/questions of the board members, and set a schedule for resolving the outstanding issues/requirements.
- (4) After the call or meeting, the FPD and Program Manager will work with the board members and their staffs to answer inquiries and resolve issues prior to the formal NNSA/NSO ESAAB-equivalent meeting. If necessary, additional telephone and/or video conferences will be held to resolve outstanding comments/issues.
- c. Prebriefings. Prebriefings are optional. The purpose of the prebrief is to have a final "run through" with the board members and/or staff, to present the project status and issues, and obtain feedback on the presentation prior to proceeding with the scheduled NNSA/NSO ESAAB-equivalent meeting. The Secretariat will establish prebrief and NNSA/NSO ESAAB-equivalent meeting dates in coordination with board members, program, and project staff.
- d. ESAAB-Equivalent Board Meetings.
  - (1) After the review and comment phase has been completed, the FPD and Program Manager will confirm their intent to continue with the NNSA/NSO ESAAB-equivalent meeting with the Secretariat. The Secretariat will make final meeting preparations, distribute the project presentation to the board members, and coordinate the preparation of a decision memorandum.
  - (2) A draft decision memorandum, see Appendix C for example, will be prepared by the FPD prior to the meeting, and provided to the Secretariat for use at the NNSA/NSO ESAAB-equivalent meeting. This memorandum will:
    - (a) Describe the decision requested.
    - (b) Capture action items and/or issues resulting from the NNSA/NSO ESAAB-equivalent review.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

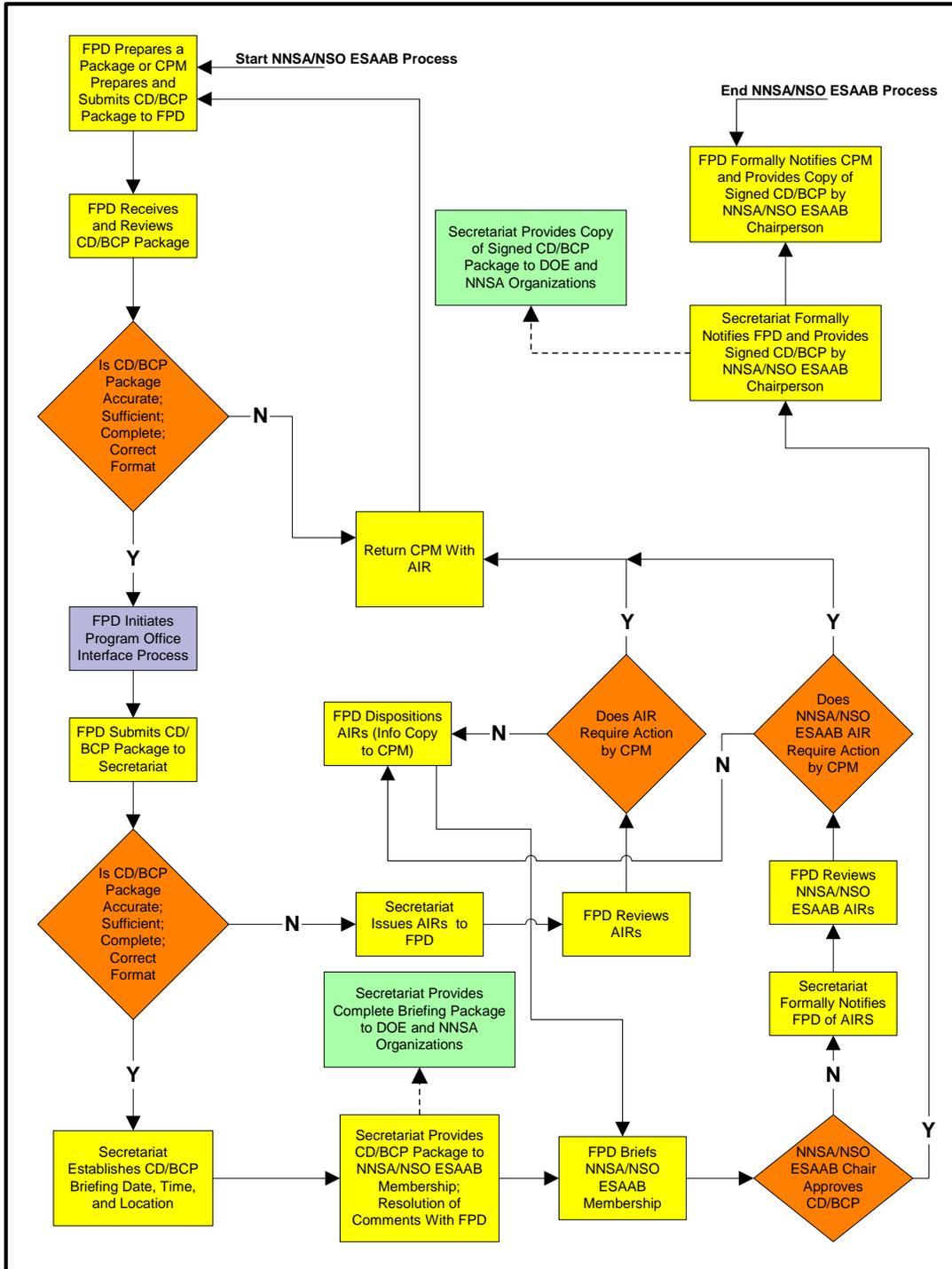
Attachment 3  
Page 15

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- (c) Incorporate approval and disapproval spaces for use by the AE.
- (3) The NNSA/NSO Secretariat will work with the FPD to ensure the decision memorandum package is complete and obtain board member concurrences prior to the final meeting.
- (4) At the formal meeting, the FPD will present the project before the NNSA/NSO ESAAB-equivalent. The presentation should be brief and emphasize the review steps taken, comment/issue resolution, and the decision that is being requested of the AE. (See Appendix D for outline of NNSA/NSO ESAAB-equivalent presentation.) Any unresolved issue that requires action by the AE should be presented at this time. Agreement to present unresolved issues to the AE will be a joint decision between the FPD, Program Manager, and the board members.
- (5) At the conclusion of the presentation, board members will be asked to state their endorsement of the decision (if they have not done so already), and the decision memorandum will be offered to the AE for signature. The decision memorandum will incorporate approval or disapproval, and action items and/or issues that result from the NNSA/NSO ESAAB-equivalent review, as appropriate. Signed copies of the decision memorandum will be provided to the FPD, Program Manager, CPM, NNSA/NSO ESAAB-equivalent members, DOE and NNSA Program Managers, DOE and NNSA ESAAB-equivalent Secretariats, and involved offices within a week of signatures.
- (6) Significant changes to the decision memorandum, if required, will be made by the Secretariat and Project Team, and offered to the AE for signature within one week of the NNSA/NSO ESAAB-equivalent meeting.
- (7) The proceedings of the meeting will be mechanically recorded by the Secretariat. Copies of the minutes, including the action items identified, will be distributed to FPD, Program Managers, board members, and interested offices, within two weeks of the meeting.

APPENDIX A

NNSA/NSO ESAAB-EQUIVALENT PROCESS FLOWCHART FOR CD AND BCP ACTIONS



**PROJECT MANAGEMENT PRINCIPLES AND PRACTICES**

**NSO O 413.XB  
9-11-08**

**Attachment 3  
Page 17**

**APPENDIX B**

**ESAAB-EQUIVALENT PROCESS TIMELINE**

<b>ACTIVITY</b>	<b>TIME REQUIRED</b>
CPM prepares and submits NNSA/NSO ESAAB package Process begins with submission	START
FPD assists in preparation; receives and reviews package*	1 week*
Coordinate with Program Office*	1 week*
Secretariat receives and reviews package*	2 days*
Secretariat provides review package to NNSA/NSO ESAAB board and coordinates issues with FPD/CPM*	2 weeks*
Secretariat establishes expedited reviews that are in addition to the regular schedule	2 days
Package to DOE/EM-6 and NNSA OECM, NA-54 (as required)*	3 weeks*
FPD Briefs to NNSA/NSO ESAAB	1 day
Board approves/rejects package  YES: Secretariat provides signed package to FPD  NO: FPD/Secretariat reviews corrective actions and returns to CPM for reprocessing/restart*	2 days 1 week*
FPD notifies CPM to proceed*	2 days*

\*These activities and associated time requirements can be conducted concurrently with other actions.

APPENDIX CCD INFORMATION OUTLINES

Environmental Management (EM) and Facility Disposition projects are driven by regulatory requirements in the Comprehensive Environmental Response, Compensation, and Liability Act or the Resource Conservation and Recovery Act. Therefore, the phases of these projects are not exactly the same as the traditional construction project. The following CDs are associated with these projects; however, because of statutory time limits, potential fines, extensive documentation requirements, and the nature of the CDs, the AE, subject to the approval of the PSO, and notification to OECM, may decide not to require an ESAAB meeting. The CD/BCP will be disposed and documented by the AE in a decision memorandum.

1. CD-0--APPROVE MISSION NEED.<sup>1</sup>

**NOTE:** Approval of CD-0 for all DOE O 413.3A projects with TPC greater than the congressionally mandated upper limit for a DOE General Plant Project is limited to the PSO and NNSA Deputy Administrator.

- a. Required Information. A list of CD-0 prerequisites is in DOE O 413.3A. Also, the EM Program Office requires an EM Project Definition Rating Index (PDR) self-assessment for EM projects only.
- b. Suggested Project Preparation Topics for CDs.
  - (1) The following list provides a general outline for construction scope, cost, schedule, management, and other project-related topics a project requesting CD-0 typically will have investigated prior to the decision. As part of the project development process, field and IPT members document results from the investigation of these topics. The depth and breadth of the effort in addressing these project development topics would be scaled, based upon the cost, complexity, and risks of the project. For example, not all projects will be required to follow the formal Documented Safety Analysis (DSA) process, but all projects will perform a Hazard Analysis (HA).

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<sup>1</sup> For ER projects, CD-0 and CD-1 are combined. CD-0/1 is Mission Need/Proposed Work Plan.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 19

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- (2) This list is offered as an aid in preparing for a CD-0. DOE and NNSA project lessons learned and Project Management studies have shown “projects fail not because they planned to fail, but because they have failed to plan.” The listing is an attempt to capture the important issues/topics that typically have caused project problems in the past.

(a) Statement of Mission Need.

- 1 Define performance gap between current and required capabilities of the program(s) utilizing this asset.
- 2 Relate need to DOE, NNSA, and DP/EM Strategic Plans, the Ten-Year Comprehensive Site Plan, and the Integrated Capital Plan.
- 3 Identify how the project supports the mission.
- 4 Mission need date for project.
- 5 Importance of mission need and impact if not approved.
- 6 Impact of CD-0 delay.
- 7 Identification and support of mission advocate.

(b) Brief Description.

- 1 Purpose and function.
- 2 Features.

(c) Minimum Technical/Functional Requirements.

- 1 Technical, functional, and performance requirements and interfaces.
- 2 If nuclear facility, reviewed and selected appropriate U.S. Nuclear Regulatory Commission (NRC) standards.
- 3 Feasibility of meeting objectives.

- 4 Research and Development (R&D) required. How funded? R&D plan costs, program support/schedule of deliverables for design.
- 5 Availability of special systems/equipment.
- 6 Integration with other project activities.
- 7 QA planning.
- 8 Demonstrate linkage between requirements and mission.
- 9 Systems engineering planning includes major alternatives to be examined during conceptual design.

(d) Acquisition Strategy.

- 1 Preliminary analysis with initial definition of applicable conditions and factors that may affect requirements.
- 2 Description of acquisition alternatives being considered (e.g., design-bid-build, design-build, lease back).
- 3 Preliminary analysis to identify management, technical, cost, and schedule risks as factors for determining decision.
- 4 Strategy to obtain and use Project Engineering and Design (PED) funding/incremental funding or other funding profiles.
- 5 Survey of public and private sector to determine current state-of-the-art project delivery systems and selection of benchmarks of similar projects in DOE and NNSA and private industry/lessons learned.
- 6 Make-buy decision process.

(e) Resource Capability.

- 1 Identification of capabilities required.
- 2 Capabilities of site personnel in these technologies to support project.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 21

---

(f) Risks.

- 1 Preliminary risk management plan.
- 2 Risk mitigation strategies under development.

(g) Preliminary Security Planning.

- 1 Planned security assessments funding.
- 2 Functional requirements for security defined.
- 3 Preliminary security determination from review of Site Safeguards and Security Plan.
- 4 Plan for addressing security in design.

(h) Preliminary Environmental Strategy.

- 1 Expected National Environmental Policy Act (NEPA) strategy.
- 2 Pollution prevention requirements.
- 3 Waste minimization requirements.
- 4 Energy conservation requirements.
- 5 Other expected environmental issues.
- 6 Local outreach strategy.

(i) Preliminary Safety Determination.

- 1 Define safety objectives and constraints.
- 2 Identification of major hazards/functional requirements for safety defined.
- 3 Integrated Safety Management strategy/process flow diagram.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

4 Safety Basis Review Team (SBRT) Review Plan compliance (nuclear projects).

(j) Proposed Cost and Schedule.

1 Fiscal year funding start.

2 Expected design duration.

3 Expected construction duration.

4 Critical milestones.

5 Preliminary cost range for project, Total Estimated Costs (TEC), and TPC.

6 Detailed cost estimate and resource-loaded schedule for proposed conceptual design phase.

7 Preliminary funding profile.

8 Mortgage Analysis (Capital and Operating). Does this reasonably fit in NNSA EM budget out years?

9 Facility Operating Costs. Can NNSA EM budget support operating costs?

10 Preliminary CD-1 and CD-2 request dates versus budget cycle milestones.

(k) Preliminary Legal Strategy.

1 Preliminary determination on make-buy decisions.

2 Preliminary review of local agreements.

3 Preliminary NEPA and permitting strategy.

(l) Organizational interfaces.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 23

---

(m) Involvement of Related Agencies.

- 1 Strategy for developing internal agency agreements.
- 2 State and regulatory agency agreements.
- 3 Strategy for cooperation/collaboration with agencies.

(n) Conceptual Planning/Acquisition.

- 1 Cost.
- 2 Congressional notification/approval required (Conceptual Design Report [CDR] cost greater than \$3 million).
- 3 Schedule/duration.
- 4 Budget planning requirements.
- 5 Who will do CDR?
- 6 How will it be acquired/accomplished?
- 7 Additional R&D and/or planning required prior to CD-1.
- 8 Option to be developed.
- 9 Total operating (operational exercise) prior to Title I start.
- 10 Source of conceptual phase funding.

(o) Project Management (IPT).

- 1 Members, organized charter, roles and responsibilities of each.
- 2 Program Manager. Names.
- 3 Proposed FPD/Contracting Officer Technical Representative (COTR) relationship.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

- 4 Safety.
- 5 Environment and health.
- 6 Legal.
- 7 Procurement.
- 8 Public outreach.
- 9 Maintenance and operations.
- 10 Contracting Officer.
- 11 Copy of proposed FPD resume and history.

(p) Project inclusion in management and operating performance award.

(q) Identify all assumptions.

(r) Identify similar successful and unsuccessful projects.

- 1 Project on site and other sites for future.
- 2 Benchmarking and lesson learned identification.

### 2. CD-1--APPROVE ALTERNATIVE SELECTION AND COST RANGE.<sup>2, 3</sup>

- a. Required Information. A list of CD-1 prerequisites is in DOE O 413.3A. Also, the EM Program Office requires an EM PDR self-assessment for EM projects only.
- b. Suggested Project Preparation Topics for CDs.

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<sup>2</sup> For ER projects, CD-0 and CD-1 are combined. CD-0/1 is Mission Need/Proposed Work Plan.

<sup>3</sup> For Facility Disposition projects, CD-1 and CD-2 are combined. CD-1/2 is Conceptual/Preliminary Design.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 25

---

- (1) The following list provides a general outline for construction scope, cost, schedule, management, and other project-related topics a project requesting CD-1 typically will have investigated prior to the decision. As part of the project development process, IPT members document results from the investigation of these topics. The depth and breadth of the effort in addressing these project development topics would be scaled, based upon the cost, complexity, and risks of the project. For example, not all projects will be required to follow the formal DSA process, but all projects will perform an HA.
- (2) This list is offered as an aid in preparing for a CD-1. DOE and NNSA project lessons learned and project management studies have shown “projects fail not because they planned to fail, but because they have failed to plan.” The listing is an attempt to capture the important issues/topics that typically have caused project problems in the past.
  - (a) Statement of Mission Need--Validation of Currency. Mission Need Statement reassessed and reverified by AE.
  - (b) Brief Description.
    - 1 Purpose and function.
    - 2 Location (site selection decision approved).
    - 3 Features.
    - 4 Plan to overcome any past site project development/execution problems.
  - (c) Technical/Functional Requirements.
    - 1 Treatment of functional and technical performance requirements and interfaces in conceptual design.
    - 3 If nuclear facility, reviewed and selected appropriate NRC standards.
    - 4 Alternatives analysis comparison of Life Cycle Costs (LCC), feasibility, stakeholder objectives, safety, regulatory requirements, and other appropriate factors.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

- 5 Definition and justification of preferred option.
- 6 R&D funding in place, integrated in project schedules/completed identification deliverables for design.
- 7 Availability of special systems/equipment.
- 8 Title I design control strategies.
- 9 Configuration Management Plan and implementation process.
- 10 Plan for incorporation of lessons learned from similar projects.
- 11 Compare to General Services Administration space guidance.

(d) Acquisition Strategy.

- 1 Definition, evaluation, and Assessment of Alternatives including consideration of LCC.
- 2 Results of survey to determine current state-of-the-art for project.
- 3 Results of benchmarking of similar projects.
- 4 Contract type for each major procurement contemplated.
- 5 PED funding Execution Plan.
- 7 Request for Quote/Request for Proposal (RFP)/contracting strategy (design-build versus design-bid-build decision analysis versus Construction Management process).
- 8 Government cost estimate for procurements in preliminary design phase.

(e) Resource Capability.

- 1 Assessment of site/project and program team personnel capabilities in project-specific technologies.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 27

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2 Plans to obtain necessary project capabilities.

(f) Risks.

1 Risk assessment.

2 Basis for risk assessment.

3 Mitigation strategies.

4 Preliminary contingency analysis.

(g) Cost and Schedule.

1 Preliminary TEC and TPC range.

2 Estimate assumptions, exclusions, and qualifications.

3 Detailed cost estimate and schedule for design phase.

4 Funding profile.

5 Mortgage analysis (capital and operating).

6 Facility operating costs.

7 Fiscal year funding start.

8 Preliminary project schedule including critical path analysis.

9 Project milestones.

(h) Project Management.

1 Approved CDR.

2 Project Data Sheet (PDS) (construction PDS for PED funding to be approved, TEC/ TPC range number).

3 Assignment of COTR responsibility.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

- 4 Preliminary PEP.
- 5 Federal Project Acquisition Team status (part of PEP).
  - a Federal Project Director.
  - b Contractor Project Manager.
  - c IPT charter.
  - d IPT membership roles and responsibilities.
- 6 Project organization and staffing.
- 7 Process for change control including control of contingency funds.
- 8 Project Control System.
- 9 Project WBS.
- 10 Identified stakeholders and relationship to project.
- 11 Identify past reviews to date.
- 12 Status of CAP items.
- (i) Environmental.
  - 1 Preliminary NEPA assessment/status/issues.
  - 2 Permitting requirements.
  - 3 Pollution prevention plans.
  - 4 Waste minimization plans.
  - 5 Other expected environmental issues.
  - 6 Local outreach input/results.
  - 7 Energy Conservation Report.

(j) Safety.

- 1 Identify facility processes.
- 2 Preliminary HA.
- 3 Hazard categorization.
- 4 Safety function definitions.
- 5 Initial selection of safety class systems.
- 6 Facility Design Descriptions (FDD).
- 7 System Design Descriptions (SDD).
- 8 Facility siting determination.
- 9 Preliminary DSA draft.
- 10 Criteria for design-in safety.
- 11 Hazardous material inventory and characterization.
- 12 Preliminary defense in-depth.
- 13 SBRT Review Plan compliance (nuclear projects).

(k) Safeguards and Security.

- 1 Security determination from review of Site Safeguards and Security Plan.
- 2 Completed security assessments.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

- (l) Legal.
  - 1 Determination on contracting strategy.
  - 2 Local agreements review results.
  - 3 Preliminary NEPA assessment.
  - 4 Permitting requirements.
- (m) Organizational Interfaces.
- (n) Involvement of Related Agencies--Schedule Integration of Stakeholders (Defense Nuclear Facilities Safety Board [DNFSB], NEPA, etc.).
  - 1 State and regulatory agency agreements.
  - 2 Cooperation/collaboration agreements with agencies.
  - 3 Internal agreements documented and in place.
- (o) Report of Lessons Learned and Benchmark Addressed by Project Team. Identify all assumptions.

### 3. CD-2--APPROVE PERFORMANCE BASELINE.<sup>4, 5</sup>

- a. Required Information. EM Program Office requires an EM PDRI self-assessment for EM projects only.
- b. Suggested Project Preparation Topics for CDs.
  - (1) The following list provides a general outline for construction scope, cost, schedule, management, and other project-related topics a project requesting CD-2 typically will have investigated prior to the decision. As

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<sup>4</sup> For ER projects, CD-2 and CD-3 are combined. CD-2/3 is Performance Baseline/Start Remedial Action.

<sup>5</sup> For Facility Disposition projects, CD-1 and CD-2 are combined. CD-1/2 is Conceptual/Preliminary Design.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 31

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part of the project development process, field and IPT members document results from the investigation of these topics. The depth and breadth of the effort in addressing these project development topics would be scaled, based upon the cost, complexity, and risks of the project.

- (2) This list is offered as an aid in preparing for a CD-2. DOE and NNSA project lessons learned and project management studies have shown “projects fail not because they planned to fail, but because they have failed to plan.” The listing is an attempt to capture the important issues/topics that typically have caused project problems in the past.
  - (a) Statement of Mission Need. Mission Need Statement reassessed and reverified by AE.
  - (b) Brief Description.
    - 1 Purpose and function.
    - 2 Location/site plot plan.
    - 3 Features.
  - (c) Technical/Functional Requirements.
    - 1 Preliminary Design Report.
    - 2 Results of Title I design review.
    - 3 If nuclear facility, have NRC standards been appropriately addressed in Title I?
    - 4 Incorporation of functional and technical performance requirements and interfaces in design.
    - 5 Value engineering results and incorporation into design.
    - 6 System Design Descriptions.
    - 7 Availability of special systems/equipment.

- 8 Reliability of systems as relates to facility usability.
- 9 Design control process.
- 10 Completed design criteria.
- 11 Long-lead items specified.
- 13 Confirm lessons learned incorporated into design.
- 14 Confirm quality included in design.
- 15 Initial startup plan.

(d) Acquisition Strategy.

- 1 Long-lead/special equipment procurement strategies/plans/ contracts.
- 2 RFP/contracting strategy for construction.
- 3 Value management incentive program for any facility construction contract.
- 4 Process for change orders or other contract modifications in place.
- 5 RFP approval along with CD-3 request for design build.
- 6 Assessment of pre-CD-2 performance.

(e) Risks.

- 1 Risk Assessment. Update.
- 2 Mitigation Strategies. Update.
- 3 Contingency Analysis. Final.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 33

---

(f) Cost and Schedule.

- 1 Performance baseline detailed cost estimate, TEC, and TPC.
- 2 Major estimate assumptions.
- 3 Updated funding profile and mortgage analysis (capital and operating).
- 4 Estimated LCC.
- 5 Performance baseline project schedule including critical path analysis.
- 6 Project milestones.
- 7 Independent Cost Review.

(g) Project Management.

- 1 Integrated Project Team.
- 2 Updated PDS.
- 3 Results of external and nonadvocate reviews.
- 4 Status of CAP items.

(h) Environmental.

- 1 Final NEPA determination.
- 2 Permitting arrangements.
- 3 Pollution prevention ideas incorporated into design.
- 4 Waste minimization ideas incorporated into design.
- 5 Local outreach input/results.

- 6 Status of emergency planning.
- 7 Identify waste sites incorporated in design.
- (i) Safety.
  - 1 Results of hazard classification.
  - 2 Preliminary DSA and Safety Evaluation Report (SER) Summaries for Hazard Category 3, and above
  - 3 Auditable safety analysis for hazard category, below 3.
  - 4 Safety Structure, System, and Component (SSC) functional requirements.
  - 5 Criteria for designed in safety.
  - 6 Defense in-depth and worker protection design criteria.
  - 7 Preliminary technical safety requirements.
- (j) Safeguards and Security. Safeguards and Security requirements.
- (k) Legal. Permitting arrangements.
- (l) Organizational interfaces.
- (m) Involvement of Related Agencies. Revised schedule for stakeholders interface.
  - 1 State and regulatory agency agreements.
  - 2 Cooperation/collaboration agreements with agencies.
  - 3 Internal Memorandums of Understanding in place.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 35

### 4. CD-3--APPROVE START OF CONSTRUCTION OR REMEDIAL ACTION.<sup>6, 7</sup>

- a. Required Information. A list of CD-3 prerequisites is in DOE O 413.3A. Also, the EM Program Office requires an EM PDRI self-assessment for EM projects only.
- b. Suggested Project Preparation Topics for CDs.
  - (1) The following list provides a general outline for construction scope, cost, schedule, management, and other project-related topics a project requesting typically will have investigated prior to the decision. As part of the project development process, field and project team members document results from the investigation of these topics. The depth and breadth of the effort in addressing these project development topics would be scaled, based upon the cost, complexity, and risks of the project. For example, not all projects will be required to follow the formal DSA process, but all projects will perform an HA.
  - (2) This list is offered as an aid in preparing for a CD-3. DOE and NNSA project lessons learned and project management studies have shown “projects fail not because they planned to fail, but because they have failed to plan.” The listing is an attempt to capture the important issues/topics that typically have caused project problems in the past.
    - (a) Statement of Mission Need.
      - 1 Reaffirmed mission need.
      - 2 Mission need date for project.
      - 3 Construction schedule for meeting date.

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<sup>6</sup> For ER projects, CD-2 and CD-3 are combined. CD-2/3 is Performance Baseline/Start Remedial Action.

<sup>7</sup> For Facility Disposition projects, CD-3 is End of Design/Start of Demolition and Disposal (D&D).

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

(b) Brief Description.

- 1 Purpose and function.
- 2 Location/Site Plot Plan.
- 3 Features.

(c) Technical/Functional Requirements.

- 1 Final Design Report.
- 2 Final procurement packages.
- 3 Results of Title II design review.
- 4 Incorporation of functional and technical performance requirements and interfaces.
- 5 If nuclear facility, have appropriate NRC standards been incorporated in Title II design?
- 6 Assurance of compliance with codes and standards/QA review results.
- 7 Systems' designs as relates to facility reliability/usability.
- 8 Configuration management process operating.
- 9 Confirm quality incorporated in design.

(d) Acquisition Strategy.

- 1 Long-lead/special equipment procurement status.
- 2 RFP/contracting strategy for construction. (Design build combine with CD-2).
- 3 United States vendor participation/completed all foreign ownership determinations.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 37

---

4 Assessment of pre-CD-3 performance.

(e) Risks.

1 Updated risk assessment.

2 Mitigation strategies.

3 Contingency status.

(f) Cost and Schedule.

1 Cost and schedule status of design effort including earned value analysis.

2 Updated performance baseline detailed cost estimate, TEC, and TPC.

3 Updated funding profile and mortgage analysis (capital and operating).

4 Facility LCC.

5 Updated performance baseline detailed project schedule (resource loaded with critical path analysis).

6 Project milestones.

7 Project control systems in place and operating.

(g) Project Management.

1 Integrated Project Team.

2 Updated PDS.

3 Project controls, scheduling, configuration management, reporting, and change control procedures.

4 Project Completion Plan approved. Transition Plan and budget.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

5 Out-year operating funds included in planning budgets for operations, maintenance, and security.

6 Identify past reviews to date.

7 Status of CAP items.

(h) Environmental.

1 Final NEPA determination approved.

2 Permitting arrangements complete.

3 Pollution prevention ideas incorporated into design.

4 Waste minimization ideas incorporated into design.

5 Local outreach input/results.

6 Emergency preparedness planning.

(i) Safety.

1 Completed hazard identification and classification.

2 Specifications of preventive and mitigative safety. Safety class SSCs.

3 Accident analysis.

4 Preliminary DSA complete for Hazard Category 3, and above.

5 FDD complete.

6 SDD, Chapters 1-4.

7 Environment, Safety, and Health (ES&H) integration in project execution.

8 Safety orders and regulations compliance ensured.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 39

---

9 Occupational Safety and Health Administration (OSHA) Safety Plan in place.

10 SBRT Review Plan compliance (nuclear projects).

(j) Safeguards and Security.

1 Security determination from review of Site Safeguards and Security Plan.

2 Incorporation of specific security needs in design.

3 Security escorts for construction (if necessary) funded and available.

4 Coordination of construction activities with security department.

(k) Legal. Permitting arrangements.

(l) Organizational interfaces.

(m) Involvement of Related Agencies--Results of Safety Stakeholder Reviews (DNFSB and Other).

1 State and regulatory agency agreements.

2 Cooperation/collaboration agreements with agencies.

3 Internal agreements status.

### 5. CD-4--APPROVE START OF OPERATIONS OR PROJECT CLOSEOUT.

a. Required Information. A list of CD-4 prerequisites is in DOE O 413.3A. Also, the EM Program Office requires an EM PDR self-assessment for EM projects only.

b. Suggested Project Preparation Topics for CDs.

(1) The following list provides a general outline for construction scope, cost, schedule, management, and other project-related topics a project requesting typically will have investigated prior to the decision. As part of

the project development process, field and project team members document results from the investigation of these topics. The depth and breadth of the effort in addressing these project development topics would be scaled, based upon the cost, complexity, and risks of the project.

- (2) This list is offered as an aid in preparing for a CD-4. DOE and NNSA project lessons learned and Project Management studies have shown “projects fail not because they planned to fail, but because they have failed to plan.” The listing is an attempt to capture the important issues/topics that typically have caused project problems in the past.
- (a) Statement of Mission Need. Has mission need been met? Validation document.
  - (b) Brief Description.
    - 1 Purpose and function.
    - 2 Location/Site Plot Plan.
    - 3 Features.
  - (c) Project Management.
    - 1 IPT--plan for continued operation of team or dissolution of team in place.
    - 2 Staff Reduction Plan.
    - 3 Project Completion Plan.
    - 4 Transition Plan status.
    - 5 Operating funds status.
  - (d) Technical/Functional Requirements.
    - 1 Results of Operation Readiness Review, if required.
    - 2 If nuclear facility, have NRC standards been addressed?

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 41

---

- 3 Compliance with functional and technical requirements.
  - 4 Compliance with Design Criteria.
  - 5 Integration with the site/systems as proposed.
  - 6 "As-built" drawings status.
  - 7 Operations and Maintenance Plan.
  - 8 Training of facility staff trained in maintenance and operation of the facility/systems.
  - 9 Facility Staffing Plans status.
- (e) Configuration Management.
- 1 As-built drawings and documents status.
  - 2 Configuration Management Plan.
  - 3 Configuration management documentation integration.
- (f) Acquisition Strategy.
- 1 Status of Construction Contracts. Closeout.
  - 2 Outstanding claims status.
- (g) Risks. Contingency status (plan against outstanding project issues).
- (h) Cost and Schedule.
- 1 Status of funds.
  - 2 Expected closeout of project.
  - 3 Schedule status.
  - 4 Documented lessons learned.

(i) Environmental Status.

- 1 Status of applicable permits, licenses, and regulatory approvals.
- 2 Pollution Prevention Plans or strategies execution.
- 3 Waste minimization execution.
- 4 Response to stakeholders' concerns.
- 5 Documentation of project benefits in public participation plans or documents.

(j) Safety.

- 1 Construction changes effects on safety.
- 2 Safety component specifications status.
- 3 SDDs status.
- 4 FDDs status.
- 5 Formal DSA status.
- 6 SER issued.
- 7 ES&H Program Plan status.
- 8 OSHA Compliance Plan status.
- 9 DNFSB interface status.
- 10 SBRT Review Plan compliance (nuclear projects).

(k) Safeguards and Security.

- 1 Safeguards and Security requirements as stated in the DOE and NNSA Orders.
- 2 Project integration into Site Safeguards and Security Plan.

PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 3  
Page 43

---

- 3 Security systems physical integration into site security systems.
- 4 Facility specific security training and procedures status.
- 5 Appropriate protective force status.

(l) Legal.

- 1 Status of outstanding claims against project.
- 2 Compliance with local agreements.
- 3 NEPA and permitting status.

(m) Demolition and Disposal (D&D),If Applicable.

- 1 D&D Plan is complete and approved.
- 2 Agreements/contracts in place for construction/demolition debris disposal.

(n) Organizational interfaces.

(o) Involvement of Related Agencies.

- 1 Compliance with state and regulatory agency agreements.
- 2 Cooperation/collaboration processes/procedures in place with agencies.

APPENDIX D

DECISION MEMORANDUM OUTLINE

Subject: Request for ESAAB-equivalent decision on CD-X (BCP) for "PROJECT X."

To: NNSA/NSO ESAAB Secretariat

Decision Needed: The "XXX" Project Management Team is requesting an NNSA/NSO ESAAB-equivalent board decision on the CD-X for "PROJECT X" (brief statement of what you are requesting).

Timing Required: Date requested for decision (i.e., decision by need date).

Background: (Short background discussion of CD/BCP need relating to project status and plans. References to attached backup documentation to support decision. Points of contact.)

Signature block (FPD)

Enclosures  
(backup documentation)

cc:  
DOE and NNSA Project Support Offices (DP or EM)  
Program Office (Project Advocate at DOE and NNSA)

APPENDIX E

NNSA/NSO ESAAB-EQUIVALENT PRESENTATION OUTLINE

The following are outlines of typical NNSA/NSO ESAAB presentations:

1. CRITICAL DECISIONS.

- a. What decision is being requested from the NNSA/NSO ESAAB AE?  
(1 slide)
- b. Extremely brief project overview (i.e., mission and description). (1-3 slides)
- c. Changes to project status and resolution of prior issues since last NNSA/NSO ESAAB meeting. (1-2 slides)
  - (1) What progress has been made on the project since the last ESAAB meeting including progress on AIRs and resolution of other issues?
  - (2) A review of all safety requirements and issues.
- d. Brief summary of results of NNSA/NSO ESAAB member staff review.  
(1-2 slides)
  - Summarize results of NNSA/NSO ESAAB discussions, issue resolution, and plans for newly identified AIRs.
- e. Specific Issues that require AE action. (1 slide)
  - FPD and Program Office will work with board members to prepare specific major issues for presentation to AE, in advance of the NNSA/NSO ESAAB for presentation and discussion. This should be reserved for issues that have significant programmatic implications.
- f. Decision approval summary. (1 slide)
- g. Summary of presentation and requested decision.

2. BASELINE CHANGE PROPOSALS.

- a. Describe the BCPs and present the decision requested. (1 slide)
- b. Provide a brief description of the project. (1 slide)
- c. Project status, BCP issues. (1-2 slides)
  - Provide current project status, resolution of prior issues, and detail issues that prompted the need for the current BCP action.
- d. Scope, cost, schedule changes. (1 slide)
  - List the changes to technical scope, cost, or schedule for this BCP and compare to the previous technical scope, cost, and schedule.
- e. Show the BCP log for the project and provide a verbal summary. (1 slide)
- f. Decision approval summary. (1 slide)
- g. Summarize presentation and requested decision.

**NATIONAL NUCLEAR SECURITY ADMINISTRATION  
NEVADA SITE OFFICE (NNSA/NSO)  
BASELINE CHANGE CONTROL (BCC) REQUIREMENTS**

**FOREWORD**

DOE O 413.3A specifies BCC approval thresholds for Level 0 changes requiring approval of the Secretarial Acquisition Executive (SAE).

The Order also specifies thresholds for Level 1 changes that must be approved by a Program Secretarial Officer (PSO) or NNSA Deputy Administrator and that may not be delegated below that level.

This document reflects the current requirements, understandings, and expectations for the exercise of Level 2 change control authority by NNSA/NSO personnel.

PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

TABLE OF CONTENTS

	<u>Page</u>
FOREWORD.....	1
DEFINITIONS .....	3
1. BASELINE CHANGE PROPOSAL.....	3
2. BCC BOARD.....	3
3. CONTINGENCY.....	3
4. CONTRACTOR PROJECT MANAGER .....	3
5. PROGRAM OFFICE .....	3
BCC REQUIREMENTS.....	4
1. BACKGROUND .....	4
2. PURPOSE.....	4
3. APPLICABILITY .....	4
4. GOALS AND OBJECTIVES.....	4
5. ROLES AND RESPONSIBILITIES.....	4
a. Manager, NNSA/NSO .....	4
b. Assistant Manager .....	4
c. Federal Project Director .....	4
d. Decision Authority .....	4
e. Board Members .....	5
f. CCB Secretariat.....	6
6. CCB PROCESS .....	7
a. Preparation of a BCP .....	7
b. CCB Meetings.....	8

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 4  
Page 3

---

### DEFINITIONS

1. BASELINE CHANGE PROPOSAL (BCP). A BCP is a request to make a change in the technical scope, cost, or schedule baselines of a project. Changes that fall within the threshold limits for Level 2 changes, as defined on the approved Project Execution Plan (PEP), are submitted to the Federal Project Director (FPD) by the Contractor Project Manager and are resolved by the FPD, or other appointed Approval Authority, with support from a Federal Change Control Board.
2. BASELINE CHANGE CONTROL (BCC) BOARD. A BCC board is responsible for advising the chairperson (the Decision Authority) on issues related to their own area of expertise providing expert analysis, advice, and recommendations for disposition of the change proposal. The chairperson makes the final decision on the action presented to the board based upon input from the board members.
3. CONTINGENCY. That portion of a project cost estimate and budget that represents funds beyond the estimate for specific items or activities in the Work Breakdown Structure, which has been included to mitigate identified project risks. Control of project contingency funds is retained by the FPD with allocation of contingency funds being treated as a Level 2 baseline change.
4. CONTRACTOR PROJECT MANAGER (CPM). The CPM is, generally, from the Performance-Based Management Contractor organization, the Architect-Engineer firm, construction management firm, or a non-Department of Energy (DOE) or non-National Nuclear Security Administration (NNSA) federal employee assigned to direct the project. The CPM is responsible and accountable for the day-to-day execution of assigned projects within approved cost, schedule, and scope baselines, as defined in the Project Execution Plan.
5. PROGRAM OFFICE. The advocate promoting the project from DOE, or NNSA Nevada Site Office. This organization is responsible for planning and oversight of the execution of specific activities and missions that comprise the program.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

### BCC REQUIREMENTS

1. BACKGROUND. DOE M 413.3-1, "Project Management for the Acquisition of Capital Assets," requires that project changes will be identified, controlled, and managed through a traceable, documented Change Control Process (CCP) that is defined in the Project Execution Plan (PEP) with change control approval thresholds developed in a tiered manner, from the Secretarial Acquisition Executive to the Program Secretarial Office/Deputy Administrator level down to the Federal Project Director (FPD) and the contractor, commensurate with the size and significance of the proposed change.
2. PURPOSE. The CCP establishes the methods by which the appointed decision authority for baseline change decisions at Level 2 can approve or disapprove proposed changes to the project baseline with a full understanding of the implication and impacts of such changes on both the project and other program activities within National Nuclear Security Administration (NNSA).
3. APPLICABILITY. A formal CCP will be implemented for all DOE O 413.3A projects and all designated activities identified by Assistant Managers (AM) to be managed using the tailored principles of DOE O 413.3A.
4. GOALS AND OBJECTIVES. A formal CCP process permits all changes to be managed to integrate the cost, schedule, and technical parameters that are affected by each change.
5. ROLES AND RESPONSIBILITIES.
  - a. Manager, NNSA/NSO. The NNSA Nevada Site Office (NNSA/NSO) Manager may delegate Level 2 approvals to an AM or the FPD. The threshold between Level 2 changes and Level 3 changes that may be approved by the contractor must be defined in the PEP approved by the Acquisition Executive (AE).
  - b. Assistant Manager. Acts as Decision Authority for Level 2 decisions if delegated by the NNSA/NSO Manager.
  - c. Federal Project Director. Acts as Decision Authority for Level 2 decision if delegated by the NNSA/NSO Manager.
  - d. Decision Authority. The person appointed as Decision Authority accepts or rejects all requested changes to the technical, cost, or schedule baseline of the

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 4  
Page 5

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project that fall within the Level 2 thresholds defined in the approved PEP and for allocation of contingency. The Decision Authority also reviews all BCPs that would require approval at Levels 0 or 1 and determines whether such requests will be submitted to the AE. Following are the primary responsibilities of the Decision Authority:

- (1) Appoints members of the CCB to ensure consideration of the impacts of proposed changes upon NNSA/NSO activities, interfaces with NNSA programs, other affected stakeholders; project risk; health, safety, and environmental issues; Safeguards and Security; quality; and other issues deemed appropriate. The Decision Authority may select the federal members of the Integrated Project Team to serve as Level 2 CCB members.
- (2) Establishes a board Secretariat function to coordinate the CCP. The Decision Authority may elect to perform this function, if appropriate.
- (3) Appoints additional Subject Matter Experts to assist board activities as necessary to address specific technical requirements of the proposed baseline change proposal.
- (4) Presides over all CCB meetings.
- (5) Ensures all CCB members fulfill their responsibilities.
- (6) Advises the NNSA/NSO Manager and the DOE AE of approved Level 2 baseline changes during regularly scheduled project review meetings.

e. Board Members.

- (1) All appointed CCB members will evaluate the proposed BCP to:
  - (a) Ensure requirements are met and accepted technical/business practices are followed.
  - (b) Ensure impact upon other NNSA/NSO activities and other Department of Energy and NNSA programs and projects have been properly considered and evaluated.
  - (c) Provide effective recommendations and advice to the Decision Authority.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

- (2) Following are the primary responsibilities of the board members:
  - (a) Provide timely review and fully evaluate project materials associated with the BCP.
  - (b) Prepare and direct questions/comments on specific project items that require resolution and submit them, through the FPD, to the contractor.
  - (c) Work to resolve questions and issues.
  - (d) Attend the CCB meetings.
  - (e) Provide recommendations on the disposition of the BCP to the Decision Authority.
  
- f. CCB Secretariat. The secretariat function is to coordinate CCB meetings; ensures the contractor provides requested additional information; ensures issues are worked and resolved; and prepares and disseminates information from the meeting. The primary responsibilities of the Secretariat are:
  - (1) Coordinate and establish CCB schedules.
  - (2) Distribute the BCP package to the Decision Authority and board members.
  - (3) Work with board members to prepare AIR and provide through the FPD to the contractor for response.
  - (4) Record minutes and action items from board meetings.
  - (5) Coordinate preparation of a Decision Memorandum for signature of the Approval Authority to document the decision on the change request and any action items arising from meetings.
  - (6) Provide Decision Authority decisions to the FPD, the CPM, and other DOE or NNSA Offices as required by procedures.
  - (7) Maintain a traceable and formal BCP log of all requests and decisions.

g. CCB PROCESS

(1) Preparation of a BCP.

- (a) The contractor will reach agreement with the FPD on any need for baseline changes to project technical scope, cost, or schedule that exceed the Level 3 thresholds approved in the PEP or any requests for utilization of contingency funds.
- (b) With the approval of the FPD, the contractor will prepare a formal BCP for any change to technical scope, cost, or schedule that exceeds the Level 3 authority given to the contractor in the PEP or for utilization of project contingency funds.
- (c) The BCP must describe fully and completely the proposed change to the technical scope, the exact dollar amount of any requested change in the baseline cost, and the exact impact on schedule milestones including project completion. The BCP should include monthly cost forecasts and schedule, and schedule critical path plots for both the currently approved baseline and the proposed revised baseline with a clear tabulation or illustration of the proposed changes.
- (d) The BCP must identify the specific element of the project WBS in which the change is requested and describe what impacts, if any, the proposed change(s) will have on other WBS elements of the project. Impacts, if any, must be identified on approved functional and technical requirements of the project and on any element related to health and safety, environmental impacts, regulatory or permitting requirements, Safeguards and Security, or project quality. If no impacts can be identified for one or more of these factors, the BCP will clearly state that no impacts have been identified.
- (e) The BCP must also identify the impact(s), if any, that the requested change will have on other activities of NNSA/NSO, on DOE and NNSA programs, on identified stakeholder issues, and on any agreements with state and/or local officials.
- (f) The BCP will be submitted by the CPM or other management authority as authorized by contractor management.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

(2) Preparation, Review, and Comment Resolution.

- (a) Upon receipt of a BCP, the Secretariat will coordinate with the FPD, the Decision Authority, and the Program Office on setting a date for the CCB meeting, an agreed-upon deadline for submittal of AIR by board members, response time from the contractor, and any intermediate actions such as review meetings.
- (b) The Secretariat will then notify all board members and the CPM of the scheduled meeting date(s) and will distribute to the board members copies of the submitted BCP and any back-up information provided by the contractor.
- (c) Board members will review the submitted material with regard to the functional area for which they have been appointed to the board and submit them to the Secretariat for transmittal through the FPD to the contractor. Meetings to clarify information or to resolve issues will be scheduled through the Secretariat.

c. CCB Meetings.

- (1) After the review and comment phase has been completed, the Decision Authority will confirm the intent to continue with the CCB meeting with the Secretariat. The Secretariat will make final meeting preparations, distribute the project presentation and relevant supporting information to the board members, and coordinate the preparation of the decision Memorandum with the FPD.
- (2) At the formal meeting, the CPM will present the proposed baseline changes before the CCB. The presentation should be brief and describe the proposed change(s), the identified impacts, and review steps that have been taken and the comment resolution process. Any unresolved issues that require action by the Decision Authority will be presented at this time for formal resolution by the Decision Authority.
- (3) At the conclusion of the presentation, the Design Authority will request advice and recommendations from each board member concerning the BCP. The Design Authority will then approve or disapprove the requested change and assign any action items that may arise from the review and discussion of the project status.

## PROJECT MANAGEMENT PRINCIPLES AND PRACTICES

NSO O 413.XB  
9-11-08

Attachment 4  
Page 9 (and 10)

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- (4) The Decision Authority will then sign the drafted Decision Memorandum or direct revisions to be prepared for later signing.
- (5) The Secretariat will record the minutes of the meeting and distribute copies of these minutes, including salient discussions, minority or dissenting opinions, and action items identified, within one week of the meeting.