

Department of Energy
Oak Ridge Office Environmental Management
Procedure

SITE CHANGE CONTROL BOARD

OREM-PC-IP-01
Revision 7

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Planning and Baseline Management Division

Approved: *Alan Stokes* 9/15/14
Alan G. Stokes, Director Date
Planning and Baseline Management Division



EM Environmental Management

safety ❖ performance ❖ cleanup ❖ closure

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Revision Log

Revision	Description of the Revision	Issue Date
0	Initial Issue.	on record
1	Update to reflect DOE Order 413.3B	on record
2	Update to reflect DOE Order 413.3B	on record
3	Update to reflect DOE Order 413.3B	10/12/2007
4	Update to reflect DOE Order 413.3B	11/20/2008
5	Update to reflect DOE Order 413.3B	05/25/2011
6	Update to reflect DOE Order 413.3B	04/11/2013
7	Update to ensure procedure complies with OREM Quality Assurance Implementation Plan (OREM-OM-PL-04). Update to new procedure numbering system EM-1.1 to OREM-PC-IP-01.	12/31/2014

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List of Acronyms

AE	Acquisition Executive
BCP	Baseline Change Proposal
CO	Contracting Officer
COR	Contracting Officer's Representative
DOE	U. S. Department of Energy
EM	Environmental Management
EM-SCCB	Site Change Control Board
FPD	Federal Project Director
FY	Fiscal Year
GFS&I	Government Furnished Services and Items
HQ	Headquarters
IPT	Integrated Project Team
LCB	Life Cycle Baseline
OREM	Oak Ridge Office of Environmental Management
PBS	Project Baseline Summary
PBMD	Planning and Baseline Management Division
PEP	Project Execution Plan
PFPD	Portfolio Federal Project Director
PM	Project Manager
QA	Quality Assurance
QL	Quality Level
SAE	Secretary Acquisition Executive
WBS	Work Breakdown Structure

1.0 PURPOSE

The purpose of the Oak Ridge Office of Environmental Management (OREM) Site Change Control Board (EM-SCCB) is to provide appropriate management and configuration control over changes to all EM schedule, cost, and technical baselines for all projects and contracts managed or coordinated by OREM.

2.0 SCOPE

This procedure applies to all OREM Project Baseline Summaries (PBS), Sub-PBS's or projects for both capital and operating activities.

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

- The contents of this procedure.
- The OREM Work Breakdown Structure (WBS).
- The scope, schedule and total project costs for each PBS, sub-PBS or project by Fiscal Year (FY).
- Project milestones.
- Performance Measures.

3.0 REFERENCES AND DEFINITIONS

3.1 Use Reference

- DOE Order 413.3, *Program and Project Management for the Acquisition of Capital Assets*
- DOE HQ Memorandum from Tracy Mustin, *Office of Environmental Management Integrated Contract and Project Change Control Management*, dated 11/29/11
- OREM-QA-IP-03-F-01, *QL-1 OREM Work Activity List*
- OREM-QA-IP-05, *Quality Records*

3.2 Source Reference

- DOE Guide 413.3-20, *Change Control Management Guide*
- DOE EM Office of Environmental Management Operation Activities Protocol, dated February 28, 2012
- OREM-CM-IP-01, *Acquisition Executive Advisory Board*

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3.3 Forms Prescribed

- OREM-PC-IP-01-F-01, *BCP Checklist Form*

3.4 Definitions

None

4.0 RESPONSIBILITIES

The EM-SCCB shall manage the changes identified in Section 2.0 in accordance with OREM's approval authority and Project Execution Plans. The EM-SCCB Secretary is appointed from the Planning and Baseline Management Division (PBMD). When a proposed baseline change requires Department of Energy (DOE) Headquarters (HQ) or Acquisition Executive (AE) approval per applicable Project Execution Plan (PEP), the EM-SCCB shall coordinate the request for HQ's approval after the EM-SCCB has concurred. See Attachment A and Attachment B.

4.1 EM-SCCB Chairperson

The EM-SCCB Chairperson shall be responsible for:

- 4.1.1 Presiding over the EM-SCCB meetings;
- 4.1.2 The final disposition decision of EM-SCCB change actions unless otherwise delegated. See Attachment B.

4.2 EM-SCCB Members

The EM-SCCB members shall be responsible for:

4.2.1 Membership

The EM-SCCB members are listed in Attachment A. Alternates for the primary board members are appointed to serve in the member's absence.

4.2.2 Membership Responsibility

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

4.2.3 Reviewing and evaluating the technical, cost, schedule and regulatory impacts of submitted changes.

4.2.4 Ensuring that technical and schedule improvements and cost reductions have been considered and incorporated, as applicable, into the proposed change.

- 4.2.5 Determining the availability of funding (by all fiscal years and total project) to fund the change.
- 4.2.6 Understanding the impact of the change on current and future cost and schedule variances, project milestones and corporate performance measures.
- 4.2.7 Ensuring regulators have been informed if regulatory milestones are impacted.
- 4.2.8 Determining if proposed changes are within the associated contract statement of work or if a contract change is required.
- 4.2.9 Ensuring baseline changes are approved after and aligned with any applicable contract changes.
- 4.2.10 Ensuring government can provide Government Furnished Services and Items (GFS&I) in accordance with the change.
- 4.2.11 Ensuring contractor will use the appropriate earned value methodology for the activities affected by the change.
- 4.2.12 Recommending approval or disapproval to the EM-SCCB Chairperson for changes not dispositioned by a delegated authority.
- 4.2.13 Requesting emergency EM-SCCB meetings as necessary.

4.3 EM-SCCB Secretary

The EM-SCCB Secretary shall be responsible for:

- 4.3.1 Scheduling EM-SCCB meetings and preparing Contracting Officer's Representative (COR) letters to document disposition of the Baseline Change Proposal (BCPs).
- 4.3.2 Preparing and distributing the EM-SCCB meeting agenda and issuing announcement of forthcoming meetings, time, and place to all individuals required to attend the meeting.
- 4.3.3 Ensuring that the original BCP packages presented to the Board have all signatures.
- 4.3.4 Maintaining a log of BCPs brought to the EM-SCCB and recording and tracking the EM-SCCB actions.
- 4.3.5 Coordinating request of HQ approval as applicable, in accordance with applicable HQ guidance.
- 4.3.6 Originating correspondence to the contractor describing disposition of BCPs.

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4.3.7 Coordinating disposition of emergency changes when necessary.

4.4 Portfolio Federal Project Directors (PFPDs)

The PFPDs shall be responsible for:

- 4.4.1 Working with the Integrated Project Team (IPT) and Contracting Officer (CO) to determine if changes are within a contract statement of work or if it requires a contract change.
- 4.4.2 Conducting pre-EM-SCCB meeting at the discretion of the PFPD.
- 4.4.3 Signing BCPs when authority is delegated to the PFPD or concurring or non-concurring on BCPs when authority is not delegated. Copies of the approved BCPs will be provided by the EM-SCCB Secretary to the EM-SCCB Chairperson and discussed for information purposes in the next SCCB. Signature on the BCPs provides authorization for implementation of the change unless HQ approval is required in accordance with thresholds established in PEP. See Attachment C.
- 4.4.4 Briefing the EM-SCCB on the BCP.
- 4.4.5 Providing rationale for any rejected BCP.

4.5 Contracting Officers (COs)

The COs shall be responsible for:

- 4.5.1 Reviewing and concurring or rejecting BCPs in accordance with their contract change process and DOE Guide 413.3-20.
- 4.5.2 Agreeing in conjunction with the PFPD on baseline changes to establish an over-target baseline if project costs grow without a change to the contract, in accordance with a DOE HQ Memorandum from Tracy Mustin, *Office of Environmental Management Integrated Contract and Project Change Control Management*, dated 11/29/11.
- 4.5.3 Determining in conjunction with the PFPD if a non-fee bearing change to contact cost is needed for a change to the baseline not attributable to a change in scope.

4.6 Project/Program Managers (PMs)

The PMs shall be responsible for:

- 4.6.1 Reviewing and concurring or rejecting BCPs with support from the project IPT. This includes completing the BCP Checklist Form located in Attachment D.
- 4.6.2 Obtaining PFPD signature and providing signed BCPs to the EM-SCCB Secretary.

5.0 PROCEDURE

5.1 Receipt and Distribution of BCPs

- 5.1.1 Contractor shall submit BCPs by a formal letter to the COR.
- 5.1.2 BCPs will be assigned, tracked and reviewed by a PM following established processes.

5.2 Review and Approval of BCPs

- 5.2.1 The PM will review and concur or reject the BCP with support from the project control analyst (who completes the BCP Checklist Form found in Attachment D) and IPT. The PM shall obtain a briefing from the contractor on the BCP as needed.
- 5.2.2 If the PM concurs on the BCP, he/she will provide the BCP to the PFPD. The PFPD will approve or reject the BCP. If the PFPD approves the BCP that reflects a change to the contract, the CO will review and concur that the contract change has been made. Regardless of whether the BCP is approved or rejected, the PM will provide the BCP to the EM-SCCB Secretary, who will place it on the EM-SCCB agenda.
- 5.2.3 Administrative BCPs approved by contractor boards will be provided to the PFPD, PM and project control analyst. If the PFPD determines that approval was not within the contractor's authority or that there is a problem with the BCP, it shall be provided to the EM-SCCB Secretary for the next EM-SCCB meeting.

5.3 BOARD MEETINGS

- 5.3.1 EM-SCCB meetings are scheduled on the second and fourth Wednesday of each month.
- 5.3.2 Emergency actions may be dispositioned without a formal EM-SCCB meeting at the discretion of the EM-SCCB Chairperson. The approval of such changes shall be documented and distributed in the normal manner.
- 5.3.3 BCPs for consideration by the EM-SCCB shall be distributed by the EM-SCCB Secretary to the EM-SCCB Chairperson prior to the board meeting unless directed otherwise by EM-SCCB Chairperson.
- 5.3.4 BCPs will be presented to the EM-SCCB by the PFPD or designee. This may include a presentation by the contractor, or other management personnel to provide supporting information at the discretion of the PFPD, or EM-SCCB Chairperson.

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5.3.5 The Chairperson shall approve, reject or table the BCP as follows:

Approvals: The concurrence of the EM-SCCB Chairperson, during the SCCB meeting, on the EM-SCCB Change Proposal 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-SCCB approval should be undertaken without approval by the EM-SCCB.

Disapprovals: 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.

Tabled Actions: No change should be made pending further review and decision by the EM-SCCB.

5.3.6 The EM-SCCB Secretary ensures development and issuance of correspondence to the contractor describing the EM-SCCB disposition of the BCP. [This step creates a Quality Record which shall be processed per Section 6.0].

5.3.7 The EM-SCCB Secretary ensures the BCP Checklist Form (Attachment D) is complete and enters the completed form into the records management system. [This step creates a Quality Record which shall be processed per Section 6.0].

5.3.8 The PFPD reviews contractor administrative BCPs actions. In the event the PFPD disagrees with the contractor's authority to approve a change, the basis for OREM's position shall be documented and transmitted formally to the contractor. [This step creates a Quality Record which shall be processed per Section 6.0].

5.4 Integrated EM Life Cycle Program Baseline (LCB)

5.4.1 Changes to the LCB will be managed by the EM-SCCB in accordance with applicable thresholds established in the PEPs and DOE Order 413.3B and DOE Guide 413.3-20 Guide.

5.4.2 All changes to the LCB will be documented in the EM-SCCB Change Control Log.

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6.0 RECORDS

It is the responsibility of the EM-SCCB Secretary to collect and maintain the following records:

Record Description (section)	Record Type (QL-1, QL-2, NA)*	Form Number (if applicable)	Record Owner
Correspondence to Contractor on BCP Disposition (5.3.6), (5.3.8)	QL-2		EM-SCCB Secretary
BCP Checklist Form (5.3.7)	QL-2	OREM-PC-IP-01-F-01	EM-SCCB Secretary

* Quality Assurance (QA) records for Quality Level-1 (QL-1) activities shall be processed and submitted per OREM-QA-IP-05, *OREM Quality Records*. OREM-QA-IP-03-F-01, *QL-1 OREM Work Activity List*, contains a listing of OREM QL-1 Activities.

Non QA records and QL-2 Activities Records shall be processed as a Federal Record and submitted following SC Management System Description Records Management System procedures.

7.0 ATTACHMENTS

- Attachment A EM-SCCB Membership
- Attachment B Delegation of Acquisition Executive Authority for Capital Asset Projects at Oak Ridge
- Attachment C Baseline Change Control Thresholds
- Attachment D BCP Checklist Form

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ATTACHMENT A - EM-SCCB Membership

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

EM-SCCB Chairperson

OREM Manager for all changes requiring AE Approval Authority
OREM Deputy Manager for all other changes

ALTERNATE

As designated

DOE EM-SCCB Secretary

PBMD Coordinator

OTHER BOARD MEMBER

ALTERNATE

Portfolio Federal Project Director (As appointed by the AE)

As designated

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

PBMD Director

As designated

Oak Ridge Office Representative of Chief Financial Officer

As designated

DOE Contracting Officer

As designated

NOTE:

- Contractor Boards memberships are identified in their procedures.

At a minimum, the affected PFPD and EM-SCCB Chairperson are required to attend the meetings.

ATTACHMENT B - Delegation of Acquisition Executive Authority for Capital Asset Projects at Oak Ridge Office



Department of Energy
Washington, DC 20585

May 29, 2014

MEMORANDUM FOR SUSAN M. CANGE
ACTING ASSISTANT MANAGER
OAK RIDGE
OFFICE OF ENVIRONMENTAL MANAGEMENT

FROM:  DAVID HUIZENGA
ACTING ASSISTANT SECRETARY
FOR ENVIRONMENTAL MANAGEMENT

SUBJECT: Delegation of Acquisition Executive Authority for Capital Asset
Projects at the Oak Ridge Office

In accordance with the guidelines of Department of Energy (DOE) Order (O) 413.3B, *Program and Project Management of the Acquisition of Capital Assets*, I delegate Acquisition Executive (AE) Authority for all Office of Environmental Management (EM) Capital Asset Projects at the Oak Ridge Office with a Total Project Cost of less than \$100 million to you, as the Acting Manager, Oak Ridge Office of EM, with the exception of Critical Decision (CD)-0, *Approve Mission Need*.

You must demonstrate and affirm the ability to perform all duties of an AE as identified in DOE O 413.3B. As such, your field element/organization must have a robust project management system and a functioning project management organization (including competent and certified Federal Project Directors (FPDs), as well as warranted Contracting Officers (COs)). Your system should deliver acquisition quality, result in seamless integration with the management of the site's EM portfolio, and demonstrate due diligence and due process. AE authorities may not be delegated further. This delegation will remain in force until superseded or rescinded.

As the Acting Manager, Oak Ridge Office of EM, you must verify within 30 days of receiving this memorandum complete implementation of the below requirements and ensure that they are maintained:

- A project management organization is in place to oversee contractor activities and assure compliance with DOE O 413.3B;
- At the appropriate certification level, FPDs are assigned to, formally designated on, and fully empowered to direct EM capital asset projects;
- Processes and procedures are in place to implement DOE O 413.3B, including a functioning acquisition advisory board that advises and provides recommendations to you, as the AE, on the disposition of CDs, Performance



Baseline (PB) deviations, proposed PB changes, and associated modifications to or other actions taken on impacted contracts;

- The process of reviewing and dispositioning CDs, PB deviations, and PB changes is fully integrated with the procedures of contract administration such that potential contract modifications are coordinated with the CO, who is solely authorized to execute such changes as specified in Federal Acquisition Regulation, Part 1.602-1 (Authority) and;
- All affected contracts have been modified to incorporate DOE O 413.3B, including the Contractor Requirements Document.

In support of this delegation, it is my expectation that all projects will adhere to the requirements of DOE O 413.3B. The FPD must also assure accurate and current information is reported in the Integrated Planning, Accountability, and Budgeting System, the Project Assessment and Reporting System II, and the Monthly/Quarterly Progress Reviews. Finally, copies of all AE actions taken at the site should be provided to Mr. Christopher Honkomp, Director, Office of Project Assessment.

This rescinds the delegation issued to Mr. Mark Whitney, Manager, Oak Ridge Office of EM, same subject, dated August 17, 2012, from Mr. David Huizenga.

If you have any questions, please contact me or Mr. J. E. Surash, Deputy Assistant Secretary for Acquisition and Project Management, at (202) 586-6382.

cc: Ingrid Kolb, MA-1
Paul Bosco, MA-60
Mark Whitney, EM-2
Jack Craig, EM-2.1 (Acting)
Mark Gilbertson, EM-10
Kenneth Picha Jr., EM-20
Frank Marcinowski, EM-30
James Hutton, EM-40 (Acting)
J. E. Surash, EM-50
Dennis Deziel, EM-60
Melody Bell, EM-70 (Acting)

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ATTACHMENT C - BASELINE CHANGE CONTROL THRESHOLDS

Baseline	Addition/Deletion/Revision	Approval Level		
		I	II	III
Scope	Changes to scope that do not affect mission need requirements or Project Data Sheet. Any Project Execution Plan change.	X		
	Changes to DOE approved design or construction specifications that do not affect project scope. Changes to contract scope that do not affect project scope.		X	
	Changes to design or construction specifications for which the contractor is the design authority and the changes do not affect the contract or project scope.			X
Schedule	More than 6 months increase (cumulative) in a project-level schedule milestone date or any delay in CD-4 date.	X		
	Up to 6 months (cumulative) in a project-level schedule milestone date. Any use of DOE Schedule Contingency or up to 3 month increase (cumulative) in a project level schedule milestone date but within the CD-4 commitment.		X	
	Any use of Schedule Management Reserve, any re-sequencing of work packages that does not affect project level schedule milestones.			X
Cost	Use of Contingency of more than \$20M in a 12-month period.	X		
	Any use of DOE Cost Contingency of up to \$10M for a single event or up to \$20M cumulative in a 12 month period.		X	
	Any use of Cost Management Reserve (MR).			X

CCB Approval Levels:

Level I – Acquisition Executive (Refer to PEP for appropriate AE)

Level II – PFPD or Chair of EM-SCCB as delegated by the AE

Level III – Contractor Project Manager

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

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ATTACHMENT D - BCP CHECKLIST FORM

Complete prior to CCB board meeting

BCP Number:

BCP Title:

Date to ORO:

Analyst:

FPD:

Description of Change:

DOE ACTIONS				
Criteria	Yes	No	N/A	Comments
PBS # Identified				
Subproject Title/WBS identified				
Description of Change adequate				
Justification adequate				
Milestone Status Summary Report attached				
Waste Generation Forecast attached				
Life cycle cost impacts defined				
Contractor signatures completed				
Contract Action Required				
Contract Office Signature Required				
MR being utilized				
Potential contract action				
WBS markup attached				
Schedule markup attached				
Basis of Estimate adequate				
Contingency adequate (if required)				

NOTES/RECOMMENDATIONS:

Board Actions:	Yes	No	Date	Comments
Approved				
Disapproved				
Tabled				

CCB Secretariat Actions:	Yes	No	Date	Comments
Transmitted to implementing contractor				
Contractor letter prepared				