

**U.S. Department of Energy (DOE)
Office of Project Assurance and Assistance (EM-11)
Standard Operating Procedure (SOP)**

Title: Office of Environmental Management Standard Operating Procedure, SOP 008
Rev 0 August 1, 2010: Preparing for External Independent Reviews (EIR)

EM ORG: EM-11 SOP#: 008 | Revision #: 0 | Effective Date: 08/01/10

1. **POLICY:** This process will be followed by Office of Project Assistance and Assurance (EM-11) personnel when preparing for an EIR.
2. **OBJECTIVES:** The purpose of this procedure is to facilitate the planning and execution of an EIR by OECM and its EIR contractor; DOE Office of Environmental Management (EM) Program and project teams assist in the effort.
3. **CANCELLATIONS:** None
4. **APPLICABILITY:** The provisions of this procedure apply to EM-11 and Field organizations.
5. **REFERENCES:**
 - a. DOE Order 413.3A, Program and Project Management for the Acquisition of Capital Assets, dated July 28, 2006
 - b. DOE Order 413.3B, Program and Project Management for the Acquisition of Capital Assets, working draft version, dated December 14, 2009
 - c. DOE Guide 413.3-7, Risk Management Guide, dated September 16, 2008
 - d. DOE Guide 413.3-8, Environmental Management Cleanup Projects, dated September 24, 2008
 - e. DOE Guide 413.3-9, Department of Energy Project Review Guide for Capital Asset Projects, dated September 23, 2008
 - f. Office of Engineering and Construction Management External Independent Review Standard Operating Procedure, July 2008
 - g. Protocol for Environmental Management Cleanup Projects, James Rispoli, memorandum, April 24, 2007
6. **CONTACT:** Lowell Ely, Director, Office of Project Assistance and Assurance, EM-11, 301-903-6821, Lowell.Ely@em.doe.gov
7. **DEFINITIONS**
 - a. Acquisition Executive (AE): The Senior Executive Service manager designated as the authority to approve/disapprove Critical Decisions for Line Item Construction and other Capital Asset projects.
 - b. 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 team to proceed to the next phase and commit resources. CDs are used as review points to assure the

Program Secretarial Office (PSO) and Secretarial Acquisition Executive (SAE) or AE that the project is ready to proceed to the next phase and that its mission need remains valid and current.

- c. Deputy Assistant Secretary (DAS): The DAS is responsible for managing the assigned program elements and for supporting the PSO in the management of the overall EM program, including providing advice on Critical Decision actions.
- d. OECM – Office of Engineering and Construction Management
- e. EIR – External Independent Review performed by OECM
- f. IPR – Independent Project Review performed by EM-11 or another EM office as designated by the AE
- g. Federal Project Director (FPD) – The FPD is the DOE employee assigned the responsibility and accountability for all project management activities, including oversight of the project. The FPD is the single point of contact between the federal staff and the contractor staff on all matters relating to the project and its execution, including (1) preparing and presenting CD actions to the SAE/AE and (2) planning and preparing for the EIR.
- h. EIR Preparation Team – Team consisting of federal and contractor project team members at the site and individuals dedicated to the Project Execution Plan, Acquisition Strategy, Integrated Project Team Charter, Federal Risk Management Plan, and Cost and Schedule Baseline Review in preparation for the EIR.
- i. Integrated Project Team (IPT) – A multidisciplinary team lead by the FPD and consisting of the Contracting Officer (CO), CO’s Technical Representative, and other stakeholders as designated by the FPD. The IPT is accountable for developing the project’s contracting strategy and for providing regular and systematic oversight of the contractor’s performance relative to established project baselines and contract requirements. The IPT is also responsible for coordinating changes through the Change Control Board.
- j. Environmental Management Acquisition Advisory Board (EMAAB) –An advisory body to the AE (EM-1) that is comprised of EM DASs and other non-EM personnel. The EMAAB is an advisory board through which the AE reviews and approves or recommends for approval Critical Decisions for Non-Major System Projects.
- k. Energy Systems Acquisition Advisory Board (ESAAB) – An advisory body to the SAE that is comprised of senior DOE Management and Program Secretarial Officers. The ESAAB is an advisory board through which the SAE reviews and approves or recommends for approval major system project Critical Decisions.
- l. FTE – Full Time Equivalent

8. ROLES & RESPONSIBILITIES:

- a. Site Manager – Reviews and endorses all CD and project documents and briefings prior to the EIR. Assists with the initial EIR Review Team briefing as needed.
- b. FPD – Responsible for provision of all necessary EIR documents. Supports the EIR process with resources, time, data, and personnel. Presents EIR corrective actions at Pre-EMAAB, ESAAB Readiness Review (Pre-ESAAB), EMAAB, and ESAAB meetings.
- c. EM-11 Representative – Assists the site with development of EIR documentation and participates in all onsite EIR related visits and telephone conferences with OECM.
- d. OECM – Federal lead for EIR Contractor and is responsible for issuing the final EIR reports, accepting the corrective action plan and closing out EIR review.
- e. EIR Contractor – Leads EIR Team, writes report, renders a recommendation to OECM whether to validate or certify baselines.
- f. Site Integrated Project Team – IPT members are actively involved in the project and have a working knowledge of the scope, cost, schedule, and project risks. The site must be able to demonstrate evidence of a functioning IPT. The IPT must include subject matter experts for all required functions.

9. PROCEDURE/REQUIREMENTS:

- a. Requirements:
 - i. DOE Order 413.3A requires OECM to perform a Performance Baseline EIR for all capital asset projects with a Total Project Cost (TPC) greater than or equal to \$100M; otherwise, an IPR will be conducted.
 - ii. CD records will be maintained on the EM Portal.
 - iii. EM-11 will provide the following to OECM not later than March 30 of each year:
 - 1. A listing of all projects that will require an EIR during the next Fiscal Year. EM-11 will provide a summary of EM's position on which capital asset projects should receive an EIR and why.
 - 2. The estimated TPC for those projects, and an estimated start date for conducting the respective EIR.
 - 3. An out year projection (at least through the next budget planning year) listing the number of EIRs expected to be required with an estimated TPC for those out year projection projects.
- b. General EIR Timeline:
 - i. The total duration of the EIR process from submission of the project documentation and EIR review materials to issuance of the Final Report is approximately 16 weeks. The primary steps of the EIR process and general timeline are as follows:
 - 1. Commence EIR Preparation -14 to16 weeks prior to site visit by EIR Team.
 - 2. EIR Scoping Meeting – 8 weeks prior to site visit

3. Required Project Documents provided to EIR Team – 4 weeks prior to site visit
 4. Draft EIR review plan received – 3 weeks prior to site visit
 5. IPT reviews Draft EIR and provides comments – 1 week duration
 6. EIR Team onsite – 1 week duration
 7. Draft EIR Report received – 2 weeks after site visit
 8. Factual accuracy comments due – 1 week after receipt of Draft EIR Report
 9. Pre-final EIR Report and Management Brief and Issue/Comment Resolution conference – scheduled by OECM following receipt of Factual Accuracy comments.
 10. Corrective Action Plan (CAP) developed and submitted – approximately 1 week after Pre-final Management Brief
 11. Final EIR Report and validation recommendation received – 2 weeks after Pre-final Management Brief
 12. Start CAP implementation
- c. EIR Scoping Meeting with OECM and EIR Contractor:
- i. The FPD and EM-11 Representative attend a teleconference/video conference with OECM to discuss and agree upon the scope of the EIR. The date for receipt of project documentation and target dates for the EIR site visit is established in this meeting.
 - ii. The FPD and EM-11 Representative negotiate the exclusion of specific Lines of Inquiry (LOIs) during the scoping meeting. Exclusions of LOIs are documented in the Tailoring Strategy. For example, if a review was performed recently (within the last year), it is common to request that certain site level documents/LOIs be excluded from the review based on the fact that nothing has changed substantially to require the need to re-review them. The EIR Team can agree or disagree with the site's approach.
 - iii. The FPD and EM-11 discuss key project characteristics, the need for any required specialty skill sets or subject matter experts and establish EIR team augmentation, as necessary.
- d. EIR Documentation – General: Documentation requirements are extensive; see Reference f. detailed in Section 5 of this SOP. A list of LOIs can also be found in Reference f. Key Federal and contractor documents are noted.
- e. EIR Review Plan:
- i. The Program/FPD receives the Draft EIR Review Plan from the EIR Team approximately 1 week after the EIR team receives documentation required for the EIR.
 - ii. The Review Plan will include the scope of the review; any lines of inquiry specifically excluded from the review; review schedule; details of the review team; and discussion of logistics for working on site.
 - iii. The FPD and EM-11 should submit comments on the Draft Review Plan to the EIR Team as necessary.

- iv. The Review Plan contains specific questions the EIR Team will want answers to during the site visit. The Program, FPD and EM-11 pay close attention to these questions and prepare answers to each one prior to the onsite review.
- f. EIR Onsite Review:
- i. The Program/FPD provides office support including but not limited to: meeting spaces for interviews and meeting, at least one desktop computer with internet access and connection to a printer, and copier access to facilitate the EIR Team's site visit.
 - ii. The Program/FPD establishes a central location or "library" to keep and organize all hard copy EIR documents.
 - iii. The Program/FPD gives an in-briefing to the EIR Team on the first day of the site visit, providing initial answers to the questions raised in the Review Plan. The Site Manager supports the Program/FPD as required.
 - iv. After the initial in-briefing, the Program/FPD prepares a detailed presentation to the EIR Team on the overall site systems and methods being used for estimating, scheduling, project controls, and baseline management.
 - v. Prior to the EIR Team arriving onsite, the Program/FPD establishes an interview schedule that can be adjusted as necessary.
 - vi. The Program/FPD meets with the EIR Team at the end of each day to plan/reschedule follow-on interviews, document requirements and activities for the following day; and to perform an overall "process check" regarding how the EIR site visit is proceeding, what is working and what is not working.
 - vii. At the conclusion of the site visit, the EIR Team conducts an out-briefing that is attended by the Program/FPD and Key Program/project personnel. The Key Program/project personnel unable to physically attend the out-briefing should attend via teleconference, if possible. *The Program/FPD and site personnel should note that EIR Teams are under no obligation to provide advanced reporting of findings. Any findings discussed during the out-briefing are preliminary and subject to change.*
- g. EIR Report:
- i. The Program/FPD receives a Draft EIR Report for Factual Accuracy review approximately 2 weeks after the site visit and should prepare written Factual Accuracy comments within 1 week of receipt.
 - ii. The Program/FPD participates in a teleconference with the EIR Team, hosted by OECM, to discuss and agree upon the Factual Accuracy comments. After resolution, those comments are incorporated into the Draft EIR Report.
 - iii. If the Factual Accuracy process results in unresolved issues, the Program/FPD requests a resolution conference to discuss Findings and issues no later than one week after receipt of the draft report. The Program/FPD provides supporting documentation to OECM prior to the resolution conference.

- iv. The Program/FPD receives a Pre-Final EIR Report and attends a Pre-Final Management Brief hosted by OECM for final resolution of EIR Report issues and comments.
- v. The Program/FPD prepares a CAP that details the corrective measures the site intends to implement, planned date for completing the corrective action and responsible person. The EIR Team provides a CAP shell, which is a template for the Program/FPD to use for preparing the CAP. OECM reviews the Program/FPD's CAP response and resolves any outstanding CAP response issues.
- vi. OECM transmits the Final EIR Report and validation recommendation, and if necessary, an EIR CAP Review Report.

Approved By: Lowell Ely

Signature: 

Name and Title: Lowell Ely, Director of Project Assistance and Assurance, EM-11

Date: 8/14/10