

Department of Energy
Office of Science

**DOE/SC
ENERGY SYSTEMS
ACQUISITION ADVISORY
BOARD (ESAAB)
PROCESS**

June 2013

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1. INTRODUCTION

Department of Energy (DOE) Order 413.3B, *Program and Project Management for the Acquisition of Capital Assets* requires the approval by Secretarial Acquisition Executive (SAE) through the Energy Systems Acquisition Advisory Board (ESAAB) process for the following:

- Requests for Critical Decision (CD) approval of all Major System projects, and
- Requests to change the project performance baseline that results in
 - Any change in scope and/or performance that affect the ability to satisfy the mission need or are not in conformance with the current approved Project Execution Plan and Project Data Sheet (this is known as a Deviation)
 - Increase in excess of the lesser of 50 percent (cumulative) or \$100 million of the original CD-2 (Approve Performance Baseline) cost baseline

In addition, for projects that requested construction funds prior to CD-2 but did not receive CD-2 approval within one year following budget submission, any future budget requests for construction must be approved by the SAE through the ESAAB process.

For projects **with performance baseline changes** below the SAE threshold or for **approval of a CD** for projects that are designated as non-Major Systems, DOE Order 413.3B requires that each Program Secretarial Officer (PSO) appoint an ESAAB Equivalent Board for advising on decisions.

In February 2011, as a direct result of the Office of Science (SC) past and current project performance, the Deputy Secretary of Energy approved the SC request for exemption from DOE Order 413.3B. A major benefit of the exemption is the delegation of SC Acquisition Executive authority and the establishment of SC project management requirements. The Office of Science [Project Decision Matrix](#) (Appendix A) outlines these requirements—the matrix should be referenced to determine the Acquisition Executive (AE) and baseline change authorities for each project.

The purpose of this procedure is to provide guidance to the Office of Science Program Manager and the Federal Project Director on how to process the required approval requests through the Department-level ESAAB or the Office of Science ESAAB Equivalent Board reviews.

This document specifies the processes and procedures for ESAAB and ESAAB Equivalent Board reviews.

2. The ESAAB PROCESS

The ESAAB is a Department-level board that provides advice to the SAE. The ESAAB action is a two-step process that consists of a Pre-ESAAB meeting and the ESAAB meeting itself. The Office of Engineering and Construction Management (OECM) is the Departmental-level ESAAB Secretariat.

2.1 Pre-ESAAB Meeting

Prior to, and in preparation of, an ESAAB meeting, a Pre-ESAAB meeting is required. The Pre-ESAAB meeting serves as a dry run of the SAE ESAAB meeting. The pre-ESAAB members include representatives from the following organizations:

- Director, Office of Budget, CF-30
- CFO/Budget Examiner, CF-31
- EERE/Sustainability Performance Office, EE-2
- Office of Engineering and Construction Management, MA-50
- Office of Health, Safety and Security, HS-21
- Office of National Nuclear Safety Administration, NA-54
- Principal Deputy Assistant Secretary for EM, EM-2
- Office of Science/Office of Project Assessment, SC-28
- Assistant Secretary for Nuclear Energy, NE-3/NE-43
- Office of Procurement and Assistance Management, MA-60
- Chief of Nuclear Safety, CNS
- General Counsel, GC-31/GC-50/GC-60
- Office of NEPA Policy and Compliance, GC-54

The purpose of the Pre-ESAAB meeting is to identify, and to the extent practical, resolve comments and issues prior to the formal ESAAB meeting. The steps for conducting a Pre-ESAAB meeting consist of:

- At least six weeks prior to the ESAAB Review, the SC Program Office requests that the Office of Project Assessment (OPA) schedule a Pre-ESAAB meeting with OECM.
- At this time, the SC Program Office also schedules a meeting with the Under Secretary for Science (S-4) and/or the Director/Principal Deputy Director of the Office of Science (SC-1), and OPA. The purpose of this meeting is to brief senior-level SC management on the project's request.
- The SC Program Manager prepares a draft presentation (see Appendix B) and submits it to OPA one week prior to the Pre-ESAAB meeting for dissemination to the Pre-ESAAB members. The Pre-ESAAB briefing is usually presented by the Program Associate Director, the SC Program Manager, or the Federal Project Director (FPD).

- The Program Office works with the Pre-ESAAB board members to resolve issues and answer inquiries prior to the SAE ESAAB meeting.

2.2 ESAAB Meeting

When inquiries and issues are resolved to the extent possible and the briefing is finalized, the Program Manager forwards this presentation to OPA who then forwards it to OECM (via e-mail to the ESAAB Secretariat or the designated OECM point-of-contact for SC) and requests the ESAAB meeting. The following individuals should be included in the presentation distribution: OPA Director; Program Office Associate Director; SC Program Manager; and all others deemed appropriate by the Program Office. The steps for coordinating and conducting the ESAAB meeting consist of:

- OECM confirms the Program Office's readiness to continue with the ESAAB meeting.
- The ESAAB Secretariat contacts OPA with the next available SAE meeting date, which is normally within two-to-three weeks of the request.
- The ESAAB Secretariat issues invitations to the following ESAAB members:
 - Secretarial Acquisition Executive as Chair
 - Under Secretaries
 - DOE General Counsel
 - Director of Management
 - Chief Financial Officer
 - Director of the Office of Engineering and Construction Management
 - Assistant Secretary for Environmental Management
 - Chief Health, Safety and Security Officer
 - Chief of Nuclear Safety or Chief of Defense Nuclear Safety, as appropriate
 - Deputy Administrator for Defense Programs
 - Director of the Office of Science
 - Senior Procurement Executive
 - The Deputy Secretary may designate other PSOs or functional staff as ESAAB members (temporary or permanent) as needed
- Prior to the ESAAB meeting, the Program Office will:
 - Determine who will make the presentation at the ESAAB meeting.
 - Determine the individuals who will participate in the Secretarial Acquisition Executive ESAAB meeting.
 - Provide OECM with 20 color copies and 10 black and white copies of the final presentation at least one-half hour prior to the ESAAB meeting.
 - Provide a laptop computer (for use with the LCD projector) and electronic copy of the current presentation at the ESAAB meeting.
- The selected SC personnel give the presentation at the ESAAB meeting (Appendix B shows a suggested presentation outline for the ESAAB meeting).

- The ESAAB members have the opportunity to ask questions and raise concerns.
- Based on the meeting, the Secretarial Acquisition Executive either approves the request or defers approval until questions and/or issues are resolved.

2.3 Post ESAAB Meeting

After the ESAAB meeting, the Program Office iterates a draft of the approval memorandum with OECM. The Program Office will receive the final approval or disapproval memorandum from the Deputy Secretary of Energy, within approximately two weeks after the meeting.

2.4 “Paper” ESAAB Process (Streamlined ESAAB Process)

DOE Order 413.3B does make provision for a streamlined ESAAB in circumstances that require SAE approval, but where the acquisition action is of relatively low monetary value, low risk, and requires non-controversial decisions (i.e., performance baseline deviation and CD approvals). The Paper ESAAB achieves the required staff coordination and approval without convening a formal meeting of all ESAAB members. Steps involved for obtaining a Paper ESAAB include:

- The Program Manager or FPD discusses with OPA the need for a Paper ESAAB instead of a formal meeting;
- OPA requests that OECM consider a streamlined ESAAB in lieu of a formal ESAAB meeting;
- OECM will determine: 1) if a streamlined ESAAB is appropriate; and 2) the level of inter-office coordination required;
- The Program Manager drafts an action memo to the Deputy Secretary of Energy through OECM to approve the requested action (CD approval, baseline change).

At a minimum, all streamlined ESAABs will be coordinated with OECM, the Chief Financial Officer, and the Office of the General Counsel with the expectation of expeditious review. If issues cannot be resolved within 15 days of document submission to ESAAB members, OECM will forward the issues to the Deputy Secretary for final decision. (See Appendix C for a sample Paper ESAAB memorandum.)

After the approval of the CD or the Baseline Change Proposal (BCP), the Federal Project Director needs to post the approved documents in PARS II.

3. The ESAAB EQUIVALENT PROCESS

For those projects that do not meet the requirement for a Department-level ESAAB, an ESAAB Equivalent Board at the PSO¹ level will be conducted. The Acquisition Executive is the chair of the SC ESAAB Equivalent Board. OPA is the Secretariat for the ESAAB Equivalent Board. The SC ESAAB Equivalent Board members include one representative from each of the following SC organizations:

- Office of Project Assessment
- Non-Proponent SC Program Office
- Office of Budget
- Environment, Safety and Health Division
- Facilities and Infrastructure Division
- Safeguards and Security Division

Note: ESAAB Equivalent Process is needed for CD requests that need the Acquisition Executive approval and for Baseline Change Proposal (BCP) resulting from Deviations (see [Project Decision Matrix](#) (Appendix A) for Deviation Approval Authority.

3.1 ESAAB Equivalent Meeting

The steps for completing the ESAAB Equivalent meeting include:

- The SC Program Manager or the FPD contacts OPA to schedule an ESAAB Equivalent meeting at least two weeks prior to the requested meeting date.
- Prior to the meeting, ensure that all necessary reviews have been performed and the required documents (Mission Need Statement, Acquisition Plan, Project Execution Plan, BCP forms, etc.) have been reviewed and approved by appropriate personnel.
- The FPD, in cooperation with the SC Program Manager, prepares a briefing presentation (See Appendix D) and a CD approval document (see Appendix E) or BCP approval form (Appendix F) for use at the ESAAB Equivalent meeting.
- ESAAB Equivalent Board Members have one week to review the documents and provide preliminary comments or issues to the Program Office.
- The FPD or SC Program Manager presents the CD or BCP approval request to the ESAAB Equivalent Board.
- The ESAAB Equivalent Board has the opportunity to ask questions, raise concerns, and make a recommendation for approval to the Acquisition Executive.

¹ In rare cases, an ESAAB Equivalent Board at the Under Secretary level may also be convened.

- Based on these recommendations, the Acquisition Executive either approves the request or defers approval until questions and/or issues are resolved.
- OPA prepares and distributes minutes of the ESAAB Equivalent meeting.

3.2 Post ESAAB Equivalent Meeting

OPA will provide copies of the approved ESAAB/Critical Decision/BCP document to the Acquisition Executive, SC Program Office, and FPD. The FPD is responsible for submitting the approved signature document into PARS II for CD approvals or Baseline Change approvals due to Deviations².

Guidance on the content of the CD and BCP presentations, content of the CD approval document, and a BCP form are shown in Appendices D, E, and F, respectively.

Attendance at the ESAAB Equivalent meeting is limited to the Director/Principal Deputy Director of the Office of Science (SC-1), the ESAAB Equivalent Board, the Program Office, OPA staff, and the FPD. Contractors and laboratory staff are not permitted to participate in the ESAAB meeting.

3.3 “Paper” ESAAB Equivalent Approval

For projects with relatively low monetary value (less than \$20 million), low risk, and that require non-controversial decisions (i.e., CD-0, CD-4, performance baseline changes due to positive cost variances, etc.) that need the AE approval, a streamlined ESAAB without convening a formal meeting may be performed. Paper ESAAB Equivalent Approval process consists of:

- The Program Manager or FPD discusses with OPA the need for a Paper ESAAB instead of a formal meeting.
- The Program Manager or the FPD drafts an action memorandum to the Acquisition Executive or the Deputy Director of Science Programs through OPA to approve the requested action (CD approval, baseline change without convening a formal meeting). (See Appendix C for a sample memo.)

The FPD is responsible for submitting the approved signature document into PARS II for CD approvals or Baseline Change approvals due to Deviations.

² BCP approvals only need to be submitted in PARS II if it is for Deviations or Performance Baseline change only. If the baseline change is below the Deviation threshold (does not change, the scope, TPC, or CD-4 date) the BCP should not be submitted in PARS II.

Appendix A. Office of Science Decision Matrix

		TOTAL PROJECT COST (TPC)	\$750M or more	Less than \$750M to \$400M	Less than \$400M to \$100M	Less than \$100M to \$50M*	Less than \$50M* to \$20M	Less than \$20M to \$10M**
		DECISION / REQUIREMENTS ¹ / APPROVAL ²						Delegation Allowed
		Prior to CD0, Approve Mission Need Statement	Reviewed by SC-28 (OPA) Approved by SC-1	Reviewed by SC-28 Approved by SC-1	Reviewed by SC-28 Approved by SC-1	Reviewed by SC-28 Approved by SC-1	Reviewed by SC-28 Approved by SC-1	Reviewed by SC-28 Approved by SC-AD
		PRIOR TO CD-4--PROJECT COMPLETION	Reviewed by SC-28 Approved by SC-1	Reviewed by SC-28 Approved by SC-1	Reviewed by SC-28 Approved by SC-2	Reviewed by SC-28 Approved by SC-AD	Reviewed by SC-28 Approved by SC-AD	Reviewed by SC-28 Approved by SC-AD
CRITICAL DECISIONS	CD-0--APPROVE MISSION NEED	S-2 (CD-1 to 4 delegated, see	SC-1	SC-1	SC-AD	SC-AD	SC-AD	SC-AD
	CD-1--APPROVE ALTERNATIVE SELECTION AND COST RANGE	S-4	SC-1	SC-1	SC-AD	SC-AD	SC-AD	SC-AD
	CD-2 --APPROVE PERFORMANCE BASELINE	S-4	SC-1	SC-2	SC-AD	SC-AD	SC-AD	SC-AD
	CD-3--APPROVE START OF CONSTRUCTION	SC-1	SC-1	SC-2	SC-AD	SC-AD	SC-AD	SC-AD
	CD-4--APPROVE START OF OPERATIONS OR PROJECT COMPLETION	SC-1	SC-1	SC-2	SC-AD	SC-AD	SC-AD	SC-AD
BASELINE MANAGEMENT	Changes to TPC	Deviations	If performance, scope, schedule, or cost baseline at CD-2 cannot be met, then SC-1 and SC-2 must be notified & a determination made to terminate the project or establish a new performance baseline.					
		New Performance Baseline Approval	S-4	SC-1	SC-2	SC-2	SC-2	SC-2
	No TPC Change	Directed Change	Project changes caused by Policy Directives that have the force and affect of law and regulation, or Regulatory, or Statutory action and are initiated by entities external to the Department.					
		Routine Project Changes/Control	Program	SC-AD	SC-AD	SC-AD	SC AD	SC AD
		Project	Prog. Mgr., SOM or FPD	Prog. Mgr., SOM or FPD	Prog. Mgr., SOM or FPD	Prog. Mgr., SOM or FPD	Prog. Mgr., SOM or FPD	Prog. Mgr., SOM or FPD
		Contractor	Contractor	Contractor	Contractor	Contractor	Contractor	Contractor
REVIEWS	Mission Validation Independent Review		SC-AD	SC-AD	SC-AD	SC-AD	SC-AD	SC-AD
	Design Review Prior to CD-1, CD-2, & CD-3		Team External to Project	Team External to Project	Team External to Project	Team External to Project	Team External to Project	Team External to Project
	Conduct Independent Project Review or External Independent Review prior to CD-0 to 3		ICE or ICR by OECM with OPA	ICE or ICR by OECM with OPA	ICE or ICR by OECM with OPA	Prior to CD-1 to CD-4 by SC-28	Prior to CD-2 & CD-3 Tailored by SC-28	Prior to CD-2 & CD-3 Tailored by SC-28
	SC-AD Request Annual Peer Reviews by PMSO Post CD-2		SC-28	SC-28	SC-28	SC-28	SC-28 Tailored	SC-28 Tailored
	Performance Baseline Deviation Reviews after CD-2		SC-28	SC-28	SC-28	SC-28	SC-28	SC-28
	EVMS Review--Certification Prior to CD-3 & Bi-annual Surveillance (annual by contractor)		SC-28	SC-28	SC-28	SC-28	SC-28	N/A
	ORR/RA--Operational Readiness Review/Readiness Assessment Prior to CD-4		Team External to Project	Team External to Project	Team External to Project	Team External to Project	Team External to Project	Team External to Project
	Technology Readiness Assessment (TRA) prior to CD-2 and 3 by SAE or AE		N/A	N/A	N/A	N/A	N/A	N/A
	Project Definition Rating Index (PDRI) by OECM		N/A	N/A	N/A	N/A	N/A	N/A
Hazard Cat. 1,2,3 Nuclear Facility--Technical IPR Prior to CD-2		PSO	PSO	PSO	PSO	PSO	PSO	
REPORTING	Monthly PARS II Reporting (EVMS for Projects>\$20 M)		Project Status After CD-0 and EV After CD-2					Monthly Project Status After CD-0
	Monthly or Quarterly Project Reporting (QPR) or Meeting after CD-0		SC-AD Invite SC-1 and SC-28	SC-AD Invite SC-1 and SC-28	SC-AD Invite SC-2 and SC-28	SC-AD to invite SC-28	SC-AD to invite SC-28	SC-AD to invite SC-28

Appendix B. Suggested Presentation Outline for an ESAAB

Each briefing should be tailored to include only essential information for the project being briefed at the ESAAB meeting. The presentation should be limited to 8-10 (maximum) slides with other information as backup. The presentation slides should include the following content.

- Purpose (action being requested)
- Project Description and Scope including Total Project Cost, Location/Features
- Include unique aspects for each Critical Decision being discussed
 - For example, CD-1, how the project alternatives were narrowed, why the preferred alternative was recommended/selected.
- Summary Schedule (including significant project milestones)
- Baseline Resource Plan (Funding and Major cost elements only)
- Major Project Risks and Mitigation Strategies
- Results of Reviews and Assessments
- Management Plan (including organizational responsibilities and Status of Federal Project Director regarding the Project Management Career Development Program certification)
- Other Considerations
 - Environment, Safety and Health
 - Security
 - Challenges, Issues, and Potential Sensitivities
- Summary and Recommendations, Readiness to Proceed, Key Points

Note: Backup Slides should be included in the package to:

- Assist the SAE in preparation for the meeting
- Answer anticipated questions
- Provide amplifying information
- Discuss alternative selection criteria
- Provide any other information that may provide a more complete understanding of the project/situation

Appendix C. The “Paper” ESAAB

MEMORANDUM FOR: Acquisition Executive

THROUGH: Director, OPA or Director, OECM

FROM: Program Manager, FPD or PSO (depending on size of project)

SUBJECT: Approve Critical Decision X or Approve Project Y Baseline Change

ISSUE: The XX project needs to obtain approval of CD-x through the ESAAB process. However, because of the small size of the project, it is requested that the AE approves CD-x without formally convening an ESAAB meeting ...

BACKGROUND: The scope of the XX project is to design... The estimated cost of the project is \$10M-\$20M with an approximate completion date of Month and Year ...

According to DOE Order 413.3B, to obtain CD-X approval, the project must complete xx and xx and convene an ESAAB meeting as part of the CD approval process ...

DISCUSSION: Because of the small size of this project and risks for the projects are low it is not necessary to convene a full ESAAB meeting. Office of XX has performed these types of project numerous times previously ...

SENSITIVITIES: None.

POLICY IMPACT: None.

URGENCY: The CD-X should be approved prior to September xx to allow the program to include in the budget request for ...

RECOMMENDATION: Approve CD-x.

APPROVE: _____

DISAPPROVE: _____

DATE: _____

Appendix D. Content of ESAAB Equivalent Presentations

Suggested Contents of a CD-0 Presentation

- The Mission of Office of Science and/or the Mission of SC Program
- Mission Gap or current situation
- Mission Need—high level description of project or what is needed
- Potential approaches
- Cost Range
- Schedule Range
- Funding Profile for High-End Cost Range
- Checklist of CD-0 requirements
- Recommendation
- Backup info if needed

Suggested Contents of a CD-1 Presentation

- Mission Need—high level description of project or what is needed
- Alternatives analyzed and the breakdown of their life-cycle costs
- Selected alternative and site and why
- Description of project scope with preliminary high level Key Performance Parameters
- Project organization
- CD-1 TPC Range
- Funding Profile by OPC design, OPC other, TEC design, TEC construction, and TPC
- CD dates including schedule contingency amount
- High Level Risks
- Tailoring—if any
- Checklist of CD-1 requirements
- Recommendation
- Backup info if needed

Suggested Contents of a CD-2 Presentation

- Project Overview
- Description of project scope with Key Performance Parameters
- Project organization
- Total Project Cost and breakdown of TPC by high level WBS including contingency
- Funding Profile by OPC design, OPC other, TEC design, TEC construction, and TPC
- CD dates and Summary critical path schedule with schedule contingency
- High Level Risks
- Tailoring —if any changes
- Checklist of CD-2 requirements
- Recommendation
- Backup info if needed

Suggested Contents of a CD-3 Presentation

- Project Description (renderings, photos, etc.)
- Acquisition status
- Updated or latest CD dates, cost data, funding profile
- High Level Risks
- Tailoring—if any changes
- Checklist of CD-3 requirements
- Recommendation
- Backup info if needed

Suggested Contents of a CD-4 Presentation

- Project Description
- Key Performance Parameters established at CD-2 baseline and achieved at CD-4
- Final cost by WBS (include any cost issues remaining such as claims and disputes)
- CD Dates updated with initial and actual dates
- Lessons Learned
- Checklist of CD-4 requirements
- Recommendation
- Backup information if needed

Suggested Contents of a BCP Presentation

- Project Overview
- Purpose of the ESAAB Equivalent Meeting
- Causes of the BCP
- Impact of the BCP—Compare changes to TPC, CD dates, Scope, Funding profile from CD-2 to current proposals
- High level risks and adequacy of contingency amount
- Current status of project (i.e., % project complete based on CD-2 baseline vs. new proposed baseline)
- Checklist of BCP requirements (i.e., IPRs, BCP form completed and appropriate signatures prepared, changes made to project, etc.)
- Recommendation
- Backup info if needed

Appendix E. Contents of ESAAB Approval Documents

**Approval of CD-0, Approve Mission Need
For The XX Project
Office of XX**

- A. Purpose of ESAAB Equivalent Board Meeting
- B. Mission of DOE/SC/Program
- C. Mission Gap
- D. Mission Need
- E. Cost Range Forecast
- F. Schedule Forecast
- G. Proposed Funding Profile for TPC High End Range (\$M)

Submitted by:

Program Manager/Associate Director
(depending on size of project)

Date

**Approval CD-1, Approve Alternative Selection
For The XX Project
Office of XX**

- A. Purpose of ESAAB Equivalent Board Meeting
- B. Mission Need
- C. Alternative Analysis and Selected Alternative
- D. Preliminary Project Scope Description
- E. Cost Range Forecast
- F. Schedule Forecast
- G. Proposed Funding Profile for TPC High End Range (\$M)
- H. Tailoring—if any

Submitted by:

Federal Project Director
DOE Argonne Site Office

Date

Program Manager
Office of XXX, Office of Science

Date

Director, Office of XXX
(depending on the size of the project)
Office of Science

Date

**Approval CD-2, Approve Performance Baseline
For The XX Project
Office of XX**

- A. Purpose of ESAAB Equivalent Board Meeting
- B. Project Scope Baseline including Key Performance Parameters
- C. Total Project Cost including contingency
- D. Schedule Baseline including contingency
- E. Funding Profile with Summary Detail (\$M)
- F. Tailoring—if any
- G. Discussion of Major Issues and Risks

Submitted by:

Federal Project Director
DOE Argonne Site Office

Date

Program Manager
Office of XXX, Office of Science

Date

Director, Office of XXX
(depending on the size of the project)
Office of Science

Date

**Approval CD-3, Approve Start of Construction
For The XX Project
Office of XX**

- A. Purpose of ESAAB Equivalent Board Meeting
- B. Project Scope Baseline including Key Performance Parameters
- C. Update of Total Project Cost breakdown including contingency
- D. Update of Schedule Baseline including contingency
- E. Update of Funding Profile with Summary Detail (\$M)
- F. Tailoring--if any
- G. Update of Major Issues and Risks

Submitted by:

Federal Project Director
DOE Argonne Site Office

Date

Program Manager
Office of XXX, Office of Science

Date

Director, Office of XXX
(depending on the size of the project)
Office of Science

Date

**Approval CD-4, Approve Project Completion
For The XX Project
Office of XX**

- A. Purpose of ESAAB Equivalent Board Meeting
- B. Project Scope Baseline including Key Performance Parameters at CD-2 and what is achieved at CD-4
- C. Total Project Cost established at CD-2 and final TPC
- D. Update of Schedule Baseline
- E. Major Lessons Learned
- F. Status of Project Closeout Activities and remaining contingency

Submitted by:

Federal Project Director
DOE Argonne Site Office

Date

Program Manager
Office of XXX, Office of Science

Date

Director, Office of XXX
(depending on the size of the project)
Office of Science

Date

Appendix F. Baseline Change Proposal (BCP) Formⁱ

Project ID Number:

Project Title:

BASELINE CHANGE PROPOSAL (BCP) FORM

1) BCP Number:	2) BCP Title:
3) DOE Program:	4) Project Location:
5) Point of Contact:	6) Phone:
7) Email:	
8) Directed Change(Check all that apply): <input type="checkbox"/> Congressional Budget Rescission/Cut <input type="checkbox"/> Regulatory Change <input type="checkbox"/> DOE Policy Change	9) Other causes of Baseline Change (Check all that apply): <input type="checkbox"/> OMB Budget Cut/Rescission <input type="checkbox"/> DOE Budget Cut/Rescission <input type="checkbox"/> Technical Challenges <input type="checkbox"/> Scope Change <input type="checkbox"/> Funding Partner Cut/Rescission <input type="checkbox"/> Other- Please explain below
10) Causes of Baseline Change :	
11) Change Description:	
12) Change Justification:	
13) Impact of Non-Approval:	

Project ID Number:

Project Title:

BASELINE CHANGE PROPOSAL (BCP) FORM

14) Impact on Cost Baseline:	Baseline (As of _____)	Proposed	Change
TEC			
OPC			
Contingency			
TPC			

15) Impact on Funding Profile (BA):

	<u>Prior FY</u>	<u>FY0X</u>	<u>FY0Y</u>	<u>FY0Z</u>	<u>Total</u>
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Baseline (\$M)

DOE OPC
DOE TEC
DOE TPC

Proposed (\$M)

DOE OPC
DOE TEC
DOE TPC

Change (\$M)

DOE OPC
DOE TEC
DOE TPC

Project ID Number: Project Title:
BASELINE CHANGE PROPOSAL (BCP) FORM

17) Impact on Schedule Baseline:

Milestone (No. & Description)	Baseline(Month/Year)	Proposed (Month/Year)	Change
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18) Explanation of Impact on Schedule Baseline:

19) Impact on Scope Baseline:

20) Explanation of Impact on Scope Baseline:

21) Other Impacts(Health, Safety, Environment, etc):

22) Interim or Corrective Actions:

Project ID Number:

Project Title:

BASELINE CHANGE PROPOSAL (BCP) FORM

APPROVALS

23) Submitted by:

[Name], Project Manager, [Laboratory]

Date

[Name], Project Director, [Laboratory]

Date

[Name], Additional Laboratory Staff as Needed [Laboratory]

Date

[Name], Laboratory Director, [Laboratory]

Date

[Name], Federal Project Director [Site Office], DOE

Date

[Name], Manager, [Site Office], DOE

Date

[Name], Program Manager
[Program Office], Office of Science, DOE

Date

[Name], Additional Approvers as needed

Date

Project ID Number:

Project Title:

BASELINE CHANGE PROPOSAL (BCP) FORM

24) Concurrence:

[Name], Director

Office of Project Assessment, Office of Science, DOE

Date

[Name], Deputy Director

[As determined by Charge Control Threshold Table]

Office of Science, DOE

Date

25) Acquisition Executive Approval:

[Name]
Acquisition Executive

Date

