




Department of Energy
Office of Science
Washington, DC 20585

Office of the Director

February 2, 2011

MEMORANDUM FOR OFFICE OF SCIENCE ASSOCIATE DIRECTORS

FROM: 
W. F. BRINKMAN
DIRECTOR, OFFICE OF SCIENCE

SUBJECT: Office of Science is Exempt from DOE Order 413.3B, *Program and Project Management for the Acquisition of Capital Assets*

DOE Order 413.3B, *Program and Project Management for the Acquisition of Capital Assets* was approved by the Deputy Secretary of Energy on November 29, 2010. The Order establishes new project management requirements including Critical Decisions (CD) approval authorities. In addition, DOE Order 413.3B provides criteria that allow a Program Secretarial Office to be exempt from its requirements.

The Office of Science (SC) currently satisfies all the criteria, and on January 19, 2011, the Deputy Secretary of Energy approved the SC request for exemption (see attached approval memorandum). The newly delegated SC Acquisition Executive authority and SC project management requirements are outlined in the attached matrix. These requirements are effective immediately and will remain in force until rescinded.

This exemption is a direct result of our past and current project performance. It provides SC with significant benefits in overseeing our projects. Failure to retain this hard won exemption would not only tarnish SC's reputation—it would place burdens on future projects that would take precious time and resources away from delivering on our critical science missions. Therefore, I want to underscore my expectation that you will continue to work not just to maintain, but improve upon, the SC track record of project success.

If there are any questions, or further assistance is needed, please contact Daniel R. Lehman, Director, Office of Project Assessment (SC-28).

Attachments

cc:
P. Dehmer, SC-2
G. Malosh, SC-3
J. Salmon, SC-4
K. Klausing, SC-41



Summary of Major Requirements

| TOTAL PROJECT COST (TPC) | | \$750M or more | Less than \$750M to \$400M | Less than \$400M to \$100M | Less than \$100M to \$50M* | Less than \$50M* to \$20M | Less than \$20M to \$10M** | | |
|---|--|---|---|--|--|--|--|--|------------------------|
| DECISION / REQUIREMENTS¹ / APPROVAL² | | | | | | | Delegation Allowed | | |
| Prior to CD0, Approve Mission Need Statement | | Reviewed by SC-28 (OPA) Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-AD | | |
| Prior to CD-1, Approve Acquisition Strategy | | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-2 | Reviewed by SC-28 Approved by SC-AD | Reviewed by SC-28 Approved by SC-AD | Reviewed by SC-28 Approved by SC-AD | | |
| CRITICAL DECISIONS | CD-0--APPROVE MISSION NEED | S-2 (CD-1 to 4 delegated, see below) | SC-1 | SC-1 | SC-AD | SC-AD | SC-AD | | |
| | CD-1--APPROVE ALTERNATIVE SELECTION AND COST RANGE | S-4 | SC-1 | SC-1 | SC-AD | SC-AD | SC-AD | | |
| | CD-2 --APPROVE PERFORMANCE BASELINE | S-4 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD | | |
| | CD-3--APPROVE START OF CONSTRUCTION | SC-1 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD | | |
| | CD-4--APPROVE START OF OPERATIONS OR PROJECT COMPLETION | SC-1 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD | | |
| BASELINE MANAGEMENT | Changes to TPC | Deviations | If performance, scope, schedule, or cost baseline at CD-2 cannot be met, then SC-1 and SC-2 must be notified & a determination made to terminate the project or establish a new performance baseline. | | | | | | |
| | | New Performance Baseline Approval | S-4 | SC-1 | SC-2 | SC-2 | SC-2 | SC-2 | |
| | No TPC Change | Routine Project Changes/Control | Directed Change | Project changes caused by Policy Directives that have the force and affect of law and regulation, or Regulatory, or Statutory action and are initiated by entities external to the Department. | | | | | |
| | | | Program | SC-AD | SC-AD | SC-AD | SC AD | SC AD | SC AD |
| | | | Project | Prog. Mgr., SOM or FPD | Prog. Mgr., SOM or FPD | Prog. Mgr., SOM or FPD | Prog. Mgr., SOM or FPD | Prog. Mgr., SOM or FPD | Prog. Mgr., SOM or FPD |
| | Contractor | Contractor | Contractor | Contractor | Contractor | Contractor | Contractor | | |
| REVIEWS | Mission Validation Independent Review | | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | |
| | Design Review Prior to CD-1, CD-2, & CD-3 | | Team External to Project | Team External to Project | Team External to Project | Team External to Project | Team External to Project | Team External to Project | |
| | Conduct Independent Project Review or External Independent Review prior to CD-0 to 3 | | ICE or ICR by OECM with OPA | ICE or ICR by OECM with OPA | ICE or ICR by OECM with OPA | Prior to CD-1 to CD-4 by SC-28 | Prior to CD-2 & CD-3 Tailored by SC-28 | Prior to CD-2 & CD-3 Tailored by SC-28 | |
| | SC-AD Request Annual Peer Reviews by PMSO Post CD-2 | | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 Tailored | SC-28 Tailored | |
| | Performance Baseline Deviation Reviews after CD-2 | | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | |
| | EVMS Review--Certification Prior to CD-3 & Bi-annual Surveillance (annual by contractor) | | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | N/A | |
| | ORR/RA--Operational Readiness Review/Readiness Assessment Prior to CD-4 | | Team External to Project | Team External to Project | Team External to Project | Team External to Project | Team External to Project | Team External to Project | |
| | Technology Readiness Assessment (TRA) prior to CD-2 and 3 by SAE or AE | | N/A | N/A | N/A | N/A | N/A | N/A | |
| | Project Definition Rating Index (PDRI) by OECM | | N/A | N/A | N/A | N/A | N/A | N/A | |
| Hazard Cat. 1,2,3 Nuclear Facility--Technical IPR Prior to CD-2 | | PSO | PSO | PSO | PSO | PSO | PSO | | |
| REPORTING | Monthly PARS II Reporting (EVMS for Projects>\$20 M) | | Project Status After CD-0 and EV After CD-2 | | | | Monthly Project Status After CD-0 | | |
| | Monthly or Quarterly Project Reporting (QPR) or Meeting after CD-0 | | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-2 and SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 | |

Summary of Major Requirements

| TOTAL PROJECT COST (TPC) | | \$750M or more | Less than \$750M to \$400M | Less than \$400M to \$100M | Less than \$100M to \$50M* | Less than \$50M* to \$20M | Less than \$20M to \$10M** |
|--|--|--|--|--|--|--|--|
| | | DECISION / REQUIREMENTS ¹ / APPROVAL ² | | | | | |
| CD-0--APPROVE MISSION NEED | | S-2 (CD-1 to 4 delegated) | SC-1 | SC-1 | SC-AD | SC-AD | SC-AD |
| PRIOR TO CD-0-- PRECONCEPTUAL PLANNING | Perform Pre-Conceptual Planning Activities | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD |
| | Mission Validation Independent Review | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD |
| | Approve Mission Need Statement | S-2 (CD-1 to 4 delegated, see | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-AD |
| | Conduct an Independent Cost Review (ICR) for Major System Project | OECM | N/A | N/A | N/A | N/A | N/A |
| | For NNSA--Prepare a Program Requirements Document | N/A | N/A | N/A | N/A | N/A | N/A |
| | <i>(Nucl)</i> For Hazard Cat. 1,2,3 Nuclear Facility--Develop & approve a Preliminary Safety Design Strategy document. | Safety Basis Approval Authority (SBAA) | Safety Basis Approval Authority (SBAA) | Safety Basis Approval Authority (SBAA) | Safety Basis Approval Authority (SBAA) | Safety Basis Approval Authority (SBAA) | Safety Basis Approval Authority (SBAA) |
| POST CD-0 | Submit approved CD or equivalent documents to OECM | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 |
| | Submit request for PED funds. Prepare PDS and OMB 300s. MIE and O&E--request funding. | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD |
| | Proceed with Conceptual Design using Operating funds | Project | Project | Project | Project | Project | Project |
| | Start monthly status PARS II reporting | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) |
| | Start Monthly or Quarterly Project Reporting/Meeting | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-2 and SC-28 | SC-AD Invite SC-2 and SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 |
| <p>AD=Associate Director; AE=Acquisition Executive; CDNS=Chief of Defense Nuclear Safety; CNS=Chief Nuclear Safety; EIR=External Independent Review Conducted by OECM; EV=Earned Value; Site Office=Field Organization (SOM, lab, etc.); FPD=Federal Project Director; ICE=Independent Cost Estimate; ICR=Independent Cost Review; IPR =Independent Project Review; OCA=Office of Cost Analysis; PARS II= Project Assessment and Reporting System; PDS= Project Data Sheet; Prog. Mgr.=HQ Program Manager; Prog. Mgr. SO= Project Management Support Office; PSO=Program Secretarial Officer; S-2=Deputy Secretary; SAE=Secretarial Acquisition Executive; SOM=Site Office Manager; US=Under Secretary</p> <p>1. Documents and reports are not intended to be stand-alone and may be combined; 2. Where no approval authorities are noted, authorities are established through other directives or the Program Offices (e.g., Functions and Requirements Assignment Matrix).</p> <p>*DOE O 413.3B does not apply for Capital Asset projects with TPC of less than \$50M only the principles of the Order applies. However, projects will submit approved CD or equivalent documents and be entered in PARS II. Project performance will be tracked for all projects with TPC of \$10M or greater.</p> <p>**For projects with TPC of less than \$10M, the Order does not apply and project is not required to be in PARS II and performance will not be tracked by OECM.</p> <p>Tailoring is necessary for efficient delivery of projects and should be applied to all projects considering size, complexity, cost, and risks.</p> <p> Hazard Category 1, 2, and 3 nuclear facilities as defined in DOE STD only. NNSA projects only</p> | | | | | | | |

Summary of Major Requirements

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|--|---|---|--|--|--|--|--|--|
| DECISION / REQUIREMENTS ¹ / APPROVAL ² | | Delegation Allowed | | | | | | |
| CD-1--APPROVE ALTERNATIVE SELECTION AND COST RANGE | | S-4 | SC-1 | SC-1 | SC-AD | SC-AD | SC-AD | |
| PRIOR TO CD-1--CONCEPTUAL DESIGN | Approve Acquisition Strategy | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-2 | Reviewed by SC-28 Approved by SC-AD | Reviewed by SC-28 Approved by SC-AD | Reviewed by SC-28 Approved by SC-AD | |
| | Approve Preliminary Project Execution Plan (PEP) | S-2 (CD-1 to 4 delegated, see | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-2 | Reviewed by SC-28 Approved by SC-AD | Reviewed by SC-28 Approved by SC-AD | Reviewed by SC-28 Approved by SC-AD | |
| | Appointment of the Federal Project Director (FPD) | S-4 | SC-1 | SC-1 | SC-AD | SC-AD | SC-AD | |
| | Approve Integrated Project Team (IPT) | S-4 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD | |
| | Develop a Risk Management Plan | Project | Project | Project | Project | Project | Project | |
| | Comply with the One-for-One Building Space Replacement | Project | Project | Project | Project | Project | Project | |
| | Complete a Conceptual Design | Project | Project | Project | Project | Project | Project | |
| | Document High Perf. & Sustainable Bldg. & Sustainable Env. Stewardship considerations | Project | Project | Project | Project | Project | Project | |
| | Conduct a Conceptual Design Review | Team external to project | Team external to project | Team external to project | Team external to project | Team external to project | Team external to project | |
| | Complete a Conceptual Design Report | Project | Project | Project | Project | Project | Project | |
| | Prepare a Preliminary Hazard Analysis Report | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Develop and Implement an Integrated Safety Management Plan | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Establish Preliminary Quality Assurance Program (QAP) | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Identify general Safeguards and Security requirements for the recommended alternative | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Complete National Environmental Policy Act (NEPA) Strategy by issuing a determination (i.e., EIS, EA) | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Conduct Independent Project Review or External Independent Review | ICE or ICR by OEMC with OPA | ICE or ICR by OEMC with OPA | ICE or ICR by OEMC with OPA | SC-28 | SC-28 Tailored | SC-28 Tailored | |
| | Update PDS, or other funding documents for MIE and OE projects, and OMB 300s, if applicable. | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | |
| | Nuclear Facility | Hazard Cat. 1,2,3 Nuclear Facility--Update Safety Design Strategy (SDS) | SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate |
| | | Hazard Category 1, 2, and 3 nuclear facilities, conduct an Independent Project Review (IPR) | PSO | PSO | PSO | PSO | PSO | PSO |
| | | Hazard Cat. 1,2,3 Nuclear Facility--Prepare a Conceptual Safety Design Report (CSDR) | SBAA via the CSVr | SBAA via the CSVr | SBAA via the CSVr | SBAA via the CSVr | SBAA via the CSVr | SBAA via the CSVr |
| Hazard Cat. 1,2,3 Nuclear Facility--Prepare Conceptual Safety Validation Report (CSVr) | | SBAA | SBAA | SBAA | SBAA | SBAA | SBAA | |
| Hazard Cat. 1,2,3 Nuclear Facility--Initiate a Code of Record | | Project | Project | Project | Project | Project | Project | |
| POST CD-1 | Submit approved CD or equivalent documents to OEMC | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | |
| | Allow expenditure of PED, MIE OR OE funds for project design. | Project | Project | Project | Project | Project | Project | |
| | Submit budget request for the remainder of TPC if CD-2 is approved w/i 1 year of OMB submission | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | |
| | Update PARS II with monthly status | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | Prog. Mgr. & FPD No Earned Value (EV) | |
| | Continue with Monthly or Quarterly Project Reporting/Meeting | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-2 and SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 | |
| | Develop an Acquisition Plan if applicable | | | | | | | |
| Nuc | Hazard Cat. 1,2,3 Nuclear Facility--Develop a Checkout, Testing & Commissioning Plan | Project | Project | Project | Project | Project | Project | |

Summary of Major Requirements

| TOTAL PROJECT COST (TPC) | | \$750M or more | Less than \$750M to \$400M | Less than \$400M to \$100M | Less than \$100M to \$50M* | Less than \$50M* to \$20M | Less than \$20M to \$10M** |
|--|--|---|---|---|---|---|---|
| DECISION / REQUIREMENTS ¹ / APPROVAL ² | | | | | | | Delegation Allowed |
| CD-2--APPROVE PERFORMANCE BASELINE | | S-4 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD |
| PRIOR TO CD-2--PRELIMINARY DESIGN | Approve updated Acquisition Strategy if changes are major | S-2 (CD-1 to 4 delegated, see | SC-1 with SC-28 concurrence | SC-1 with SC-28 concurrence | SC-1 with SC-28 concurrence | SC-AD with SC-28 concurrence | SC-AD with SC-28 concurrence |
| | Establish a Performance Baseline (PB) | FPD | FPD | FPD | FPD | FPD | FPD |
| | Approve updated PEP | S-4 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD |
| | Prepare a Baseline Fund. Profile & reflect in budget docs. & PEP. Consider full funding if TPC < \$50M | S-4 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD |
| | Approval of Long-Lead Procurement | S-4 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD |
| | Develop Project Management Plan, if applicable | N/A | N/A | N/A | N/A | N/A | N/A |
| | Complete Preliminary Design | Project | Project | Project | Project | Project | Project |
| | Incorporate High Perf. & Sustainable Bldg. & Sustainable Environmental Stewardship | Project | Project | Project | Project | Project | Project |
| | Conduct a Preliminary Design Review | Team external to project | Team external to project | Team external to project | Team external to project | Team external to project | Team external to project |
| | Complete Preliminary Design Report | Project | Project | Project | Project | Project | Project |
| | Perform Baseline Validation Review | ICE by OEMC with OPA | ICE by OEMC with OPA | ICE by OEMC with OPA | SC-28 | SC-28 | SC-28 |
| | Conduct a Project Definition Rating Index analysis as part of an EIR | N/A | N/A | N/A | N/A | N/A | N/A |
| | Conduct a Technical Readiness Assessment & develop a Technical Maturation Plan | N/A | N/A | N/A | N/A | N/A | N/A |
| | Employ an EVMS compliant with ANSI/EIA-748A, or as defined in the contract | Contractor | Contractor | Contractor | Contractor | Contractor | N/A |
| | Prepare a Hazard Analysis Report | Field Organization (Site Office) or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab |
| | Continue with Quality Assurance Program | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab |
| | Conduct Preliminary Security Vulnerability Assessment, if necessary | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab |
| | Issue Final NEPA determination (i.e., FONSI) | SC-1 or Site Office | SC-1 or Site Office | SC-1 or Site Office | SC-1 or Site Office | SC-1 or Site Office | SC-1 or Site Office |
| | Update budget documents and Exhibit 300 if applicable | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD |
| | Nuclear Facility | Hazard Cat. 1,2,3 Nuclear Facility--Update Safety Design Strategy (SDS) | SBAA & FPD, w/CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/CNS or CDNS concurrence, as appropriate | SBAA & FPD, w/CNS or CDNS concurrence, as appropriate |
| Hazard Cat. 1,2,3 Nuclear Facility--Prepare a Preliminary Safety Design Report updating the CSDR | | SBAA via the PSVR | SBAA via the PSVR | SBAA via the PSVR | SBAA via the PSVR | SBAA via the PSVR | SBAA via the PSVR |
| Hazard Cat. 1,2,3 Nuclear Facility--Prepare a Preliminary Safety Validation Report (PSVR) | | SBAA | SBAA | SBAA | SBAA | SBAA | SBAA |
| Hazard Cat. 1,2,3 Nuclear Facility--Conduct a Technical Independent Project Review | | PSO | PSO | PSO | PSO | PSO | PSO |
| Hazard Cat. 1,2,3 Nuclear Facility--Place Code of Record under Configuration Control | | Project | Project | Project | Project | Project | Project |
| POST CD-2 | Submit approved CD or equivalent documents to OEMC. If applicable, any PB BCP to OEMC | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 |
| | Submit budget request for the remainder of TPC | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD |
| | Update PARS II with monthly status | Prog. Mgr., FPD, and Contractor | Prog. Mgr., FPD, and Contractor | Prog. Mgr., FPD, and Contractor | Prog. Mgr., FPD, and Contractor | Prog. Mgr., FPD, and Contractor | Prog. Mgr. & FPD No Earned Value (EV) |
| | Continue with Monthly or Quarterly Project Reporting/Meeting | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-2 and SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 |
| | SC-AD Request Annual Project Peer Review by PMSO | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 Tailored | SC-28 Tailored |

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|---|---|---|---|---|---|---|---|---|
| DECISION / REQUIREMENTS ¹ / APPROVAL ² | | | | | | | Delegation Allowed | |
| CD-3--APPROVE START OF CONSTRUCTION | | SC-1 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD | |
| PRIOR TO CD-3--FINAL DESIGN | Approve updated CD-2 Project Documentation (PEP, AS, PDS, etc) if major changes | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-1 | Reviewed by SC-28 Approved by SC-2 | Reviewed by SC-28 Approved by SC-AD | Reviewed by SC-28 Approved by SC-AD | Reviewed by SC-28 Approved by SC-AD | |
| | Complete Final Design | S-2 (CD-1 to 4 delegated, see | Project | Project | Project | Project | Project | |
| | Incorporate High Performance & Sustainable Bldg. & Sustainable Env. Stewardship | Project | Project | Project | Project | Project | Project | |
| | Conduct a Final Design Review | Team external to project | Team external to project | Team external to project | Team external to project | Team external to project | Team external to project | |
| | Complete Final Design Report | Project | Project | Project | Project | Project | Project | |
| | Employ a certified EVMS compliant with ANSI/EIA-748A, or as defined in the contract | Certified by SC-28 | Certified by SC-28 | Certified by SC-28 | Certified by SC-28 | Contractor | N/A | |
| | Execution Readiness Review | ICE by OEMC if warranted or IPR by OPA | ICE by OEMC if warranted or IPR by OPA | ICE by OEMC if warranted or IPR by OPA | SC-28 | SC-28 | SC-28 | |
| | Conduct a Technology Readiness Assessment, where significant CTE modification occurs | N/A | N/A | N/A | N/A | N/A | N/A | |
| | Update the Hazard Analysis Report | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Prepare Construction Project Safety and Health Plan | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Update the Quality Assurance Program | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Finalize the Security Vulnerability Assessment Report, if necessary | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | |
| | Nuclear Facility | <i>Hazard Cat. 1,2,3 Nuclear Facility--Update Safety Design Strategy (SDS)</i> | <i>SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate</i> | <i>SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate</i> | <i>SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate</i> | <i>SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate</i> | <i>SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate</i> | <i>SBAA & FPD, w/ CNS or CDNS concurrence, as appropriate</i> |
| | | <i>Hazard Cat. 1,2,3 Nuclear Facility--Prepare a Preliminary Documented Safety Analysis⁴ that updates the PSDR</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> |
| <i>Hazard Cat. 1,2,3 Nuclear Facility--Prepare a Safety Evaluation Report (SER)</i> | | <i>SBAA w/ FPD concurrence</i> | <i>SBAA w/ FPD concurrence</i> | <i>SBAA w/ FPD concurrence</i> | <i>SBAA w/ FPD concurrence</i> | <i>SBAA w/ FPD concurrence</i> | <i>SBAA w/ FPD concurrence</i> | |
| <i>Hazard Cat. 1,2,3 Nuclear Facility--Revise the Code of Record</i> | | <i>Project</i> | <i>Project</i> | <i>Project</i> | <i>Project</i> | <i>Project</i> | <i>Project</i> | |
| POST CD-3 | Submit approved CD or equivalent documents to OEMC. If applicable, any PB BCP to OEMC | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | |
| | Allow expenditure of TPC funds. Update budget document and OMB 300s if applicable. | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | |
| | Update PARS II with monthly status | Prog. Mgr., FPD, and Contractor | Prog. Mgr., FPD, and Contractor | Prog. Mgr., FPD, and Contractor | Prog. Mgr., FPD, and Contractor | Prog. Mgr., FPD, and Contractor | Prog. Mgr. & FPD No Earned Value (EV) | |
| | Continue with Monthly or Quarterly Project Reporting/Meeting | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-1 and SC-28 | SC-AD Invite SC-2 and SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 | SC-AD to invite SC-28 | |
| | Perform EVMS surveillance review | Bi-annually by SC-28 Annually by Contractor | Bi-annually by SC-28 Annually by Contractor | Bi-annually by SC-28 Annually by Contractor | Bi-annually by SC-28 Annually by Contractor | Annually by Contractor | N/A | |
| | Submit Lessons Learned regarding up-front planning and design 90 days after CD-3 | FPD | FPD | FPD | FPD | FPD | FPD | |
| | SC-AD Request Annual Project Peer Review by PMSO | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 Tailored | SC-28 Tailored | |

Summary of Major Requirements

| TOTAL PROJECT COST (TPC) | | \$750M or more | Less than \$750M to \$400M | Less than \$400M to \$100M | Less than \$100M to \$50M* | Less than \$50M* to \$20M | Less than \$20M to \$10M** |
|--|---|--|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|
| | | DECISION / REQUIREMENTS ¹ / APPROVAL ² | | | | | |
| CD-4--APPROVE START OF OPERATIONS OR PROJECT COMPLETION | | SC-1 | SC-1 | SC-2 | SC-AD | SC-AD | SC-AD |
| PRIOR TO CD-4--CONSTRUCTION | Verify achievement of Key Performance Parameters/Project Completion Criteria | FPD | FPD | FPD | FPD | FPD | FPD |
| | Conduct readiness to operate review and issue a Project Transition to Operations Plan | S-2 (CD-1 to 4 delegated, see | Team external to project | Team external to project | Team external to project | Team external to project | Team external to project |
| | Conduct Independent Project Review | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 Tailored | SC-28 Tailored |
| | Finalize the Hazard Analysis Report | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab |
| | Revise the Environmental Management System, as appropriate) | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab |
| | If Applicable, complete and submit Contractor Evaluation Documents | N/A | N/A | N/A | N/A | N/A | N/A |
| | Complete Draft Project Closeout Report | FPD | FPD | FPD | FPD | FPD | FPD |
| | <i>Hazard Cat. 1,2,3 Nuclear Facility--Conduct Operational Readiness Review, Readiness Assessment</i> | <i>Team external to project</i> | <i>Team external to project</i> | <i>Team external to project</i> | <i>Team external to project</i> | <i>Team external to project</i> | <i>Team external to project</i> |
| | <i>Hazard Cat. 1,2,3 Nuclear Facility--Prepare the Documented Safety Analysis</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> | <i>SBA Authority via the SER</i> |
| | <i>Hazard Cat. 1,2,3 Nuclear Facility--Prepare a Safety Evaluation Report (SER)</i> | <i>SBAA</i> | <i>SBAA</i> | <i>SBAA</i> | <i>SBAA</i> | <i>SBAA</i> | <i>SBAA</i> |
| <i>Hazard Cat. 1,2,3 Nuclear Facility--Submit Code of Record</i> | <i>Project</i> | <i>Project</i> | <i>Project</i> | <i>Project</i> | <i>Project</i> | <i>Project</i> | |
| POST CD-4 AND PROJECT CLOSEOUT | Submit approved CD or equivalent documents to OECM. | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 | SC-28 |
| | Finalize in PARS II project completion | FPD | FPD | FPD | FPD | FPD | FPD |
| | Perform final administrative and financial closeout | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab | Site Office or Lab |
| | Prepare an initial Project Closeout Report 90 days after CD-4 | FPD | FPD | FPD | FPD | FPD | FPD |
| | Submit Lessons Learned regarding project execution and facility start-up 90 days after CD-4 | FPD | FPD | FPD | FPD | FPD | FPD |
| | Complete Facility Sustainment goals and document achievements w/ one year. | FPD | FPD | FPD | FPD | FPD | FPD |
| | Submit Final Project Closeout Report | FPD | FPD | FPD | FPD | FPD | FPD |
| | Include in site Ten Year Site Plan and establish property record in FIMS for facilities. | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD | SC-AD |