



Department of Energy  
Office of Science  
Washington, DC 20585

March 3, 2021

Dr. Thomas Zacharia  
Director  
Oak Ridge National Laboratory  
Bethel Valley Road  
Oak Ridge, Tennessee 37830

Dear Dr. Zacharia:

It is a pleasure to inform you that the University of Tennessee-Battelle (UT-Battelle) at the Department of Energy (DOE) Oak Ridge National Laboratory (ORNL) has successfully completed the DOE Earned Value Management System (EVMS) surveillance review process. As a result of the independent surveillance review conducted and the corrective actions taken by ORNL, it has been determined that the EVMS meets the requirements of the Electrical Industries Alliance (EIA)-748.

To verify EVMS compliance, an independent surveillance/EVMS acceptance review was conducted at ORNL during December 2019 and forwarded to the Office of Project Assessment in July 2020 to determine if the UT-Battelle EVMS met the EIA requirements. The final report was based on an examination of the previously Certified UT-Battelle EVMS System Description and an on-site evaluation of two in-progress ORNL projects: the Spallation Neutron Source Proton Power Upgrade (PPU) and the Oak Ridge Leadership Computing Facility Upgrade 5 (OLCF-5). The PPU project is pre-CD-2 and post CD-3B; the OLCF-5 project is post CD-2.

The review identified no Corrective Action Requests (CARs), and eleven Continuous Improvement Opportunities (CIOs), three with an asterisk, which are not strict requirements, but would improve the UT-Battelle system. Both the CIO/CIO\* corrective actions proposed by UT-Battelle have been determined to be acceptable.

*Continuous Improvement Opportunities (CIOs)/CIO\**

- CIO-01\* Update WBS dictionary (PPU) to reflect which elements contain management effort and travel. (Guideline 1)
- CIO-02\* Correct reference error found in Earned Value Management System Description (EVM-SD). (Guideline 3)
- CIO-03 Consider establishing an independent document for the (OLCF-5) Responsibility Assignment Matrix (RAM). (Guideline 5)
- CIO-04 Consider defining a standard set of procurement steps for (PPU) Long Lead Procurements (LLPs). (Guideline 7)

- CIO-05 Consider providing budget by cost element data in advance of surveillance reviews. (Guideline 9)
- CIO-06\* Properly use planning packages by not assigning earned value techniques until converted into discrete work packages. (Guideline 10)
- CIO-07 Incorporate Level of Effort (LOE) ratio into (OLCF-5 and PPU) RAMs. (Guideline 12)
- CIO-08 Incorporate a means for tracking management reserve in the baseline change control log (OLCF-5). (Guideline 14)
- CIO-09\* Re-evaluate control account variance thresholds to ensure adequate coverage. (Guideline 23)
- CIO-10\* Maintain a current Estimate at Completion (EAC) between comprehensive EAC updates (OLCF-5). (Guideline 27)
- CIO-11 Include implementation date (OLCF-5 and PPU) and Project Change Request (PCR) approval date (PPU) on baseline change control logs. (Guideline 28)

OPA urges you to continue to maintain the high level of compliance that your staff demonstrated to the EVMS review team during the on-site review and CAP resolution process to ensure continuing EIA compliance and valid EVMS certification.

Sincerely,

Kurt W. Fisher  
Director  
Office of Project Assessment

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