

Management System: Project Management
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Subject Area: Critical Decision and Change Control Management
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Procedure: Critical Decision 2/3, Approve Performance Baseline and Start of Construction

Issue Date and Revision Number: 2/26/15, Rev. 2 (GENERAL REVISION)	Lead Subject Matter Expert: Sue Smiley	Management System Owner: Terry Brennan
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1.0 Applicability

This procedure applies to all U.S. Department of Energy (DOE), Office of Environmental Management (EM), Consolidated Business Center (EMCBC) and EM “Small Sites” staff who must seek approval of the Performance Baseline and approval to begin construction or execution of a capital asset project with a Total Project Cost (TPC) greater than \$10 million. Requirements for Acquisition Executive (AE) approval of Critical Decision 2 (CD-2, Approve Performance Baseline) and CD-3 (Approve Start of Construction) are defined in DOE O 413.3B, Program and Project Management for the Acquisition of Capital Assets, and vary depending upon the TPC.

The Director of the EMCBC is the line manager for all Small Sites, and also serves as the AE for Small Site capital asset projects that have a TPC under \$100 million. Federal Project Directors (FPD) and project management support staff for such capital asset projects should review this procedure prior to pursuing AE approval of CD-2/3. The EMCBC procedure # SAP-OCE&PMS-413.3B-B-03 (Managing the Project Execution Phase) complements this procedure for CD-2/3.

A separate EMCBC procedure, SAP-OCE&PMS-413.3B-A-05 (CBC Acquisition Advisory Board [CBCAAB]), describes the administrative process for obtaining EMCBC Director approval of all Critical Decisions (except CD-0 [Approve Mission Need], where approval authority cannot be delegated lower than the Assistant Secretary for Environmental Management (EM-1). The CBCAAB can also provide review and oversight for the development of CD-2/3 deliverables for proposed projects at any Small Site (regardless of TPC), as a precursor to submission of such materials to the acquisition advisory board at EM Headquarters (the EMAAB, chaired by EM-1) or at DOE Headquarters (the Energy Systems Acquisition Advisory

Board [ESAAB], chaired by the Secretarial Acquisition Executive [SAE], the Deputy Secretary of Energy).

This procedure is consistent with the EM Enterprise Requirements System (EMERS) Functional Area Description for Project Management, the associated Subject Area for Critical Decision Management, and the following subsidiary procedures:

- Procedure 3 (Obtaining CD-2, Approve Performance Baseline)
- Procedure 4 (Obtaining CD-3, Approve Start of Construction/Execution)
- Procedure 6 (Processing Approvals for EMAAB and ESAAB).

2.0 Required Procedure

Upon completing the Project Definition Phase (i.e., upon AE approval of CD-1 [Approve Alternative Selection and Cost Range]), the project enters the Execution Phase where the initial focus is on further refining the selected alternative, developing the preliminary design, arriving at a high confidence baseline and updating the Project Execution Plan (PEP), all of which support a request for funds in the DOE budget. Upon approval of CD-2, the Performance Baseline (PB) is officially established and documents the cost, schedule, performance and scope commitment to which DOE will execute the project. Approval of the PB marks the beginning of performance tracking (including earned value [EV] data) in the DOE Project Assessment and Reporting System (PARS II) database. For EM projects, performance data must also be entered in the EM Integrated Planning, Accountability and Budgeting System (IPABS) database. Approval of CD-2 also enables projects to be included in the next DOE Corporate Review Budget along with its cost, schedule and scope baselines, as supported by its baseline Budget Authority funding profile. After approval of CD-2, engineering and design activities continue until the project is ready for construction or implementation. Before major budget and other resources are committed, a Construction or Execution Readiness Review is performed. Approval of CD-3 authorizes the project to commit all resources necessary, within the funds provided, to execute the project.

For the majority of Small Site projects that the EMCBC will be responsible for, a combined CD-2/3 approval may be pursued if the project engineering is well understood (the final design is available, with low uncertainties) and there is sufficient funding available and planned until beyond the next Budget Year (new funds may be requested only after CD-2). This part of the Execution Phase culminates with a combined Baseline/Constructability Review, the results of which are presented to the AE to support a decision to approve CD-2/3. Upon AE approval of CD-2/3, project execution activities can include commencement of construction, implementation, procurement or fabrication, through the completion of all procurement and construction and/or implementation activities that are necessary for initiation of acceptance and turnover activities. Acceptance and turnover activities begin at the tail end of the Execution Phase/beginning of the Transition/Closeout Phase, and are precursors for AE approval of CD-4 (Approve Start of Operations or Project Completion).

Major items to be approved in the process toward CD-2/3 approval include the final Project Execution Plan (PEP); National Environmental Policy Act (NEPA) decision documents; the Performance Baseline (PB) and supporting documents, such as the Risk Management Plan (quantitative analysis including calculation of required Contingency); the Final Design; and updates (if required) to documents that were approved at CD-1 (e.g., Acquisition Strategy, Integrated Project Team [IPT] Charter, Tailoring Strategy).

General steps related to obtaining CD-2 and CD-3 are listed in DOE O 413.3B, Appendix A, in Section 4.c (see Table 2.2) and Section 4.d (see Table 2.3), respectively. The below table provides additional detail to accomplish all required steps.

Step 1	Determine the Critical Decision-2/3 (CD-2/3) Approving Official, per below, based on total project cost (TPC):										
	<table border="1"> <thead> <tr> <th>Total Project Cost</th> <th>Approval Authority</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">TPC < \$100M</td> <td>EMCBC Director</td> </tr> <tr> <td style="text-align: center;">$\\$100M \leq TPC < \\$400M$</td> <td>Assistant Secretary for Environmental Management (EM-1)</td> </tr> <tr> <td style="text-align: center;">$\\$400M \leq TPC < \\$750M$</td> <td>Under Secretary for Performance and Management</td> </tr> <tr> <td style="text-align: center;">TPC \geq \$750M</td> <td>Deputy Secretary (S-2), i.e., the Secretarial Acquisition Executive (SAE)</td> </tr> </tbody> </table>	Total Project Cost	Approval Authority	TPC < \$100M	EMCBC Director	$\$100M \leq TPC < \$400M$	Assistant Secretary for Environmental Management (EM-1)	$\$400M \leq TPC < \$750M$	Under Secretary for Performance and Management	TPC \geq \$750M	Deputy Secretary (S-2), i.e., the Secretarial Acquisition Executive (SAE)
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TPC \geq \$750M	Deputy Secretary (S-2), i.e., the Secretarial Acquisition Executive (SAE)										
Because the EM Office of Project Assessment (EM-53) will perform an Independent Project Review (IPR) on all projects with a TPC less than \$100 million, the FPD should review EM’s Critical Decision approval process. For Critical Decision approvals above EM-1, review EMERS Procedure 6 (Processing Approvals for EMAAB and ESAAB) as well as DOE Office of Acquisition and Project Management (OAPM) Standard Operating Procedure (SOP) for ESAAB dated July 2014. The OAPM procedure includes a timeline for obtaining Critical Decisions.											
NOTE: EM projects requiring the Under Secretary’s approval are handled the same at the Field level as those requiring the SAE’s approval. The OAPM is responsible for assisting Under Secretaries with review of proposed Critical Decisions, and each Under Secretary may establish requirements (formal or informal) for conducting an Acquisition Advisory Board-like process. However, at this point in time, formal procedures are in place for the EMAAB											

	<p>and ESAAB only.</p>
<p>Step 2</p>	<p>The FPD determines if an exception to DOE 413.3B requirements for CD-2 and/or CD-3 may be warranted.</p> <p>If the FPD believes no exceptions are warranted, proceed directly to Step 3 below.</p> <p>If the FPD believes an exception is warranted:</p> <ol style="list-style-type: none"> a. The FPD makes a recommendation and appeal for appropriate exceptions to the AE. b. The AE communicates the decision to grant or deny the exception request, via memorandum to the FPD. c. If the exception is denied, the FPD may collaborate with the Integrated Project Team (IPT) on a revised strategy, and make a follow-up appeal to the AE until a conclusive decision regarding exceptions is issued. <p>NOTE: If the FPD believes an exception to DOE O 413.3B requirements is warranted, he/she should include this in the Tailoring Strategy for the project. An initial Tailoring Strategy is developed prior to AE approval of CD-1 (Approve Alternative Selection and Cost Range), and is typically included in the Preliminary Project Execution Plan (PEP). The FPD prepares a final PEP and Tailoring Strategy prior to AE approval of CD-2 and, if warranted, prior to AE approval of CD-3. A single update to the PEP and Tailoring Strategy is typical, in the case of a combined CD-2/3 approval. The Tailoring Strategy should also speak to proposed exceptions (if warranted) to DOE O 413.3B requirements for CD-4 (Approve Start of Operations or Project Completion).</p> <p>Refer to Steps 2a and 2b below for cases where an exception may be warranted.</p>
<p>Step 2a</p>	<p>Exception to requirement that CD-2 must be approved prior to Budget Request for Construction Funds:</p> <p>If such an exception is warranted, the responsible EM Mission Unit prepares an action memo from EM-1 to the Chief Financial Officer and the Director of the Office of Management. The Exception Statement should include the following:</p> <ul style="list-style-type: none"> • Identification of specific impacts if construction is delayed (including impacts to strategic plan, key agreements, safety, etc.). • Explanation of why the project is expected to be ready for construction and a statement that the Program Office has high confidence that all project planning necessary to award construction contracts will be completed in time to cost-effectively use the construction funds. In general, work necessary to start construction would include the following activities that should be addressed in the Exception Statement:

	<ul style="list-style-type: none"> ○ Scope is well defined with no significant changes expected following start of construction, ○ Design requirements are well defined and agreed to by the IPT, ○ Preliminary and final design will be complete, and ○ Construction planning will be complete (including bid packages).
<p>Step 2b</p>	<p>Exception for use of Simultaneous (i.e., Phased) Critical Decisions:</p> <p>In most cases, a phased CD-2 (CD-2a / CD-2b) approach is used for projects that require long-lead procurements; however, the phased approach may be used in other situations as necessary. The decision to use a phased CD-2 approach is determined early in the project by the Mission Unit, FPD, and EM-53, and is first noted in the Mission Need Statement, Acquisition Strategy, and Preliminary Project Execution Plan.</p> <p>A project requiring long-lead procurement may have the following scheduled Critical Decisions:</p> <ul style="list-style-type: none"> ● CD-2a, Approve the Long-Lead Procurement Budget ● CD-2b, Approve Performance Baseline ● CD-3a, Approve Start of Long-Lead Procurement ● CD-3b, Approve Start of Construction <p>NOTE: For projects requiring a phased approach to CD-2/3, the Acquisition Advisory Board process is similar to that of a normal CD-2/3.</p>
<p>Step 3</p>	<p>The FPD determines which Acquisition Advisory Board (AAB) is appropriate (i.e., CBCAAB, EMAAB, ESAAB), based upon the TPC for the project, and reviews requirements for gaining the appropriate AAB review of the CD-2/3 package and subsequent AE approval of CD-2/3:</p> <ul style="list-style-type: none"> ● See EMCBC procedure for the CBCAAB process (for projects with a TPC under \$100 million); ● See EMERS procedure for Processing Approvals for EMAAB and ESAAB (for projects with a TPC of \$100 million or greater); ● Also see OAPM Standard Operating Procedure (SOP) for ESAAB, dated July 2014.
<p>Step 4</p>	<p>The FPD, in cooperation with the Mission Unit, completes the prerequisites for obtaining CD-2/3 approval (see DOE O 413.3B, Appendix A, Section 4.c [Table 2.2] and Section 4.d [Table 2.3], respectively, for a complete list).</p> <p>Notable requirements include:</p> <ul style="list-style-type: none"> ● Finalize the Project Execution Plan (PEP) with a Performance Baseline (PB).

	<ul style="list-style-type: none"> • Employ a certified Earned Value Management System (EVMS) that is compliant with ANSI/EIA-748B, or as required by the contract. Refer to DOE G 413.3-10A (Earned Value Management System) and DOE O 413.3B, Appendix C, Topical Area # 5 (EVMS), for additional information. Contractors attesting to a certified EVMS will require a confirmatory surveillance. • Major System Projects using advanced technologies must consider conducting a Technology Readiness Assessment (TRA) and development of a Technology Maturation Plan, as appropriate. Refer to EM Standard Operating Policy & Procedure (SOPP) # 26, External Technical Reviews for the EM Program, dated April 1, 2011. Also see DOE G 413.3-4A (Technology Readiness Assessment Guide). • Assess the project using DOE G 413.3-12 (Project Definition Rating Index [PDRI]), or the EM PDRI Manual (Rev. 1, February 2001), as appropriate.
<p>Step 5</p>	<p>Determine the Project Review requirements.</p> <ul style="list-style-type: none"> • If the TPC is \$100 million or greater, then OAPM/MA-60 will perform an External Independent Review (EIR) of the Performance Baseline (PB). • If the TPC is \$750 million or greater (i.e., a Major System Project), a Construction or Execution Readiness Review must also be performed. • If the TPC is under \$100 million, then EM-53 will perform a Program Independent Project Review (IPR). <p>See DOE G 413.3-9 (Project Review Guide for Capital Asset Projects) for additional information on project review requirements at CD-2 and CD-3. Steps 5a and 5b below describe review requirements for projects with a TPC of \$100 million or greater, or a TPC less than \$100 million, respectively.</p>

<p>Step 5a</p>	<p>For projects with a TPC of \$100 million or greater:</p> <p>OAPM/MA-60 conducts an EIR of the proposed Performance Baseline (PB), and develops an Independent Cost Estimate (ICE) to support validation of the PB.</p> <ol style="list-style-type: none"> a. Approximately six months prior to the required EIR, the FPD and Mission Unit should notify EM-53 of the need for an EIR. <p>NOTE: The EIR should be scheduled no less than two months from the anticipated EMAAB or ESAAB meeting, as appropriate.</p> <ol style="list-style-type: none"> b. The EM-53 Site Lead coordinates with OAPM to define the scope, cost and schedule for the EIR, and required qualifications for EIR team members. The OAPM issues a PB Validation Memorandum to EM-1 that describes the cost, schedule and scope being validated. <p>NOTE: For Major System Projects (i.e., Projects with a TPC of \$750 million or greater), the OAPM will also conduct a Construction or Execution Readiness Review as part of the EIR process.</p> <ol style="list-style-type: none"> c. The EIR team conducts the review, and shares findings, comments and recommendations with the EMCBC, FPD and Site Project Team at a closeout briefing. d. The OAPM forwards the final EIR Report to the FPD, EMCBC, Mission Unit Contact and EM-53. e. The FPD ensures all findings and recommendations resulting from the EIR are appropriately addressed within the recommended timeframe. <p>NOTE: The primary purpose of the EIR is to support OAPM validation of the PB and to provide reasonable assurance that the project can be successfully executed. For further information on EIR requirements at CD-2 and CD-3, see DOE G 413.3-9 (Project Review Guide for Capital Asset Projects), Sections 5.3 and 5.4, respectively.</p>
<p>Step 5b</p>	<p>For projects with a TPC less than \$100 million:</p> <p>Per DOE O 413.3B, at CD-2 the Project Management Support Office (PMSO) must conduct an Independent Project Review (IPR) of the proposed Performance Baseline (PB) for projects with a TPC under \$100 million. At CD-3, the PMSO must conduct an IPR for all Non-Major System Projects to determine readiness for construction or execution (unless justification is provided and a waiver is granted by the AE). In the case of a combined CD-2/3, a single IPR can be performed, tailored as appropriate to meet Program Office</p>

needs.

NOTE: The EM Office of Project Assessment (EM-53) serves as the EM Headquarters PMSO for all EM projects that are subject to the requirements of DOE O 413.3B. A PMSO must also be present at the site level (or in the case of the Small Sites, a centralized PMSO function at the EMCBC office) for projects where EM-1 has delegated AE authority to a lower level. The EMCBC PMSO (i.e., the Office of Cost Estimating and Project Management Support [OCE&PMS]) also provides project management support services to Small Site projects with a TPC greater than \$100 million; however, the AE authority for such projects resides at EM-1 or higher levels.

- a. The Program Office issues a Charge Memorandum to the IPR Team Leader in EM-53 approximately eight weeks prior to the anticipated review date.

NOTE: This procedure assumes that EM-53 will chair all IPR reviews for Small Site projects; however, the EMCBC, in its capacity as line management for all Small Sites, may also perform an IPR or other form of project review for Small Site projects, utilizing guidance contained in DOE G 413.3-9 (Project Review Guide for Capital Asset Projects) and/or DOE G 413.3-12 (Project Definition Rating Index [PDRI] Guide for Traditional Nuclear and Non-Nuclear Construction Projects). The PDRI tool can be tailored to fit the needs of almost any project, and can be used to evaluate such things as the adequacy of project scope definition or the project's readiness to proceed to the next Critical Decision. For further information on EMCBC project review practices, refer to EMCBC Procedure SAP-OCE&PMS-413.3B-C-03 [EMCBC Project Reviews]).

- b. The EM-53, in coordination with the EMCBC, Mission Unit and FPD, develops a review agenda and assembles a review committee.
- c. The IPR Team conducts the review and shares findings, comments and recommendations with the EMCBC, FPD, Site Management and contractors at a closeout briefing.
- d. The EM-53 forwards the final IPR Report to the FPD, EMCBC and Mission Unit Contact within 60 days of the review.
- e. The FPD ensures all findings and recommendations resulting from the IPR are appropriately addressed within the recommended timeframe.

<p>Step 6</p>	<p>Prepare the CD-2/3 Approval Package.</p> <p>When all CD-2/3 prerequisites are complete, the FPD and Mission Unit Contact will prepare a package to brief the AE. The package should include a checklist of how all DOE O 413.3B requirements have been met (see NOTE below); a presentation (e.g., PowerPoint file) built around the Performance Baseline (PB) and the project's readiness to proceed with construction or execution; and a draft CD-2/3 Approval Memorandum. The FPD should provide EM-53 with an electronic copy of all CD-2/3 prerequisites for reference purposes.</p> <p>The CD-2/3 Approval Package should discuss, at a minimum:</p> <ul style="list-style-type: none"> • Key Performance Parameters (KPP), project deliverables, and potential metrics; • Total project cost (TPC), including Performance Measurement Baseline (PMB), Contract Price, Non-Contract Costs and Contingency; • Risk management, including enabling or bounding assumptions; • Project schedule, including CD-4 (Approve Start of Operations or Project Completion) Date; • Summary of Project Execution Plan (PEP); • Status of recommendations from previous project reviews (e.g., EIR, IPR); and • Interfaces with third parties. <p>NOTE: The EMCBC maintains a Critical Decision Requirements Checklist (MS Word template) that can be used to document a project's readiness for CD-2/3 (or any other Critical Decision). However, the checklist can also be used for development of a Tailoring Strategy, which serves as a forward-looking tool of planned DOE O 413.3B deliverables.</p>
<p>Step 7</p>	<p>Obtain AE (or SAE) approval of CD-2/3, as appropriate.</p> <p>For projects with a TPC of \$750 million or greater (i.e., a Major System Project), proceed to Step 8 below.</p> <p>For projects with a TPC under \$750 million, proceed directly to Step 11.</p>
<p>Step 8</p>	<p>For a Major System Project, or a project that has been so designated:</p> <p>Prepare for the Pre-ESAAB Meeting.</p> <ol style="list-style-type: none"> a. When the CD-2/3 prerequisites are completed, the Mission Unit requests that EM-53 schedule a Pre-ESAAB meeting with OAPM. <p>NOTE: The Pre-ESAAB serves as a dry-run of the formal ESAAB meeting with the Deputy Secretary of Energy. The purpose of the Pre-</p>

	<p>ESAAB is to resolve comments and issues prior to the formal ESAAB meeting.</p> <p>b. The FPD and EM Line Manager prepare a draft presentation and submit it to EM-53 one week prior to the Pre-ESAAB meeting for dissemination to all Pre-ESAAB participants. The Pre-ESAAB briefing is usually presented by the Program Associate Director, Program Manager, or FPD.</p>
<p>Step 9</p>	<p>The Program Office briefs Senior Management.</p> <p>In parallel with scheduling a Pre-ESAAB meeting, the Mission Unit schedules a meeting with the Under Secretary and/or EM-1/EM-2, Mission Unit Deputy Assistant Secretary (DAS), and EM-53.</p> <p>NOTE: The purpose of this meeting is to brief senior-level management on the project's request for CD-2/3 and to determine the manager (Under Secretary, EM-1, Mission Unit DAS, FPD, other) who will make the presentation at the formal ESAAB meeting. The Mission Unit usually tries to schedule this briefing several days prior to the Pre-ESAAB meeting, as a courtesy to senior management and to receive senior management's perspective/comments on the draft presentation.</p>
<p>Step 10</p>	<p>Obtain ESAAB review and endorsement of CD-2/3.</p> <p>After briefing Senior Management and completing the Pre-ESAAB meeting:</p> <p>a. The Mission Unit works with the Pre-ESAAB board members to resolve issues and answer inquiries prior to the formal ESAAB meeting.</p> <p>b. When inquiries and issues are resolved to the extent possible and the briefing is finalized, the Program Associate Director forwards the finalized presentation to the ESAAB Secretariat and requests the ESAAB meeting for CD-2/3 be scheduled. Distribution includes the following individuals:</p> <ul style="list-style-type: none"> • Mission Unit DAS • EM-53 Contact • FPD • All others deemed appropriate by the Mission Unit <p>c. The OAPM confirms the Program's readiness to proceed with the formal ESAAB meeting.</p> <p>d. The ESAAB Secretariat contacts the Mission Unit with the SAE's next available meeting date, which is normally within two to three weeks of the request.</p> <p>e. Prior to the formal ESAAB meeting, the Mission Unit will:</p>

	<ul style="list-style-type: none"> • Determine who will make the CD-2/3 presentation at the ESAAB meeting (the presentation is usually given by either the Under Secretary, EM-1, Mission Unit DAS or, in some cases, the Mission Unit Contact or FPD). • Determine the individuals who will participate in the ESAAB meeting (usually limited to five seats). • Advise EM-53 of the date of the ESAAB meeting. • Provide OAPM with the required number of hard copies of the final presentation at least one hour prior to the ESAAB meeting. • Provide a laptop computer and overhead projector for real-time, interactive presentation of the electronic CD-2/3 package during the ESAAB meeting. <p>f. After the ESAAB meeting, the Mission Unit makes any necessary changes to the draft CD-2/3 approval memorandum, per recommendations from OAPM.</p> <p>g. The Deputy Secretary of Energy either approves CD-2/3 or defers approval until questions and/or issues are resolved.</p> <p>NOTE: The Mission Unit will receive the final CD-2/3 approval memorandum from the Deputy Secretary within two weeks of the ESAAB meeting.</p>
<p>Step 11</p>	<p>For Non-Major System Projects (i.e., projects with a TPC under \$750 million):</p> <p>When the CD-2/3 prerequisites are completed, the Mission Unit requests that an EMAAB (or CBCAAB, depending on delegated authority) meeting for CD-2/3 be scheduled. The request should be placed at least two weeks prior to the anticipated Board meeting date.</p>
<p>Step 12</p>	<p>The FPD, in cooperation with the Program Manager, prepares a briefing package and a draft CD-2/3 approval memorandum for the EMAAB (or CBCAAB) meeting and forwards the package to the Board Secretariat at least one week prior to the scheduled meeting.</p> <p>NOTE: The EMAAB (or CBCAAB) members will have one week to review the documents and provide preliminary comments or issues to the Mission Unit.</p>

Step 13	<p>Conduct the EMAAB (or CBCAAB) Meeting:</p> <ol style="list-style-type: none"> The FPD presents the CD-2/3 request for approval to the EMAAB or CBCAAB. EMAAB or CBCAAB members have opportunity to ask questions, raise concerns, and make a recommendation for approval to the AE. Based on Board recommendations, the AE (i.e., the Under Secretary, EM-1, or EMCBC Director) either approves CD-2/3 or defers approval until questions and/or issues are resolved. The EMAAB or CBCAAB Secretariat prepares and distributes minutes of the meeting.
After AE (or SAE) approval of CD-2/3	
Step 14	<p>The FPD, Program Manager and OAPM will continue to report project status (which now includes earned value [EV] data) on a monthly basis in the DOE Project Assessment and Reporting System (PARS II) database. Refer to EMCBC procedure SAP-OCE&PMS-413.3B-C-01 (APM Reporting) for further information.</p>
Step 14	<p>The AE will continue to conduct Quarterly Project Reviews (QPR), as required by DOE O 413.3B, Appendix B (Responsibilities), Section 6 (Acquisition Executive). Refer to EMCBC procedure SAP-OCE&PMS-413.3B-C-02 (EM Reporting) for further information.</p>
Step 15	<p>Within 90 days of CD-3 approval, The FPD, with support from the IPT, must submit lessons learned regarding up-front planning and design to OAPM.</p> <p>OAPM will accept lessons learned that have been input to the DOE Corporate Lessons Learned Database, which is maintained by the DOE Office of Health, Safety & Security (HSS), i.e., it is not necessary to submit a formal lessons learned report to OAPM. The EM “Project Management Lessons Learned Guidance,” published in 2011, contains information on submission of lessons learned in the Project Management module of the HSS database. This EM guidance pertains to both capital asset projects and operations activities.</p>

3.0 References – Forms/Attachments/Exhibits

3.1 References

- DOE O 413.3B (Program and Project Management for the Acquisition of Capital Assets)
- EMCBC Procedure SAP-OCE&PMS-413.3B-B-03 (Managing the Project Execution Phase)

- EMCBC Procedure SAP-OCE&PMS-413.3B-A-05 (CBC Acquisition Advisory Board)
- EM Enterprise Requirements System (EMERS), Functional Area Description for Project Management, Subject Area for Critical Decision Management, Procedure 3 (Obtaining CD-2, Approve Performance Baseline), Procedure 4 (Obtaining CD-3, Approve Start of Construction/Execution), and Procedure 6 (Processing Approvals for EMAAB and ESAAB)
- DOE Office of Acquisition and Project Management (OAPM) Standard Operating Procedure (SOP) for Energy Systems Acquisition Advisory Board (ESAAB), dated July 2014
- American National Standards Institute/Electronic Industries Alliance (ANSI/EIA-748B (Earned Value Management System)
- DOE G 413.3-10 (Earned Value Management System [EVMS])
- DOE Office of Environmental Management (EM) Standard Operating Policy & Procedure (SOPP) # 26 (External Technical Reviews for the EM Program), dated April 1, 2011
- DOE G 413.3-4A (Technology Readiness Assessment Guide)
- DOE G 413.3-12 (Project Definition Rating Index [PDRI] Guide for Traditional Nuclear and Non-Nuclear Construction Projects)
- DOE Office of Environmental Management - Project Definition Rating Index (EM-PDRI) Manual, Rev. 1 dated February 2001
- DOE G 413.3-9 (Project Review Guide for Capital Asset Projects)
- EMCBC Procedure SAP-OCE&PMS-413.3B-C-03 (Office of Environmental Management [EM], Consolidated Business Center [EMCBC] Project Reviews)
- EMCBC Procedure SAP-OCE&PMS-413.3B-C-01 (Office of Acquisition and Project Management [APM] Reporting)
- EMCBC Procedure SAP-OCE&PMS-413.3B-C-02 (Office of Environmental Management [EM] Reporting)
- Environmental Management Project Management Lessons Learned Guidance (EM-2 memorandum dated June 3, 2011)

4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the Office of Cost Estimating and Project Management Support (OCE&PMS) in accordance with the EMCBC Organizational File Plan:

Records Category Code	Records Title	Responsible Organization	Quality Assurance (QA) Classification (Lifetime, Non-Permanent or Not Applicable)
ADM 16-01.4-A	ADMINISTRATIVE MANAGEMENT RECORDS, Baseline Management files Examples: Minutes from CBCAAB, EMAAB or ESAAB meetings	Office of Cost Estimating and Project Management Support	Not Applicable
ADM 16-05	ADMINISTRATIVE MANAGEMENT RECORDS, Project Control files Examples: Project Execution Plan (PEP) Tailoring Strategy Integrated Project Team (IPT) Charter Risk Management Plan External Independent Review (EIR) Independent Cost Estimate (ICE) Independent Project Review (IPR) Preliminary and Final Design EVMS Certification Memo Technology Readiness Assessment (TRA) CD-2/3 Briefing Package CD-2/3 Approval Memo PARS II Monthly Report (electronic copy) Quarterly Project Review (QPR) package Lessons Learned	Office of Cost Estimating and Project Management Support	Not Applicable
ENV 01-K-03	ENVIRONMENTAL RECORDS – ADMINISTRATION, Environmental Record Case Files, Environmental Program Support Files Examples (NEPA documents): Environment Assessment (EA) Finding of No Significant Impact (FONSI) Environmental Impact Statement (EIS) Record of Decision (ROD)	Office of Cost Estimating and Project Management Support	Not Applicable
ENV 01-K-01	ENVIRONMENTAL RECORDS – ADMINISTRATION, Environmental Record	Office of Cost	Not Applicable

	Case Files, Decontamination and Decommissioning Cleanup & Transitioning Case Files Examples (funding documents): Project Data Sheet (PDS) OMB Exhibit 300	Estimating and Project Management Support	
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5.0 EMCBC Record of Revision

EMCBC RECORD OF REVISION

DOCUMENT TITLE: Subject Area Procedure: Critical Decision 2/3, Approve Performance Baseline and Start of Construction

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
Rev. 0	Initial issue		12/16/11
Rev. 1	GENERAL REVISION		8/1/12
Rev. 2	GENERAL REVISION (to meet CBC MS format requirements, and to combine original CD-2 and CD-3 procedures into a single procedure)		2/26/15