

# Authority Matrix

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Revision date: 02/16/2012

Approval Authorities for the Office of Environmental Management (EM) DOE Order 413.3B Major Requirements					
Total Project Cost (TCF)		\$750M or more/ Exceptions as designated by the SAE	Less than \$750 to \$100M	Less than \$100M to \$50M	Less than \$50M (DRAFT)
DECISION/ REQUIREMENTS/APPROVAL					
Prior to CD-0, Approve Mission Need Statement Document		EM-1 (with OECM recommendation)	EM-1 (with OECM recommendation)	EM-1	Site Manager
Prior to CD-1, Approve Acquisition Strategy		EM-1 (with OECM endorsement)	EM-1	EM-1	N/A
Prior to CD-1, Preliminary Project Execution Plan		SAE	US	Site Manager / CBC Director for Small Sites	Site Manager
Prior to CD-1, Federal Project Director Appointment		SAE	US	Site Manager / CBC Director for Small Sites	Site Manager
Prior to CD-1, Integrated Project Team Charter		EM-1	FPD	FPD	FPD
Prior to CD-2, Approve Updated Project Execution Plan		SAE	US	Site Manager / CBC Director for Small Sites	Site Manager
Prior to CD-2, Funding Profile		SAE	US	Site Manager / CBC Director for Small Sites	Site Manager
CRITICAL DECISION (CD) APPROVAL AUTHORITY: CD-0		SAE	US	EM-1	EM-1
CD APPROVAL AUTHORITY (except CD-0): CD-1, CD-2, CD-3 and CD-4		SAE	US	Site Manager / CBC Director for Small Sites	Site Manager
Deviations:		If the TPC, CD-4 completion date, performance or scope parameters approved at CD-2 cannot be met, a baseline deviation is eminent and must be reported to one or more of the following: the approval authority, EM-1, SAE and OECM.			
BASELINE MANAGEMENT	SAE-level Baseline Change Approval New Cost Performance Baseline - Cost increase is greater than \$100M or 50% (cumulative) of the original CD-2 cost performance baseline.	SAE	SAE	SAE	
	SAE-level Baseline Change Approval New Scope Performance Baseline - Change in scope and/or performance affect the ability to satisfy the mission need or are not in conformance with the current approved Project Execution Plan (PEP) and Project Data Sheets (PDS).	SAE	SAE	SAE	
	Funding Change Approval Change to approved Performance Baseline Funding Levels (adversely affecting)	SAE (with CFO/OECM notification)	US (with CFO/OECM notification)	Site Manager / CBC Director for Small Sites (with CFO/OECM notification)	EM-1
	Baseline Change Approval below the SAE level Any New Cost, Scope or Schedule Performance Baseline Below SAE level, as described above	N/A	US	US	EM-1
	New Schedule Performance Baseline - Increase in schedule exceeds 12 months.	SAE and OECM (notification only)	SAE and OECM (notification only)	SAE and OECM (notification only)	EM-1
	Termination post CD-2	SAE, US and OECM (notification only)	SAE, US and OECM (notification only)	SAE, US and OECM (notification only)	EM-1
REVIEWS	Prior to CD-0, Mission Validation Independent Reviews	EM-1	N/A	N/A	N/A
	Prior to CD-0, Independent Cost Review	OECM	N/A	N/A	N/A
	Prior to CD-1, Independent Cost Estimate and/or Independent Cost Review (as OECM deems appropriate)	OECM	OECM	N/A	N/A
	Earned Value Management System (EVMS) Certification Review	OECM	OECM	EM-10	Contractor Self-certifies their EVMS system
	Prior to CD-2, Independent Project Review	EM-10 (optional)	EM-10 (optional)	EM-10	EM-10
	Prior to CD-2, External Independent Review (EIR) and Independent Cost Review (ICE)	OECM	OECM	N/A	N/A
	Construction Project Review (CPR)	EM-12	EM-12	EM-12	EM-12
	Prior to CD-3, External Independent Review (EIR)	OECM	N/A	N/A	N/A
	Prior to CD-3, Independent Project Review (IPR)	EM-10 (optional)	EM-10	EM-10	EM-10
	Technology Readiness Assessment (TRA)	PSO	N/A	N/A	N/A
REPORTING	Technical Independent Project Review (TIPR) for Hazardous Category 1, 2, and 3 Nuclear Facilities	PSO	PSO	PSO	PSO
	Monthly PARS II and IPABS Reporting for Projects >\$10M	Project Status after CD-0 approval			
	Monthly PARS II and IPABS Reporting for Projects >\$20M	Project Status after CD-0 approval and Earned Value after CD-2 approval			
	Quarterly Project Reporting	SAE, US or Site Manager depending on the size of the project			
Red/Yellow Project Monthly Reporting	As applicable after CD-2 approval				

\* EM-1 may request delegation of Approval Authority from the US for projects between \$100M and \$400M; not yet granted