

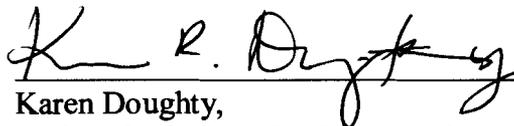


**Department of Energy
Oak Ridge Office
Environmental Management
Procedure**

Change Control Board

**EM-1.1
Revision 4**

Prepared:



Karen Doughty,
Project Controls and Administration Division

9/30/08

Date

Approved:



Stephen H. McCracken,
Assistant Manager for
Environmental Management

11/20/08

Date

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Acronyms

AE	Acquisition Executive
AM	Assistant Manager
AMEM	Assistant Manager for Environmental Management
B/A	Budget Authority
BCP	Baseline Change Control
CAP	Capital Asset Project
CFO	Chief Financial Officer
CO	Contracting Officer
CCB	Change Control Board
DOE	U. S. Department of Energy
EM	Environmental Management
EMAAB	Environmental Management Acquisition Advisory Board
FPD	Federal Project Director
GFS&I	Government Furnished Services and Items
HQ	Headquarters
LCB	Lifecycle Baseline
OR	Oak Ridge
ORO	Oak Ridge Office
ORR	Oak Ridge Reservation
PBS	Project Baseline Summary
PC&A	Project Controls & Administration
PEP	Project Execution Plan
SAE	Secretary Acquisition Executive
WBS	Work Breakdown Structure

1.0 PURPOSE

The purpose of the Oak Ridge (OR) Environmental Management (EM) Program Change Control Board (CCB) is to provide appropriate management of changes to the EM schedule, cost, and technical baseline. The EM CCB is applicable to all projects managed or coordinated by the OR Integrating Contractor and all other prime contractors.

2.0 SCOPE

This procedure applies to all OR Project Baseline Summary (PBS).

Changes to the following are subject to review and approval by the EM CCB:

- [1] The contents of this procedure
- [2] The scope and schedule baseline
- [3] The Project Summary Work Breakdown Structure (WBS)
- [4] The EM total estimated cost for each individual fiscal year or life cycle costs for each PBS.
- [5] Project milestones

3.0 REFERENCES

DOE Order 413.3A, Program and Project Management for the Acquisition of Capital Assets, dated July 28, 2006.

DOE M 413.3-1, Project Management for the Acquisition of Capital Assets, dated March 28, 2003.

4.0 RESPONSIBILITIES

The EM CCB shall have approval authority to manage the changes identified in Section 2.0, except as noted in Appendix C. When a proposed baseline change requires Department of Energy (DOE) Headquarters (HQ) approval per the applicable Project Execution Plan (PEP), the EM CCB Secretary shall coordinate the request for HQ's approval after the EM CCB has concurred.

4.1 MEMBERSHIP

Membership in the EM CCB is shown in Appendix D. Responsibilities are addressed below. Alternates for the primary board members shall be appointed to serve in the member's absence.

4.2 MEMBERSHIP RESPONSIBILITY

All members of the EM CCB or designated alternate may make recommendations regarding actions and shall participate in the disposition of change actions.

4.3 EM CCB CHAIRPERSON

The EM CCB Chairperson shall be responsible for:

- 4.3.1 Presiding over the EM-CCB meetings;
- 4.3.2 The final disposition decision of EM-CCB change actions;

4.4 EM CCB MEMBERS

The EM CCB members are responsible for:

- 4.4.1 Reviewing and evaluating the technical, cost, and schedule impact of submitted changes (including regulatory impacts).
- 4.4.2 Assuring that all technical, cost, and schedule impacts of changes have been identified and are reasonable.
- 4.4.3 Ensuring that significant technical and schedule improvements and cost reductions have been incorporated into the proposed change.
- 4.4.4 Determine the availability of funding (by all fiscal years and total project) to fund the change.
- 4.4.5 Understanding the impact of the change on current and future variances and corporate performance measures.
- 4.4.6 Ensuring regulators have been informed if regulatory milestones are impacted.
- 4.4.7 Ensuring scope changes are within the associated contract statement of work.
- 4.4.8 Ensuring government can provide Government Furnished Services and Items (GFS&I) in accordance with the change.
- 4.4.9 Ensuring contractor will use the appropriate earned value methodology for the activities affected by the change.
- 4.4.10 Recommending approval or disapproval to the EM CCB Chairperson.
- 4.4.11 Request CCB meetings outside of normally scheduled CCB meetings.

4.5 EM CCB SECRETARY

The EM CCB Secretary is responsible for:

- 4.5.1 Coordinating disposition of emergency changes when necessary.
- 4.5.2 Scheduling EM CCB meetings and preparing and distributing meeting minutes to all affected organizations/individuals within 5 working days of the meeting.
- 4.5.3 Preparing the EM CCB meeting agenda and issuing announcement of forthcoming meetings, time, and place to all individuals required to attend the meeting.
- 4.5.4 Assuring that the meeting agenda includes summary information for change proposals on the agenda.
- 4.5.5 Preparing a status report of previous actions.
- 4.5.6 Ensuring that the original baseline change control (BCP) packages presented to the Board have all signatures except that of the DOE ORO Chief Financial Officer (CFO) member, Project Director Members, and the DOE Chairperson which will be obtained during the board meeting.
- 4.5.7 Maintaining a log of BCPs and the EM CCB action.
- 4.5.8 Coordinating request of HQ approval as applicable, in accordance with applicable HQ guidance.
- 4.5.9 Recording action items.
- 4.5.10 Preparing correspondence as necessary to contractors notifying contractor of actions taken on each BCP.

5.0 PROCEDURE

5.1 BOARD MEETINGS

5.0 PROCEDURE

5.1 BOARD MEETINGS

- 5.1.1 EM-CCB meetings are scheduled weekly as part of the Assistant Manager for Environmental Management (AMEM) staff meeting. Federal Project Directors (FPDs) will be provided electronic copies in advance of the meeting.
- 5.1.2 Administrative BCPs approved by contractor boards will be discussed each week at the EM-CCB meeting. At the time of the meeting, problems with BCPs approved by contractor boards should be addressed. The DOE Secretariat will note changes and prepare for COR signature formal

correspondence information contractors of board decisions.

5.1.3 Changes requiring DOE approval will be distributed one week prior to the board meeting, unless directed otherwise by DOE management. This will allow adequate review time. Change proposals not received in order to meet this time frame will not be considered until the next CCB meeting unless otherwise requested by an EM CCB member. These BCPs may be addressed with AMEM staff meeting BCPs or as requested by the FPD or DOE management may convene special board meetings.

5.1.4 The DOE Secretariat for each contractor board will be responsible for leading the CCB meeting and for scheduling activities.

5.1.5 For emergency action changes the required approvals shall include all available board members and the affected Program Manager. However, Change Proposals requiring emergency actions may be dispositioned at the discretion of the EM-CCB Chairperson without benefit of a formal EM-CCB meeting. The approval of emergency action changes shall be documented and the change shall be distributed in the normal manner.

5.1.6 All Change Proposals will be presented to the Board by the cognizant DOE Project Director, Team Lead or Program Manager. This may include a presentation by the contractor, or other management personnel to provide supporting information.

5.2 INTEGRATED EM LIFE CYCLE PROGRAM BASELINE (LCB)

5.2.1 Changes to the LCB will be managed by the EM CCB in accordance with applicable thresholds established in the PEPs.

5.2.2 All changes to the LCB will be documented in the EM CCB Change Action Log.

5.3 EM PROGRAM BASELINE MILESTONE LIST

5.3.1 The EM Program Baseline Milestone List shall be maintained and updated for any changes that impact milestones.

5.4 EM CCB CHANGE DISPOSITIONS

5.4.1 The ORO EM CCB has approval authority for changes to Capital Asset Projects (CAPs) as identified by the EM CAP List maintained by the Office of Project Management (EM-53) and in accordance with the thresholds established in the PEPs.

5.4.2 Board Actions: The EM CCB shall disposition the BCP as “approved” “disapproved” or “tabled”.

- 5.4.2.1** Approval Actions: The signature of the EM CCB Chairperson or designee on the EM CCB Change Proposal cover sheet shall provide authorization for implementation of the change unless HQ approval is required in accordance with the thresholds established in the PEPs. No change requiring EM CCB approval should be undertaken without approval by the EM CCB.
- 5.4.2.2** Disapproval Actions: No change should be made after disapproval. Disapproval may include the deferral of a change request pending additional study or may result in a baseline variance.
- 5.4.2.3** Tabled Actions: No change should be made pending further review and decision by the CCB.
- 5.4.3** Administrative BCPs – ORO has ability to concur or non concur on contractor actions or formal guidance on disposition in the event the department disagrees with contractor assessment to change will be formally transmitted.

6.0 RECORDS

It is the responsibility of the EM-CCB Secretary to collect and maintain the following records, which are used to record and report the status of EM CCB actions

- 6.1** EM-CCB Change Action Log: Provides the status of all changes submitted to the Board.
- 6.2** EM-CCB Meeting Minutes: Provides a summary of EM-CCB discussion, action items, completed Cost/Schedule/Scope Change Proposal Forms, and disposition of BCPs and other information pertinent to the EM-CCB meeting.
- 6.3** Baseline Change Proposals: Provides change proposal form and supporting information on the proposed changes to schedule, cost or technical baselines.

7.0 ATTACHMENTS

- Appendix A BASELINE CHANGE CONTROL THRESHOLDS
Appendix B PROGRAM CHANGE CONTROL AUTHORITY
Appendix C Part 1 DELEGATION OF ACQUISITION EXECUTIVE AUTHORITY
FOR OFFICE OF EM CLEANUP PROJECTS
Appendix C Part 2 EM ACQUISITION ADVISORY BOARD (EMAAB) CHARTER
Appendix D EM-CCB MEMBERSHIP

APPENDIX A

BASELINE CHANGE CONTROL THRESHOLDS

Baseline	Addition/Deletion/Revision	Approval Level		
		I	II	III
Scope	Any change that affects operational functions or criteria that define completion at the project end point.	X		
	Any change to a contract statement of work or to performance requirements that does not affect operational functions or criteria that define completion at the project endpoint.		X	
	Any change to systems requirements that does not affect performance requirements or operational functions.			X
Schedule	A delay of three months or more (cumulative) from the original project completion date.	X		
	A delay of up to three months (cumulative) from the original project completion date or a delay of three months or more in any other project-level schedule milestone date as defined in the Milestone Log.		X	
	A delay in lower-level schedules that does not affect the original project completion date or a delay of up to three months in any other project-level schedule milestone date as defined in the Milestone Log.			X
Cost	An increase equal to or in excess of the lesser of \$10M or 10% (cumulative) of the original CD-2/3 EM total cost baseline and any change of \$100M or more that does not affect the original CD-2/3 EM total cost baseline.	X		
	An increase up to the lesser of \$10M or 10% (cumulative) of the original CD-2/3 EM total cost baseline (use of unfunded contingency must be approved by the AE); and any change of \$5M up to \$100M that does not affect the original CD-2/3 EM total cost baseline.		X	
	Any change up to \$5M that does not affect the original CD-2/3 EM total cost baseline (use of management reserve must be reported to the FPD).			X

CCB Approval Levels:

Level I – Acquisition Executive (EM-1)

Level II – Chair of CCB as recommended by FPD

Level III – Contractor Project Manager

NOTE: Thresholds established in approved PEPs supersede the thresholds contained in this document.

APPENDIX B

PROGRAM CHANGE CONTROL AUTHORITY

B.1 BASELINE CHANGE

B.1.1 Baseline Changes Made During the Performance of the Project

Three levels of change authority are identified to control LCB changes made during the performance of the project,

- Level 1 – DOE HQ
- Level 2 – DOE ORO
- Level 3 – Contractor

All baseline changes for OTHER DOE direct contracts must be processed through EM-CCB.

Changes approved within the contractor level of authority shall be reported to DOE-ORO no later than 1 week following the contractor CCB approval.

**U.S. Department of Energy
Oak Ridge Operations
Environmental Management**

**Procedure No. EM-1.1 Rev. 4
Change Control Board Charter**

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APPENDIX C – PART 1

**DELEGATION OF ACQUISITION EXECUTIVE AUTHORITY FOR OFFICE OF
ENVIRONMENTAL MANAGEMENT CLEANUP PROJECTS**



Department of Energy

Washington, DC 20585

AUG 16 2007

MEMORANDUM FOR CLAY SELL
DEPUTY SECRETARY

FROM: JAMES A. FUSPOLI *J. Fuspoli*
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Acquisition Executive Authority for Office of
Environmental Management Cleanup Projects

ISSUE: Acquisition Executive (AE) authority for Office of
Environmental Management (EM) cleanup projects with a life
cycle cost of \$1 billion, or greater, currently resides with the
Deputy Secretary per DOE Order 413.3A. The Assistant
Secretary for Environmental Management has AE authority for
EM cleanup projects with a life cycle cost of less than \$1
billion.

EM cleanup projects include the entire life cycle workscope
including operations, deactivation and decommissioning, and
long-term stewardship activities. Unlike construction projects,
many EM cleanup projects have durations extending out
beyond 10 years and in some cases over 4 decades.

DISCUSSION: In 2001, EM made the decision to "projectize" its expense
funded cleanup program workscope. Because a significant
number of these projects fall into the AE authority level of the
Deputy Secretary, and because these cleanup projects are
driven by regulatory agreements, orders, and milestones, it
precludes real decision making by the Deputy Secretary at the
Critical Decision points defined in DOE Order 413.3A.

Due to the nature of the work and the long project durations,
EM cleanup projects follow a different Critical Decision
process as compared to construction projects in that only the
near-term baseline, normally five years, is approved at Critical
Decision-2, along with approval to execute the cleanup project,
Critical Decision-3. For the remaining life cycle (portion of
project beyond the near-term), a reasonable cost range is
determined.



Upon your approval of this memorandum, all Critical Decision authority for EM cleanup projects, including authority to approve supporting pre-requisite documents is delegated to the Assistant Secretary for Environmental Management, with the exception of Critical Decision-0, Approve Mission Need and Critical Decision-4, Approve Project Completion, where a transfer of landlord responsibility crosses Under Secretary organizational lines.

This delegation would not extend to EM's traditional non-cleanup projects (e.g., line item construction projects). Current AE authority levels defined in DOE Order 413.3A remain unchanged for these traditional projects.

RECOMMENDATION: Delegate to the Assistant Secretary for Environmental Management AE authority for approval of all Critical Decisions and associated pre-requisite documentation for EM cleanup projects, except for Critical Decisions 0 and 4 where landlord responsibility is transferred across Under Secretary organizational lines. The Assistant Secretary may further delegate AE authority for EM cleanup projects to any member of the Senior Executive Service, with the exception that Critical Decision-0 and the final Critical Decision-4 for a cleanup project may not be delegated below the Assistant Secretary level.

APPROVE:



DISAPPROVE: _____

DATE:

8/16/2007

cc:

D. Spurgeon, Acting Under Secretary for Energy
I. Kolb, Director, Office of Management

**U.S. Department of Energy
Oak Ridge Operations
Environmental Management**

**Procedure No. EM-1.1 Rev. 4
Change Control Board Charter**

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APPENDIX C – PART 2

**ENVIRONMENTAL MANAGEMENT ACQUISITION ADVISORY BOARD
(EMAAB) CHARTER**



RECEIVED
OFFICE OF THE MANAGER
1/3/07

Department of Energy
Washington, DC 20585
December 28, 2006

MEMORANDUM FOR DISTRIBUTION

FROM:

JAMES A. RISPOLI *JARispoli*
ASSISTANT SECRETARY FOR
ENVIRONMENTAL MANAGEMENT

SUBJECT:

Configuration Management and Change Control Process
for the Environmental Management Program

The Office of Environmental Management's (EM) configuration control process is being updated by this memorandum to ensure that any changes to program elements under configuration control that impact project baselines are approved at the appropriate level in accordance with Department of Energy (DOE) Order 413.3A, Program and Project Management for the Acquisition of Capital Assets. This memorandum supersedes the Assistant Secretary for Environmental Management (EM-1) memorandum of June 17, 2002, which established the EM Configuration Control Board (CCB). Effective with the issuance of this memorandum, the CCB is dissolved. A new EM Acquisition Advisory Board (EMAAB) has been established and will serve as an advisory board for critical decisions and baseline changes for all projects in which EM has Acquisition Executive (AE) authority in accordance with DOE Order 413.3A and the Deputy Secretary's "Delegation of Acquisition Executive Authority for EM Operating Projects," memorandum of October 3, 2005. Changes to baselines for which EM is not delegated AE authority will also be reviewed by the EMAAB for subsequent recommendation to EM-1 in support of DOE's Energy Systems Acquisition Advisory Board. A summary of change authorities for all projects is in DOE Order 413.3A and in the attached EMAAB Charter.

EM will also maintain configuration of program elements that affect performance measurement, budget structure, site interfaces, and regulatory agreements. Elements previously managed under the configuration control process including Performance Management Plans and Cleanup End States/Endpoints are no longer necessary since EM is managing baselines at the Project Baseline Summary (PBS) level instead of at the site level, and as such, have been incorporated into the elements listed below.

The program elements under EM configuration control are:

- Life-Cycle Cost
- Schedule
- Scope
- EM Performance Measures
- Toxic Substances Control Act Incinerator (TSCAI) Burn Plan
- Waste Isolation Pilot Plant (WIPP) Shipping Plan
- Savannah River Site (SRS) H-Canyon Nuclear Materials Processing Plan
- Contract Performance Incentives

- Regulatory Decision Documents
- Budget Execution
- PBS Structure
- Non-Labor Resource Funding

To ensure a single corporate process continues to be used for configuration control, all proposed changes to project baselines and other items under Headquarters configuration control will continue to be processed through the Integrated Planning, Accountability, and Budgeting System-Information System (IPABS-IS). The Baseline Change Tool system for processing changes has been renamed to the Change Request Tool (CRT) and updated to reflect the revised elements and the new approval authorities. Any changes to life-cycle cost, schedule, or scope which exceed the thresholds described in the EMAAB Charter shall be submitted as a Baseline Change Proposal (BCP) and processed by the EMAAB for consideration by the AE.

All other changes to elements under configuration control will be processed as an Other Change Request (OCR), which can be accessed through the CRT, and approved as follows: 1) because of their close ties to project scope and schedule, and the potential to impact other site baselines, any changes to EM Performance Measures, the TSCAI Burn Plan, the WIPP Shipping Plan, or the SRS H-Canyon Nuclear Materials Processing Plan shall be submitted to the EMAAB for approval by the Principal Deputy Assistant Secretary for Environmental Management (EM-2); 2) proposed changes to the PBS Structure (i.e., combining PBSs into a single project, creating a new PBS for a project, etc.) shall be submitted to the AE of the affected project; changes to the PBS structure for non-project PBSs (i.e., long-term stewardship, community and regulatory support, etc.) may be approved by the Deputy Assistant Secretary (DAS) for Program Planning and Budget; 3) the DAS for Acquisition and Project Management is authorized to approve OCRs for contract performance incentives; 4) the DAS for Regulatory Compliance is authorized to approve OCRs for regulatory decision documents required by sites prior to negotiating or entering into regulatory agreements; and 5) the DAS for Program Planning and Budget is authorized to approve OCRs for budget execution and non-labor resource funding.

The Office of Program Planning and Budget is responsible for maintaining configuration control of corporate information stored in IPABS-IS. Upon appropriate action, the signed BCP or OCR must be returned to the Office of Program Planning and Budget so that the final decision document can be scanned and entered in the CRT and the affected elements can be updated in IPABS-IS. Note: Any BCPs approved by an AE not at EM Headquarters (e.g., Site Manager) should also be forwarded for scanning and input into IPABS-IS. A revision to the Standing Operating Policies and Procedures Resource Management 1.1, Resource Management – Configuration Management Change Control Process for the Environmental Management Program, which reflects the new policy and implementing procedures, will be issued separately.

For this new process to be effective, it is critically important that the Field and the DASs maintain and contribute toward corporate awareness of changes to items under configuration control. For items being approved at the DAS level, the DAS is responsible for getting concurrence from the other DASs as appropriate to ensure that impacts to other project elements are understood, and to verify that sufficient resources are available to accommodate the proposed change.

If you have any further questions, please contact me at (202) 586-7709 or Mr. Jack Surash, Deputy Assistant Secretary for Acquisition and Project Management, at (202) 586-3867, or Mr. Mark Frei, Deputy Assistant Secretary for Program Planning and Budget, at (202) 586-8754.

Attachment

Distribution

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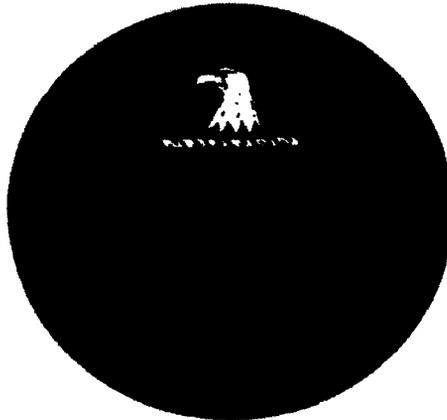
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Ingrid Kolb, Director, Office of Management, MA-1**

EMAAB Charter

Environmental Management Acquisition Advisory Board (EMAAB) Charter

Office of Environmental Management



Approved by:


Assistant Secretary
Office of Environmental Management

EMAAB Charter

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EMAAB Charter

1.0 Purpose and Objective

The purpose of this charter is to establish the Office of Environmental Management (EM) Acquisition Advisory Board's (EMAAB) process (an Energy Systems Acquisition Advisory Board (ESAAB) – equivalent process) for EM line item construction, EM cleanup projects, and selected subprojects greater than \$20M in accordance with the requirements established in DOE Order 413.3A, *Program and Project Management for the Acquisition of Capital Assets*.

The EMAAB board membership, acquisition executive authority, roles and responsibilities, and procedure including the interface with the Secretarial Acquisition Executive (SAE) and the Department of Energy's (DOE) Energy Systems Acquisition Advisory Board (ESAAB) are described in this document. The objective of this process is to ensure that informed, objective, timely, and documented decisions are:

- Made in a formal and auditable manner before resources are committed;
- Consistent with the requirements of DOE Order 413.3A, "*Program and Project Management for the Acquisition Management for the Acquisition of Capital Assets*;"
- Consistent with the requirements of the Deputy Secretary's memorandum of October 3, 2005, entitled "*Delegation of Acquisition Executive Authority for Office of Environmental Management Cleanup Projects*;"
- Planned early enough to allow Headquarters sufficient time to review the documentation and to avoid project schedule delays; and
- Integrate project, budget, financial management and acquisition systems and requirements.

2.0 The Acquisition Executives (AEs)

2.1 Secretarial Acquisition Executive (SAE): Deputy Secretary (S-2)

The Deputy Secretary (S-2) is the SAE for:

Critical Decision (CD) Approvals

- Line item construction projects with a Total Project Cost (TPC) of \$750M or more;
- EM cleanup projects with a life-cycle cost of \$1B or more;
- Any other project selected as a special interest project; and
- CD-4 approval of transfer of project(s)/site from EM to the National Nuclear Security Administration (NNSA) by signing a decision memorandum. A formal meeting of the ESAAB will not normally be held unless requested by an SAE or there is an unresolved transfer issue(s).

EMAAB Charter

Performance Baseline Deviation Approvals (after CD-2 approval or baseline placed under EM configuration control)

All line item construction projects where:

- An increase in excess of the lesser of \$25M or 25 percent (cumulative) of the original CD-2 cost baseline;
- A delay of six months or greater (cumulative) from the original completion date; and
- A change in scope that affects the ability to satisfy the mission need, an inability to meet a key performance parameter, or non-conformance with the current approved Project Execution Plan (PEP), which must be reflected in the Project Data Sheet.

All EM cleanup projects where:

- An increase in excess of the lesser of \$100M or 25 percent (cumulative) of the original CD-2 EM Total Cost Baseline (Performance Baseline);
- A delay of one year or greater (cumulative) from the original project completion date; and
- Any change in scope that affects the site end state.

The responsibilities of the SAE and the SAE ESAAB board membership are defined in DOE Order 413.3A in section 5, "Key Roles and Responsibilities" and are not covered in this charter.

2.2 AE: Under Secretary for Energy (S-3)

The Under Secretary for Energy (S-3) is the AE for:

Critical Decision (CD) Approvals

- Line item construction project with a TPC between \$100M and \$750M (projects between \$100M and \$400M have been delegated to EM-1);
- Any other line item construction project selected as a special interest project; and
- CD-4, approval of transfer of a project(s)/site to another Program Secretarial Office (PSO) (AE approval cannot be delegated below S-3) or organization by signing a decision memorandum. A formal meeting of the S-3 ESAAB equivalent will not normally be held unless requested by S-3 or there is an unresolved transfer issue(s).

Performance Baseline Changes Approvals (after CD-2 approval or baseline placed under EM configuration control)

- The performance baseline change approval thresholds for the Under Secretary will be documented in the PEP and established at a level below the SAE approval level.

EMAAB Charter

The responsibilities for the S-3 AE are defined in DOE Order 413.3A in section 5, "Key Roles and Responsibilities" and are not covered in this charter.

2.3 AE: Assistant Secretary for Environmental Management (EM-1)

The Assistant Secretary for EM (EM-1) is the AE for:

Critical Decision (CD) Approvals

- Line item construction projects with a TPC up to \$400M;
- EM cleanup projects with a life-cycle cost below \$1B;
- CD-0, approval of mission need statements for all line item projects below \$400M, EM cleanup projects below \$1B, and all construction subprojects within a cleanup project (CD-0 approval cannot be delegated below EM-1; however, the Principal Deputy Assistant Secretary (EM-2) can approve CD-0 when acting for EM-1); and
- May delegate AE responsibilities for line item construction projects below \$100M and cleanup projects below \$400M.

Performance Baseline Change Approvals (after CD-2 approval or baseline placed under EM configuration control)

- The performance baseline change approval thresholds will be documented in the PEP and established at a level below the Deputy Secretary and Under Secretary approval levels.

2.4 AE: Principal Deputy Assistant Secretary (EM-2)

The Principal Deputy Assistant Secretary for EM (EM-2) will serve as AE for specific projects delegated by EM-1 in writing as follows:

Critical Decision (CD) Approvals

- Line item construction projects with a TPC below \$100M; and
- EM cleanup projects with a life-cycle cost below \$400M.

Performance Baseline Change Approvals (after CD-2 approval or baseline placed under EM configuration control)

- The performance baseline change approval thresholds will be documented in the PEP and established below the Assistant Secretary level.

2.5 AE: Other Senior Executive Service Managers

Other Senior Executive Service Managers will serve as the AE for CD approvals and baseline change approvals, as defined in the PEP, for specific projects that have been delegated by EM-1 in writing.

EMAAB Charter

3.0 EMAAB Board Members

A standard EMAAB board and procedure at EM Headquarters will be followed. The EMAAB is an advisory board (not a voting board) to the AE, who has the authority and responsibility for approving or disapproving CDs and baseline changes. The EMAAB will consist of the following members/advisors:

AE:	- EM-1 or EM-2/SES Manager as delegated
Permanent Members:	<ul style="list-style-type: none"> - Principal Deputy Assistant Secretary (EM-2) - Chief Operating Officer (EM-3) - Deputy Assistant Secretary (DAS) for Regulatory Compliance (EM-10) - DAS for Engineering and Technology (EM-20) - DAS for Program Planning and Budget (EM-30) - DAS for Human Capital and Business Services (EM-40) - DAS for Acquisition and Project Management (EM-50) - DAS Safety Management and Operations (EM-60) - Office Director for Project Management Oversight (EM-53) - MA-50 Office of Engineering and Construction Management - SC-81 Construction Management Support Division or - NA-56 Environmental Projects and Operations - GC-50 Office of General Counsel
Ad Hoc Members:	<ul style="list-style-type: none"> - EM Office Safeguards and Security (EM-3.1) - Office Site Support and Small Sites (EM-3.2) - Office of Project Recovery - Office of Procurement Planning (EM-51) - Office of Contract and Project Execution (EM-52) - Office of Program Analysis and Evaluation (PA&E) when CD-0 is being considered - Other organizations including a Field Office Representative as requested by the AE, Office of Legacy Management (LM), Office of Health, Safety and Security (HSS), Office of Management (MA), Office of the Chief Financial Officer (CFO), Office of Congressional and Intergovernmental Affairs (CI)
Presenter:	- Federal Project Director (FPD)
Secretariat:	- Office of Project Management Oversight (EM-53)

Permanent members are required to attend all pre-EMAAB and EMAAB Board Meetings. Ad hoc members will be required to attend only those meetings that have a direct impact on their program. If the designated board member cannot attend the pre-EMAAB or EMAAB, a Cognizant Senior Level Manager can serve as an alternate.

EMAAB Charter

4.0 EMAAB Roles and Responsibilities

4.1 AE (EM-1, -2, or HQ Senior Executive Service Managers)

The AE is responsible for:

- Establishing a single HQ EMAAB Board;
- Chairing the EMAAB board meetings;
- Presiding over S-2 or S-3 ESAAB readiness review (pre-ESAAB);
- Assigning action items which may result from the EMAAB meetings;
- Making the final decision for CDs and baseline changes (the AE may dispose of an action without conducting a formal EMAAB meeting by signing the decision memorandum);
- Endorsing and submitting CD and Performance Baseline Deviations (PBDs) requests to S-2 or S-3 for final decision (EM-1 or designee);
- Approving the PEP;
- Approving Mission Need Statement (MNS) for all projects and construction subprojects, Acquisition Strategy (AS) and Integrated Project Team (IPT) Charter for all projects (EM-1 only);
- Signing the decision memorandum;
- Approving changes to the Project Baseline Summary (PBS) structure for all projects; and
- The Principal Deputy Assistant Secretary (EM-2) is responsible for approving changes to EM Corporate Performance Metrics, Toxic Substances Control Act Incinerator (TSCA) Burn Plan, Waste Isolation Pilot Plant (WIPP) Shipping Plan, and Savannah River Site (SRS) H-Canyon Nuclear Materials Processing Plan.

4.2 EM Deputy Assistant Secretaries and Other EMAAB Members

Permanent members and ad hoc members when participating in an EMAAB meeting are responsible for:

- Attending all pre-EMAAB and EMAAB meetings, or sending a knowledgeable alternate capable of advising the AE;
- Reviewing, commenting, and resolving issues on the CD or baseline change package prior to the EMAAB meeting or readiness review (Pre-ESAAB) meeting for S-2 or S-3 ESAAB with particular emphasis on the functions for which they have primary responsibility, including coordinating with their HQ functional organization counterparts, (i.e., the Office of Budget, Office of Procurement and Assistance Management, etc.), if necessary;
- Providing all comments in writing (memorandum or e-mail) to the Office of Project Management Oversight (EMAAB Secretariat); and

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- Discussing issues and concerns at the pre-EMAAB and the EMAAB meeting, if unable to resolve at the pre-EMAAB or prior to EMAAB meeting.

4.3 Chief Operating Officer (EM-3) Responsibilities

- Directs the FPDs to prepare EMAAB and ESAAB documents;
- Receives, coordinates the review, and finalizes all EMAAB and ESAAB documents, briefings, and memorandums; and
- Coordinates with the Office Deputy Assistant Secretary of Acquisition and Project Management (EM-50) on scheduling EMAAB and ESAAB meeting and resolving issues.

4.4 Office of Project Management Oversight (EMAAB Secretariat)

The Office of Project Management is responsible for:

- Administering the EMAAB process;
- Scheduling all pre-EMAAB and EMAAB meetings and all readiness review (pre-ESAAB for S-2 or S-3) meetings;
- Distributing copies of the briefing package to all pre-EMAAB, EMAAB, or readiness review members five working days prior to meeting;
- Maintaining a repository of all EMAAB and ESAAB packages including decision memorandums, briefings, key project documents (PEP, MNS, AS, etc.) and Field Manager's decision memorandums;
- Pre-briefing the AE on the CD/PBD/Baseline Change Proposal (BCP), if requested;
- Briefing the DAS for Acquisition and Project Management on EMAAB and ESAAB status throughout the process;
- Attending all pre-EMAAB, EMAAB, and readiness review meetings;
- Recording and distributing the minutes of the meetings within three calendar days;
- Coordinating and transmitting endorsed major system CDs and PBDs to the SAE Secretariat Office of Engineering and Construction Management (OECM) for processing;
- Coordinating and transmitting endorsed CDs and baseline changes to the S-3 Secretariat for processing;
- Providing assistance to the FPD/Integrated Project Team (IPT) in processing all CD/PBD or BCPs packages through the EMAAB, readiness reviews, S-3, and SAE ESAAB;
- Assisting OECM to prepare for the S-2 ESAAB meeting; and
- Implementing an EMAAB continual improvement process and issue lessons learned, as necessary.

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4.5 Operations/Field Office Manager

The Operations/Field Office Manager is responsible for:

- Reviewing and endorsing all EMAAB and ESAAB documents and packages prior to submitting to the EM Chief Operating Officer;
- Establishing and chairing an EMAAB equivalent board for projects and subprojects where they have AE authority;
- Developing an EMAAB equivalent charter and procedure;
- Providing guidance to the contractor(s);
- Providing the Office of Project Management Oversight a copy of all approved EMAAB equivalent board approved packages;
- Inviting the Office of Project Management Oversight to attend the Operations/Field Office EMAAB equivalent board meeting; and
- Pre-briefing the EM Chief Operating Officer and AE with the FPD prior to the EMAAB or ESAAB meeting with FPD, if requested.

4.6 Federal Project Director (FPD)

The FPD, with the assistance of the IPT, is responsible for:

- Preparing all required documents in support of a CD or baseline change proposal that is endorsed by the Operations/Field Manager and submitted to the Chief Operating Officer with a copy to the Office of Project Management Oversight;
- Preparing and presenting the CD or baseline change proposal briefing at the pre-EMAAB, EMAAB, readiness review (pre-ESAAB), and ESAAB;
- Pre-briefing the Chief Operating Officer and AE prior to the EMAAB or ESAAB meeting with Field Office Manager, if required;
- Responding to questions, comments, and concerns made at any of the meetings;
- Providing EMAAB Secretariat a detailed CD schedule of all activities required for CDs 1-3 as part of the CD-0 package; and
- Evaluating the impacts on the baseline (cost, schedule, and scope) caused by funding changes, procurement strategies, contract modifications, and changes made to EM HQ controlled items, such as the Waste Isolation Pilot Plant (WIPP) shipping schedule or the Toxic Substances Control Act (TSCAI) burn plan, etc.

5.0 Critical Decisions (CDs)

A CD is a formal determination or decision point in a project that allows the project to proceed to the next phase and commit resources. CDs are discussed in DOE Order

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413.3A. EM utilizes a tailored approach in managing all of its projects based upon the risk, size, and complexity.

Partial or phased CD approval is allowable including a CD-3a for long-lead procurements to prevent schedule delays and should be documented in the AS, identified, and discussed during the initial CD meetings as part of the project's strategy and approved at CD-1. The budget request should be approved as part of the CD-1 package to ensure funds are available to support the long-lead procurement schedule. Proposed design/build projects should be documented in the AS, identified on the Project Data Sheet, and discussed during the initial CD meeting as part of the project's strategy to avoid delays. Additional information on design/build projects and project engineering and design funding is discussed in the OECM Report to Congress "DOE Implementation Procedures for EIRs and Project Engineering and Design Funding." Combined CD approvals for line item projects are normally not allowed; however, any exception must be discussed and endorsed by the Deputy Assistant Secretary of Acquisition and Project Management (EM-50) prior to the CD meeting.

For CD-4, transition/turnover to an organization outside of EM, a separate set of requirements and information must be prepared for the ESAAB. These requirements are established in the transition plan developed jointly by the receiving organization (LM, NNSA, Office of Science (SC)), and EM.

6.0 Critical Decisions for Line Item Construction Projects

- CD 0 – Mission Need
- CD 1 – Alternative Selection and Cost Range
- CD 2 – Performance Baseline
- CD 3 – Start Construction
- CD 4 – Start of Operations or Project Closeout

7.0 "Projectizing" EM Cleanup Work

EM will utilize the project management principles outlined in DOE Order 413.3A and DOE Manual 413.3A-1 on all of its activities including the life-cycle baselines as requested by the Deputy Secretary in his March 31, 2003, memorandum. Once the baselines are developed, the Office of Project Management Oversight will conduct a baseline review to determine if it is reasonable and executable and the readiness of the Field Office to implement and manage the baseline prior to an external independent review. Each site will be responsible for having a baseline validation review performed and OECM will conduct selected External Independent Review (EIR) as required in the June 30, 2005, joint memorandum signed by OECM and EM entitled "Protocol for EM Operations Funded Project Performance Baseline and their External Independent Review." Once the baselines have been validated by OECM, they are ready for a CD-2/3 ESAAB/EMAAB with either the SAE or AE. Monthly project assessment and reporting system reporting by EM cleanup project will be required through IPABS.

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8.0 Critical Decisions for Cleanup Projects

Environmental restoration and decontamination and decommissioning projects are driven by regulatory requirements in the Comprehensive Environmental Response, Compensation, and Liability Act or the Resource Conservation and Recovery Act. Therefore, the activities and project phases of EM work are not exactly the same as traditional construction projects.

Because the life-cycle baselines can extend well into the future, EM has divided these baselines into three parts. The first is the historical pre-baseline costs. This is the work that was completed prior to EM projectizing the PBS. No CDs are required for these activities. The second is the near-term baseline, which is the scope of work that is currently or planned to be under contract(s) at the site. This is the current execution portion of the life-cycle baseline, usually a five-year window, and requires a CD-2/3 approval and all of the supporting DOE Order 413.3A documents and requirements including an EIR. Each time the next five-year window or a new contract is awarded, the near-term baseline for that period has to be developed in detail. A new CD-2/3 will be required along with all of the DOE Order 413.3A documents and requirements including a new EIR. The third and last portion of the life-cycle baseline is the outyears of the life-cycle baseline. The EIR will review this part of the life-cycle baseline at a summary level for its reasonableness. This will also be part of the CD-2/3 approval process.

Due to statutory time limits, potential fines, extensive documentation requirements, and the nature of the CDs, the SAE/AE, subject to the approval of the PSO, and notification to OECM, may decide not to require a formal ESAAB/EMAAB meeting. The CD or baseline change will be disposed and documented by the SAE/AE in a decision memorandum.

When EM projects are completed, they will be transferred or turned over to other organizations within DOE (NNSA, SC, LM, etc.) or an outside organization (state, parks, etc.). EM and the receiving organizations have or will develop a transition plan, which is the key document required for CD-4 approval. **All CD-4 transfers to another organization will be approved by S-2 or S-3.**

9.0 Performance Baseline Deviations (PBDs) and Baseline Change Proposal (BCP) Control

All projects are required to obtain the SAE or AE approval on all PBDs that breach the thresholds defined in DOE Order 413.3A and identified in section 2 of this charter. The approval levels for all changes will be defined in the PEP. The SAE/AE can approve a deviation or change without holding a formal ESAAB/EMAAB meeting.

The Office of Program Planning and Budget established a change control process to manage the Program Baseline Summary (PBS) financial changes. That process and procedure for changing the PBS financial information is exclusive of this charter; however, funding changes may impact the life-cycle baseline and the FPD must consider and identify the impacts, if any on the scope, schedule, and cost of the near-term baseline

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and the life-cycle baseline. It is essential that the AE approve changes to the near-term baseline and life-cycle baseline prior to entry into EM's financial system.

EM Corporate Performance Metrics, TSCAI Burn Plan, WIPP Shipping Plan, and SRS H-Canyon Nuclear Materials Processing Plan will be modified by an Other Change Request (OCR) submitted to the EMAAB and approved by EM-2. Further guidance on this subject will be provided in a Standing Operating Policy and Procedure.

Line Item Construction Projects: The SAE is the approval authority for PBDs for all line item construction projects (major and non-major, \$20M and above) that breach the following thresholds as outlined in DOE Order 413.3A. PBD changes below the S-2 level have been delegated to S-3, who in turn can delegate responsibility to EM-1.

Scope: A change in scope that affects the ability to satisfy the mission need, an inability to meet a key performance parameter, or non-conformance with the current approved PEP, which must be reflected in the Project Data Sheet.

Schedule: A delay of six months or greater (cumulative) from the original completion date.

Cost: An increase in excess of the lesser of \$25M or 25 percent (cumulative) of the original CD-2 cost baseline.

Congressional notification may be required for changes that breach selected thresholds.

Cleanup Projects: The SAE is the approval authority for changes to the life-cycle baseline for cleanup projects that breach the following thresholds:

Scope: Any change in scope that affects the site end-state.

Schedule: A delay of one year or greater (cumulative) from the original project completion date.

Cost: An increase in excess of the lesser of \$100M or 25 percent (cumulative) of the original CD-2 EM Total Cost baseline.

The BCP thresholds are defined in the approved PEP and are project specific based upon size, complexity, risk, and other factors.

Directed Changes: Baseline changes caused by Congressional actions, such as a funding shortfall or the addition of new requirements, or HQ actions, such as a change in the WIPP shipping schedule or the TSCAI burn plan are called directed changes. These changes follow the change control process and are approved by the appropriate approval authority based upon the thresholds established in the PEP.

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10.0 Records Management

The EM correspondence center will maintain the official files of all ESAAB and EMAAB actions, and the Office of Project Management Oversight will maintain a working file for all ESAAB, EMAAB, and Field EMAAB equivalent actions. This includes briefings, decision memorandums, and key project documents like the AS, PEP, MNS, etc.

11.0 Definitions

Acquisition Executive (AE): The senior level manager with the authority to approve/disapprove CDs, PBDs, and BCPs for "Non-Major Line Item Construction and Operations Projects."

Baseline Change Proposal (BCP): BCP is a request from the FPD to make a change to the scope, cost, and/or schedule baselines of a project.

Contractor Project Manager: The Contractor Project Manager is generally from the Maintenance and Operation, the Architect-Engineer, or the Management and Integration Construction Management contractor organization assigned to direct the project, and is responsible and accountable for the day-to-day execution of assigned projects.

Critical Decision (CD): A CD is a formal determination or decision at a specific point in a project's life-cycle that allows the project to proceed to the next phase and commit resources (i.e., from conceptual design to preliminary design). The CDs are used as review points to ensure the project is ready to proceed into the next phase and remains a mission need.

Deputy Assistant Secretaries (DASs): DASs are responsible for managing the assigned program elements and supporting the PSO in the management of the overall EM program including providing advice to the cognizant EM AE.

Energy Systems Acquisition Advisory Board (ESAAB): The board which advises the SAE in his reviews and decisions on major systems projects CDs and PBDs. This is accomplished by utilizing DOE staff elements (e.g., GC, etc.) to review the project and provide advice to the SAE on the readiness of the project to proceed.

ESAAB Readiness Review: For all major systems, the PSOs or designee will conduct an ESAAB Readiness Review in preparation for forwarding the action to the SAE for approval. In such cases, the proposed CD or PBD will be reviewed by members of the EMAAB and staff members of the ESAAB (e.g., GC, SC, OECM, NNSA, Chief Financial Officer, etc.) to advise EM-1, and forward the action to the ESAAB for review and SAE approval. Any issues raised at the ESAAB Readiness Review should be resolved before the ESAAB meeting.

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Environmental Management Acquisition Advisory Board (EMAAB): The process by which the AE within EM reviews and decides on CDs, PBDs, and BCPs for “Non-Major Line Item Construction and Cleanup projects.” The EMAAB Board is an advisory body to the AE and is comprised of EM DASs and other non-EM personnel.

Federal Project Director: The FPD is the DOE employee assigned oversight of the project and the principal DOE interface with the Contractor Project Manager. The FPD is responsible and accountable for the project management activities of one or more discrete projects under the project manager’s cognizance and is usually the single point of contact between the government staff and the contractor staff, or all matters relating to the project and its execution including preparing and presenting CD, PBD, and BCP actions to the SAE/AE.

Field Elements: These are organizations [i.e., Operations Office, Area Office, Management and Operating Contractor, and/or Management and Integrator Contractor] responsible for oversight of the project in the field.

Major System Projects: Any line item construction project or system of projects with a TPC of \$750M or greater, any operating project with a life-cycle cost of \$1B or more, or any other project or subproject designated by S-2. Projects may be classified as major systems either solely by S-2 or by S-2 in response to recommendations from the appropriate PSO or head of a Departmental Element, which are endorsed by S-3.

Non-Major Projects: All line item construction projects with a TPC less than \$750M, all operating projects below \$1B, and not designated as a major system project by the SAE.

Office of Engineering and Construction Management (OECM): This office is responsible for establishing DOE’s project management requirements and is responsible for the ESAAB process and serves as the ESAAB Secretariat.

Office of Project Management Oversight: The office serves as the EMAAB Secretariat and is responsible for facilitating the EMAAB and Readiness Review process, and supporting OECM in the SAE ESAAB process.

Performance Baseline Deviation (PBD): Occurs when the current approved performance, scope, schedule, or cost parameters cannot be met. A request to change the cost, schedule, or technical baseline that requires the SAE/AE approval based upon predetermined thresholds that are established in the PEP.

Performance Baseline (Total Cost Baseline): The collective key performance, scope, cost and schedule parameters, which are defined for all projects. Performance Baseline includes the entire project budget (total cost of the project includes contingency and unfunded contingency) and represents DOE’s commitment to Congress. (total cost for line item construction projects is the TPC identified on the Construction Data Sheet; for cleanup projects, it is the life-cycle cost, which is the sum of the projects costs prior to

EMAAB Charter

the current contract(s) plus the current contractor's performance measurement baseline, plus management reserve and maximum allowable fee, plus the remaining or outyears of the life-cycle costs including unfunded contingency and DOE schedule contingency).

Projects: Defined as unique efforts that support a program mission with defined start and completion end points, undertaken to create a product, facility, or system or operation with interdependent activities planned to meet a common objective or mission. Projects include planning and execution of construction, renovation, modification, environmental restoration or decontamination and decommissioning efforts, large capital equipment, characterization or technology development activities, and transporting and disposing of waste. Tasks that do not include the above elements such as Community and Regulatory Support, or placeholder PBSs such as Long-term Stewardship are not considered projects.

Project Baseline Summary (PBS): The summary description of a project in the Integrated Planning, Accountability, and Budgeting System. A PBS includes descriptive information about the project including the cost, schedule, scope, milestones and performance metrics. The PBS Structure is designed to provide a consistent numbering system for projects in the DOE complex. Additional information on PBS development is provided in the IPABS planning guidance.

Program Office: The advocate promoting the project, usually the HQ PSO. This is the organization that is responsible for the planning and oversight of the execution of the specific activities and missions that comprise the program.

Program Secretarial Officer (PSO): The head of the program organization that serves as AE for the EMAAB Board process.

Secretarial Acquisition Executive (SAE): S-2 is the designated SAE for the DOE and has the authority to approve/disapprove all CDs, PBDs, or BCPs for major systems.

12.0 References

- DOE Policy 413.1, Department of Energy Project Management Policy for Capital Assets;
- DOE Order 413.3A, Project Management for the Acquisition of Capital Assets;
- DOE Manual 413.3A-1 Project Management for the Acquisition of Capital Assets;
- S-2 Memorandum, October 3, 2005, "Delegation of Acquisition Executive Authority for Office of Environmental Management Operating Projects;"
- EM/OECM Memorandum, June 30, 2005, "Protocol for EM Operations Funded Project Performance Baselines and their External Independent Review."

APPENDIX D

EM-CCB MEMBERSHIP

General

Changes to member and alternate names will be confirmed and documented by EM-CCB action.

BOARD MEMBER

ALTERNATE

Assistant Manager for Environmental Management

Deputy AM

Federal Project Director

Deputy FPD or designee

- PBS 13B and PBS 42
- PBS 40 and PBS 43
- PBS 41 and PBS 31
- PBS 11Z

PC&A Division Director
ORO Representative of CFO
Contracting Officer

As designated
As designated
As designated

EM-CCB Chairperson

Assistant Manager for Environmental Management

DOE CCB Secretary

PC&A Coordinator

NOTE: Contractor Boards memberships are indentified in their procedures