

BUSINESS OPERATING PROCEDURE

BOP-06.06

Approved: 9-30-16

**ENERGY SYSTEMS ACQUISITION
ADVISORY BOARD EQUIVALENT
(ESAAB-E) PROCESS**



**NATIONAL NUCLEAR SECURITY ADMINISTRATION
Office of Acquisition and Project Management**

**CONTROLLED DOCUMENT
AVAILABLE ONLINE AT:**

<https://nnsaportal.energy.gov/intranet/na-mb/na-mb-20/pages/nnsa-policy.aspx>

**OFFICE OF PRIMARY INTEREST (OPI):
Office of Enterprise Project Management**

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ENERGY SYSTEM ACQUISITION ADVISORY BOARD EQUIVALENT (ESAAB-E) PROCESS

1. PURPOSE.

- a. This Business Operating Procedure (BOP) defines requirements, roles, and responsibilities relating to the National Nuclear Security Administration (NNSA) Energy System Acquisition Advisory Board Equivalent (ESAAB-E) process for Non-Major System capital asset projects. Non-Major projects are those below \$750 million (M), as described by Department of Energy (DOE) Order (O) 413.3B Chg 2 (PgChg), *Program and Project Management for the Acquisition of Capital Assets*, or successor, and herein referred to as DOE O 413.3.
- b. This BOP also defines NNSA's process for initiating Departmental Energy System Acquisition Advisory Board (ESAAB) requests up through the Pre-ESAAB board review meeting for capital asset project decisions above the purview of NNSA.
- c. The ESAAB-E process improves project/acquisition planning and execution through instilling a disciplined decisionmaking approach by obtaining input, insight, and recommendations on key issues from functional experts, stakeholders, and senior-level leaders.
- d. This BOP conveys overall expectations of Program Offices, Federal Project Directors (FPDs), Contracting representatives, and other NNSA personnel for planning, executing, and overseeing performance of contracts and Interagency Agreements associated with acquiring capital asset projects.

2. CANCELLATION. BOP-50.001A, *Energy System Acquisition Advisory Board (ESAAB) Equivalent Process*, dated 7-28-11.

3. APPLICABILITY.

- a. Federal. This BOP applies to NNSA capital asset projects, line-items, and Major Items of Equipment (MIEs), and operating expense funded projects, as defined in the most current revision of DOE O 413.3, greater than \$10M.
- b. Contractor. Does not apply to contractors.
- c. Equivalency. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 United States Code sections 2406 and 2511, and to ensure consistency through the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this BOP for activities under the Director's cognizance, as deemed appropriate.

- d. Exemption. The Associate Administrator for Acquisition and Project Management (NA-APM-1) may grant waivers to this procedure. This responsibility is non-delegable.
 - e. Relationship to DOE O 413.3. This procedure will be applied in conjunction with, and will supplement requirements established by the current version of DOE O 413.3. Execution of project activities will follow the direction of DOE O 413.3.
4. SUMMARY OF CHANGES. This BOP has been revised to reflect its applicability to all capital asset projects over \$10M; organizational changes; and updated project management guidance from the Secretary.
5. BACKGROUND.
- a. The ESAAB is a Department-level (i.e., DOE) board comprised of senior-level experts and stakeholders who serve as advisors to the Chief Executive (CE) for project management in making decisions associated with planning, authorizing, and executing Major System capital asset projects, defined as projects greater than \$750M.
 - b. For Non-Major System capital asset projects, defined as projects under \$750M, DOE O 413.3 directs the establishment of an advisory board process, or ESAAB-E, to conduct identical functions of those performed by the ESAAB for Major System projects. This BOP describes the process that meets that requirement. The ESAAB-E members provide advice and recommendations regarding project critical decisions (CDs). The ESAAB-E, or the NNSA equivalent of a Departmental ESAAB, is conducted for capital asset projects above \$10M and under \$750M.
 - c. An ESAAB or ESAAB-E occurs at every CD in the life of a capital asset project, or when approval of a Level 1 or Level 0 baseline change proposal (BCP) is requested from the Project Management Executive (PME) or CE, respectively. In addition to Major System projects, a Departmental ESAAB is also required for Non-Major System Projects when either
 - (1) any change in scope or performance that affects the ability to satisfy the mission need or that are not in conformance with the current approved Project Execution Plan (PEP) and Project Data Sheet (PDS); or
 - (2) an increase in excess of the lesser of \$100M or 50% (cumulative) of the original CD-2 (Approve Performance Baseline) cost baseline.Appendix 1 contains a flowchart that shows the ESAAB-E process.
 - d. DOE O 413.3 provides latitude for a streamlined ESAAB process. The ESAAB-E process has similar latitude, for example, not convening the board for

non-controversial, low risk projects. A paper ESAAB-E request will be coordinated with the PME by the ESAAB-E Secretariat, the Office of Enterprise Project Management (NA-APM-20).

6. REQUIREMENTS.

General:

- a. DOE and NNSA thresholds and approval authority, as specified in DOE O 413.3, are shown in Table 1 below. NNSA ESAAB-E requirements and related documents for critical decisions CD-0 (Approve Mission Need) through CD-4 (Approve Start of Operations or Project Completion) can be found in DOE O 413.3, Appendix A, Tables 2.0-2.4.

Table 1. Critical Decision Authority Thresholds

| Critical Decision Authority | Total Project Cost Thresholds |
|-----------------------------|--|
| Deputy Secretary | $\geq \$750M$ (or any project on an exception basis when designated by the Deputy Secretary) Further delegation is allowed. |
| Under Secretaries | $\geq \$100M$ and $< \$750M$ (or any project on an exception basis when designated by the Under Secretaries) Further delegation is allowed. |
| Program Secretarial Officer | $\geq \$10M^*$ and $< \$100M$ Further delegation is allowed. |

Following from the DOE O 413.3 authority thresholds, the Administrator is the PME for NNSA capital asset projects greater than \$100M and less than \$750M, but may delegate PME authority further. Items that must be considered in requesting delegated authority:

- (1) Is the project classified as low-risk and non-controversial;
- (2) Is headquarters coordination due to safety or environmental issues or is funding uncertainty expected to be prolonged; and

- (3) Does the proposed designee have a favorable performance record for completion of projects of similar size and complexity?
- b. DOE ESAAB Requests. The process for a Departmental ESAAB and an NNSA ESAAB-E are identical up through the pre-ESAAB-E (6.d. – 6.j below), with the major difference being broader Departmental participation in a Pre-ESAAB. Prior to the Departmental Pre-ESAAB Meeting, the project's FPD, in conjunction with NA-APM-1, will brief the Administrator. NA-APM-1 will coordinate this meeting with the Administrator's office.
- c. Responding to the Need for Changes in Approved Strategies or other PME Decisions. If events lead to significant divergence from the approved strategy, the FPD obtains PME approval using the process described herein, including convening another ESAAB-E meeting. The ESAAB-E Secretariat prepares an amended CD approval memorandum and routes it to the PME for signature within five business days of the ESAAB-E. In addition, the Integrated Project Team (IPT) amends project documentation to reflect the changes approved by the PME.

Pre-ESAAB-E Meeting:

- d. Identify Pre-ESAAB-E Members. Each Pre-ESAAB-E meeting is co-chaired by NA-APM-1 and the program office representative (POR). Board members shall include representatives of the principals from the organizations listed in Appendix 3, who serve as advisors to the chairpersons and to the POR. Contractor participation in ESAAB-E meetings should be limited to subjects where they have specific expertise to offer, and only with concurrence of the chairpersons. If the chairpersons find a compelling reason for further contractor participation, Non-Disclosure Agreements must be executed.
- e. Request and Schedule Meeting. The Pre-ESAAB-E is the forum for the FPD or equivalent to present the project's proposed strategy/approach for moving forward in the ESAAB-E process for comment, issue identification, and concurrence. Prior to, and in preparation for an ESAAB-E, a Pre-ESAAB-E meeting must be held for all NNSA capital asset projects unless waived, in writing or via email, by the ESAAB-E Secretariat or designee.
- (1) The FPD or equivalent, with the assistance of the project's IPT, shall organize, request, present, and facilitate the Pre-ESAAB-E at every CD. An exception is CD-0 where a field office individual or a POR can perform these tasks because the FPD is often not formally assigned until CD-1.
- (2) Prior to CD-1 (Approve Alternative Selection and Cost Range), the FPD or equivalent shall request the Pre-ESAAB-E using the form titled "Request Form for an NNSA Energy Systems Acquisitions Advisory Board Equivalent (ESAAB-E) Review or a DOE ESAAB Review" (Appendix 2), a minimum of one month before the ESAAB-E. The

request form can also be downloaded from the NA-APM-20 page of the NNSA intranet at [https://nnsaportal.energy.gov/collab/na-apm/na-apm-20/References and Templates/ESAAB-E Request Form.doc](https://nnsaportal.energy.gov/collab/na-apm/na-apm-20/References%20and%20Templates/ESAAB-E%20Request%20Form.doc).

- (3) The ESAAB-E Secretariat shall inform the FPD or equivalent as soon as the Pre-ESAAB-E date is scheduled.
- f. Prepare Presentation. The ESAAB-E Secretariat has separate slide presentation templates for critical decisions CD-0 through CD-4, because the presentation's content changes with each phase of the CD process. The ESAAB-E Secretariat (ESAAB-E@nnsa.doe.gov) can provide a recent example of an ESAAB-E presentation for the subject CD. The presentation templates can also be found and downloaded for use from the NA-APM-20 page of the NNSA intranet at: <https://nnsaportal.energy.gov/collab/na-apm/na-apm-20/References%20and%20Templates/Forms/StandardTemplatePresentationESAABPMRC.aspx>.
- g. Conduct Dry Run. To support a successful Pre-ESAAB-E, NA-APM-20 will coordinate a dry run of the Pre-ESAAB-E. The FPD or equivalent shall prepare and provide the dry run of the Pre-ESAAB-E presentation before the Director of NA-APM-20, followed by a dry run presentation to NA-APM-1. The FPD or equivalent must provide any related read-ahead materials at least five business days before the dry run.
- h. Provide/Distribute Required Pre-ESAAB-E Review Materials. If all required CD documents have not already been provided to NA-APM and distributed to the appropriate parties, the FPD provides them to NA-APM, who distributes them. These documents often include the Independent Project Review for CD readiness, including the Corrective Action Plan status report, and any cost estimates.
- i. Conduct Pre-ESAAB-E Review Meeting and Document Meeting Outcomes.
 - (1) NA-APM shall preside over the Pre-ESAAB-E Review meeting. Meeting minutes, including open items, will be taken by the ESAAB-E Secretariat and distributed to all board members for comment, via e-mail, within five business days after the meeting.
 - (2) NA-APM, with the input of board members, including the POR, shall concur/non-concur on the proposed approach/strategy to be presented to the PME at the ESAAB-E, or require further work to resolve open issues before seeking PME approval.
 - (3) The ESAAB-E Secretariat will schedule a follow-up meeting, if necessary, to close issues and obtain final concurrence for the proposed approach/strategy.
 - (4) The ESAAB-E Secretariat, in conjunction with the FPD and the project's

headquarters (HQ) Project Integrator (PI), prepares the decision memo within five days of the Pre-ESAAB-E meeting. Templates for these decision memos are available on the NA-APM-20 intranet at (<https://nnsaportal.energy.gov/collab/na-apm/na-apm-20/References%20and%20Templates/Forms/MemoCD.aspx>). The ESAAB-E Secretariat can also provide examples.

- (5) Upon concurrence of the chairpersons, the ESAAB-E Secretariat proceeds with arranging the ESAAB-E meeting. The Pre-ESAAB-E chairpersons will recommend the agreed upon approach/strategy at the ESAAB-E.

PMRC Presentation:

- j. Present Pre-ESAAB-E Outcomes to Project Management Risk Committee (PMRC). As established by the Secretary, projects with an estimated cost of \$100M or greater shall present the ESAAB-E request to the PMRC prior to the formal request to the PME or CE.
 - (1) The presentation to the PMRC occurs after the Pre-ESAAB-E and is the same as the Pre-ESAAB-E, with the addition of any directed changes from the Pre-ESAAB-E meeting.
 - (2) The Director of Project Analysis, Oversight and Review Division (NA-APM-1.1), serves as the liaison to the PMRC.
 - (3) The FPD or equivalent shall submit the read-aheads to NA-APM-1.1 at least five business days prior to the next PMRC event.

ESAAB-E Meeting:

- k. Identify ESAAB-E Members. The PME chairs the ESAAB-E board meeting. The principals of the organizations listed in Appendix 3 serve on the board as advisors. The membership of the board may be tailored based on the complexity and nature of the project.
- l. Request and Schedule Meeting. The strategy/approach agreed upon at each Pre-ESAAB-E meeting is presented by the FPD or equivalent to the PME for approval at the ESAAB-E.
 - (1) The FPD, with the assistance of the IPT, organizes, presents, and facilitates the ESAAB-E board meeting at every CD.
 - (2) The FPD or equivalent shall inform the ESAAB-E Secretariat as soon as the ESAAB-E date is scheduled.
- m. Update Presentation.
 - (1) The FPD prepares updated presentations as necessary and provides read-

ahead materials to the ESAAB-E Secretariat for distribution five business days before the meeting. Presentations for ESAAB-E should mirror those of the Pre-ESAAB-E meetings. However, the presentation may need to be updated for action items from the Pre-ESAAB-E meeting.

- (2) The FPD is responsible for providing the board with the necessary information, analyses, and recommendations to assist the PME in making informed decisions throughout a project's lifecycle. CD documents requiring PME approval are to be supplied far enough in advance of the ESAAB-E so all HQ concurrences can be achieved prior to the ESAAB-E.
 - (3) The FPD must ensure materials are appropriately marked (e.g., For Official Use Only, Source Selection Sensitive Information, Business Sensitive Information, etc.). Particular emphasis must be given to protecting sensitive procurement information such as acquisition strategies, cost estimates, negotiation positions, source selection information, etc., from public release.
- n. Provide/Distribute Required ESAAB-E Review Materials. The FPD or equivalent must supply CD documents requiring PME approval in advance of the ESAAB-E so all HQ concurrences can be achieved prior to the ESAAB-E.
- o. Conduct ESAAB-E and Document Meeting Outcomes.
- (1) Meeting minutes, including open items, are taken by the ESAAB-E Secretariat and distributed to all board members for comment within five business days of the meeting.
 - (2) The PME will, with input from board members, consider approving the proposed approach/strategy for moving forward to the next CD, or require further work to resolve open issues before approving. If necessary, a follow-up meeting occurs to close issues and obtain final approval.
 - (3) The FPD or equivalent shall ensure CDs are documented in project and contract files.

7. RESPONSIBILITIES.

- a. Associate Administrator for Acquisition and Project Management (NA-APM-1):
- (1) Chairs Pre-ESAAB-E meetings to decide the approach/strategy for moving a capital asset project forward in the process. At ESAAB-E meetings, advocates the Pre-ESAAB-E approach/strategy that was concurred upon.
 - (2) Coordinates all briefs with the Office of the Administrator, for example, briefing the Administrator prior to an ESAAB meeting chaired by the Deputy Secretary.

(3) Acts as the principal advisor to the PME in each ESAAB-E meeting.

b. Project Management Executive (PME):

(1) Chairs ESAAB-E meetings and solicits advice from ESAAB-E members.

(2) Considers proposed approaches/strategies for moving the project forward toward operations in a manner that balances technical and business considerations to fulfill the mission need.

(3) Approves the cost, scope, and schedule for the project at each CD.

c. Project Management Risk Committee (PMRC):

The PMRC is an integral part of the ESAAB and advises the CE, PME, and ESAAB on decisions related to CD, BCP, and other matters as appropriate. The PMRC also provides on-going monitoring and assessments of projects throughout the CD process, as well as advice and recommendations to the project prior to its moving forward to the ESAAB-E/ESAAB.

d. The Federal Project Director (FPD) or equivalent:

(1) Leads, develops, directs, and manages the project's Integrated Project Team activities associated with planning, executing, and managing a capital asset project.

(2) Serves as the primary IPT spokesperson in project-related meetings, including Pre-ESAAB-E and ESAAB-E meetings. Provides comments on draft meeting minutes prepared by ESAAB-E Secretariat.

(3) Ensures project decisions are appropriately accomplished and documented. Supplies CD documents requiring PME approval in advance of the ESAAB-E so all HQ concurrences can be achieved prior to the ESAAB-E.

(4) Ensures project/acquisition strategies approved in the ESAAB-E at each CD are properly implemented.

(5) Responds to the need for changes in approved strategies or other PME decision.

e. Integrated Project Team (IPT):

(1) The IPT is comprised of Federal, contractor, Field Office, Headquarters, program, project, contracting professionals, and subject matter experts (SME). NA-APM assigns project and acquisition professionals to the IPT to develop project requirements. It is important to include representatives from the Office of Safety, Infrastructure and Operations (NA-50) to

provide advice on nuclear safety and infrastructure issues. Other SMEs should be included who can contribute to the success of the project as well.

- (2) Performs market research, project planning, and management as well as assesses business-related issues to execute a capital asset project and keep it progressing toward completion.
- (3) Obtains input or recommendations from stakeholders and SMEs necessary to develop a sound plan to execute and manage a capital asset project.
- (4) Supports the FPD in organizing, arranging, presenting, and facilitating the Pre-ESAAB-E and the ESAAB-E meetings at CD-1 to CD-4. Provides comments on the draft meeting minutes prepared by the ESAAB-E Secretariat.
- (5) Resolves open issues arising from Pre-ESAAB-E or ESAAB-E meetings.
- (6) At the direction of the FPD, executes the project/acquisition strategy approved by the PME.

f. Contracting Officer (CO):

- (1) Provides advice and direction on business and procurement matters associated with acquiring a capital asset project.
- (2) Participates in developing the acquisition strategy focusing on procurement and business aspects of the overall strategy.

g. Project Integrator (PI):

The NA-APM-20 Headquarters PI is in a unique position to support their assigned project, and as such has clear responsibilities to support the FPD and IPT in the ESAAB-E process. These responsibilities include reviewing CD documents needing HQ concurrence or approval, reviewing draft ESAAB-E presentations as a project specialist, assisting in the preliminary review of draft Pre-ESAAB-E and ESAAB-E meeting minutes.

h. Subject Matter Experts (SMEs):

These functional and organizational specialists are brought into the ESAAB-E process to:

- (1) Provide support and recommendations to the IPT in their area of expertise.
- (2) Participate in IPT meetings as well as ESAAB-E related meetings and provide objective analyses and assessments when called upon by an FPD, project stakeholder, board member, or PME.

i. Pre-ESAAB-E Members: See Appendix 3

- (1) Serve as representatives of the organizational principals identified in Appendix 3, who as functional experts, stakeholders, or senior-level managers, support the IPT in developing project/acquisition strategies.
- (2) Advise Pre-ESAAB-E chairpersons, provide insight, assessments, and recommendations in their areas of expertise pertaining to execution strategies.
- (3) Pre-ESAAB-E member back-briefs their ESAAB-E organization principal on any issues or concerns from the Pre-ESAAB-E to prepare for the upcoming ESAAB-E.

j. ESAAB-E Members:

Members advise the PME in matters pertaining to execution strategies at each CD. Members include directors of the organizations and offices identified in Appendix 3. Per the above Pre-ESAAB-E members' responsibilities, the related organizational staff members who attended the Pre-ESAAB-E should have already briefed them for the ESAAB-E. If additional information is needed, such as Pre-ESAAB-E Meeting Minutes, contact the ESAAB-E Secretariat at ESAAB-E@nnsa.doe.gov.

k. ESAAB-E Secretariat:

- (1) Provides administrative support to the FPD and the IPT in preparing for and conducting Pre-ESAAB-E and ESAAB-E meetings.
- (2) Schedules Pre-ESAAB-E and ESAAB-E meetings and ensures participation of appropriate representatives.
- (3) Distributes presentation materials as a read-ahead in Pre-ESSAB-E and ESAAB-E meetings.
- (4) Generates and distributes minutes and action items for Pre-ESSAB-E and ESAAB-E meetings.
- (5) Generates all ESAAB-E CD approval decision memos for the PME's decision, including those for a "paper" ESAAB-E.

8. REFERENCES.

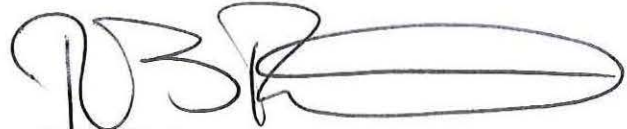
- a. DOE O 413.3B, *Program and Project Management for the Acquisition of Capital Assets*
- b. NA-APM-20 references can be found at <https://nnsaportal.energy.gov/intranet/na-apm/na-apm-20/SitePages/Home.aspx>.

9. ACRONYMS AND ABBREVIATIONS.

| | |
|------------|--|
| BCP | Baseline Change Proposal |
| BOP | Business Operating Procedure |
| CD | Critical Decision |
| CE | Chief Executive |
| ESAAB | Energy Systems Acquisition Advisory Board |
| ESAAB | Energy Systems Acquisition Advisory Board Equivalent |
| FPD | Federal Project Director |
| HQ | Headquarters |
| IPT | Integrated Project Team |
| MIE | Major Item of Equipment |
| NA-50 | NNSA Office of Safety, Infrastructure and Operations |
| NA-APM | NNSA Office of Acquisition and Project Management |
| NA-APM-1.1 | NNSA Project Analysis, Oversight and Review Division |
| NA-APM-20 | NNSA Office of Enterprise Project Management |
| NNSA | National Nuclear Security Administration |
| O | Order |
| PDS | Project Data Sheet |
| PEP | Project Execution Plan |
| PI | Project Integrator |
| PME | Project Management Executive |
| PMRC | Project Management Risk Committee |
| POR | Program Office Representative |
| SME | Subject Matter Expert |

10. CONTACT: ESAAB-E Secretariat, 202-586-4921 and ESAAB-E@nnsa.doe.gov.

BY ORDER OF THE ADMINISTRATOR:

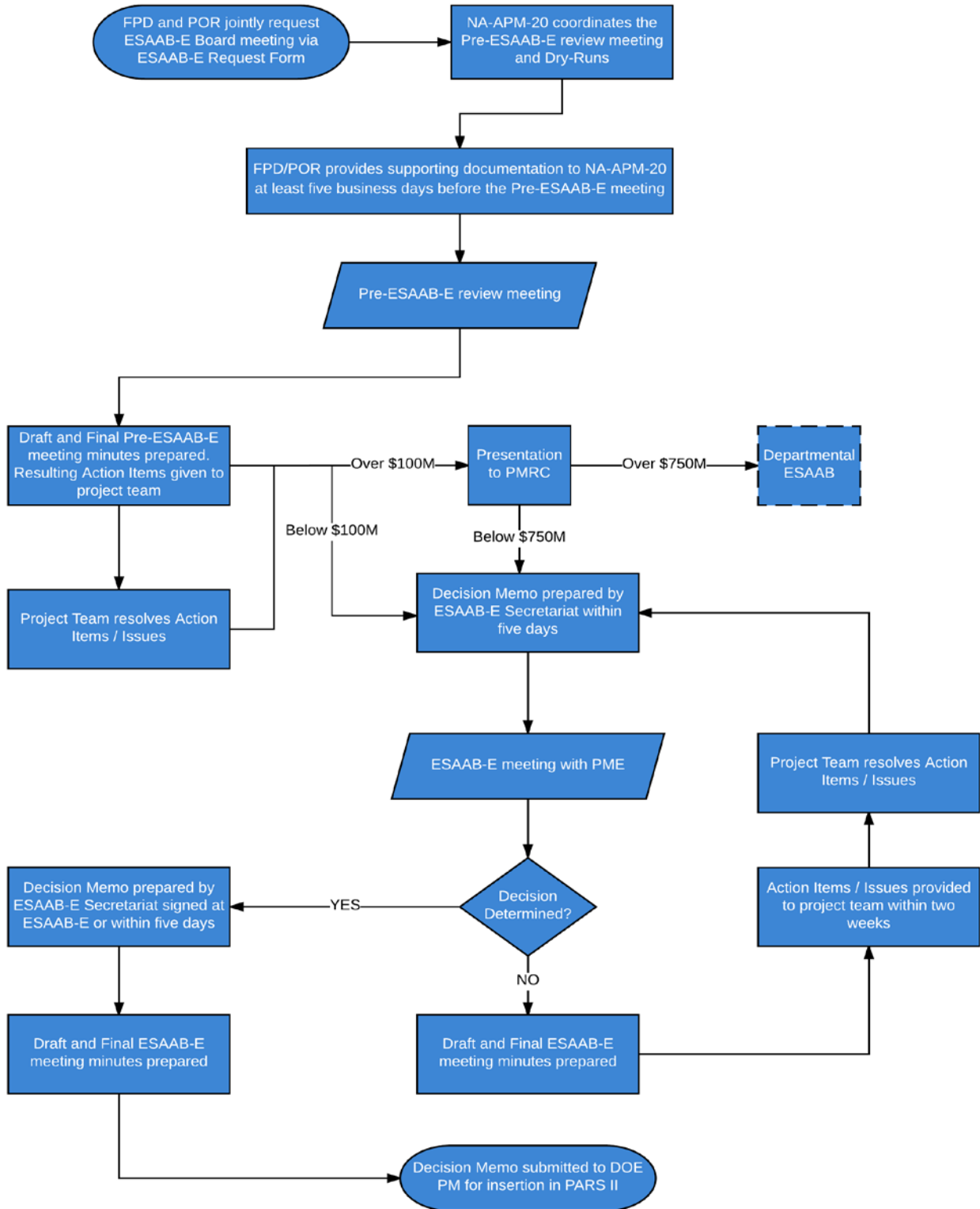
A handwritten signature in black ink, appearing to read 'RR', followed by a long, horizontal, oval-shaped flourish.

Robert Raines
Associate Administrator
for Acquisition & Project Management

APPENDICES

1. ESAAB Equivalent Process Flowchart
2. Request Form for a NNSA Energy Systems Acquisitions Advisory Board Equivalent (ESAAB-E) Review or a DOE ESAAB Review 3. Pre-ESAAB-E and ESAAB-E Members and Represented Organizations, and Departmental Pre-ESAAB and ESAAB Members and Represented Organizations for Departmental Pre-ESAABs

APPENDIX 1. ESAAB EQUIVALENT PROCESS FLOWCHART



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APPENDIX 2: REQUEST FORM FOR A NNSA ENERGY SYSTEMS ACQUISITIONS ADVISORY BOARD EQUIVALENT (ESAAB-E) REVIEW OR A DOE ESAAB REVIEW

**REQUEST FORM for
a NNSA Energy Systems Acquisitions Advisory Board Equivalent (ESAAB-E) Review
OR a DOE ESAAB Review**

Name of Project _____
 Project Location _____
 Project Number _____ Major System? Yes No
 Name of PME / CE _____

Type of Review Requested: NNSA ESAAB-E OR A DOE ESAAB
 Critical Decision Requested: (Example: CD-2/3)
 Baseline Change Proposal – Level PME / “Level 1” or CE / “Level 0”

| | Name | E-Mail | Org |
|---|------|--------|-----|
| Federal Project Director or project representative/POC: | | | |
| Contractor Project Manager: | | | |
| HQ Program Manager: | | | |
| Fed Contracting Officer | | | |

An NNSA Pre-ESAAB Equivalent (or a DOE Pre-ESAAB) review is Requested on the week of this date: _____

A NNSA ESAAB Equivalent Board (or a DOE ESAAB) meeting is Requested on the week of this date: _____

ADDITIONAL ATTENDEES
*****ATTENDANCE of M&O Contractors MUST BE Approved by the NA-APM-20 ESAAB-E Secretariat via Email documentation.**

| Name | Title | E-Mail | Org |
|------|-------|--------|-----|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

(As necessary, provide a Separate LIST of Additional Attendees and related information: email, organization.)

ALL SUPPORTING DOCUMENTATION must be provided to the NA-APM-20 ESAAB Equivalent Secretariat a minimum of one week prior to the Pre-ESAAB Equivalent review meeting. See Details on next page.

| | |
|--|---|
| 1. I acknowledge and accept the above requirement: | _____ Federal Project Director Date Phone # |
| 2. Approved for scheduling: | _____ Federal Program Manager Date Phone # |
| 3. E-mail this review request to | NA-APM-20 ESAAB Equivalent Secretariat at ESAAB-E@nnsa.doe.gov |

REQUIRED REVIEW MATERIALS

Documents previously submitted to NA-APM-20 for an Independent Project Review (IPR) need not be resubmitted. Documents require approval/concurrence at one level below the PME, or by the Approval Authorized as identified in DOE Order 413.3B Table 2, as appropriate.

Please contact the below ESAAB-E Secretariat for:

- a copy of the ESAAB-E Presentation template for your project's Critical Decision consistent with the new NA-APM standardized format.

PLEASE NOTE:

- The project is to provide all review documents to the NA-APM-20 ESAAB-E Secretariat (ESAAB-E@nnsa.doe.gov) at least one week prior to the scheduled Preparatory (Pre-) ESAAB Equivalent meeting to allow ESAAB Equivalent Board members adequate time to prepare comments.
- The FPD agrees to notify the NA-APM-20 ESAAB-E Secretariat if the supporting documentation will not be ready for review one week prior to the scheduled Preparatory (Pre-) ESAAB Equivalent meeting.
- Board members may postpone meetings if adequate review time is not provided.

SHARED FILES FOR SUPPORTING DOCUMENTATION

Authorized Headquarters users can access the NNSA Enterprise Portal under NA-APM Project Reviews (APM-1.1) at

<https://nnsaportal.energy.gov/intranet/na-ppm/NA-APM-1.1/SitePages/Home.aspx>

If Necessary, projects should engage their HQ Project Integrator (PI) to assist in loading related documents into the project's folder on the NA-APM-20 Intranet Site.

**APPENDIX 3. PRE-ESAAB-E AND ESAAB-E MEMBERS AND
REPRESENTED ORGANIZATIONS
(NON-MAJOR SYSTEMS PROJECTS, I.E., BELOW \$750M)**

- Associate Administrator for Acquisition & Project Management (NA-APM-1) *
- Director, Office of Enterprise Project Management (NA-APM-20)/NNSA ESAAB-E Secretariat *
- Federal Project Director or equivalent *
- Head of the Contracting Activity (NA-APM-10)
- Project's Contracting Officer *
- Small Business Administration Procurement Center Representative
- Project Integrator and Cost Estimator (NA-APM-20)
- Project Analysis, Oversight and Review Staff (NA-APM-1.1)
- Program Office Representative *
- Field Office Manager
- Office of Management and Budget (NA-MB) *
- Office of Defense Nuclear Security (NA-70)
- Office of Safety (NA-51)
- Management & Operating contractors and Enterprise Construction Management Services contractors (as authorized to attend by a Chairperson through a request to the FPD to PI via the ESAAB-E Secretariat)
- Office of General Counsel (NA-GC) *
- Office of External Affairs (NA-EA)
- Department of Energy's Office of Project Management Oversight and Assessments/PMOA (DOE-PM)
- Office of Cost Estimating and Program Evaluation (CEPE) (NA-1.3) *

* Required ESAAB-E members and organizations.

The required board members may be tailored based on the complexity and nature of the project.

**Departmental Pre-ESAAB and ESAAB Members and
Represented Organizations for Departmental Pre-ESAABs
(Major Systems Projects, i.e., above \$750M, and Non-Major Systems Projects Requiring an
ESAAB; i.e., Level 0 BCP)**

In addition to the NNSA organizations represented in Pre-ESAAB-E meetings, representatives of the following ESAAB members and organizations will be invited:

- Deputy Secretary, Chair
- Under Secretary for Management and Performance, Vice Chair
- Under Secretary for Science and Energy
- Under Secretary for Nuclear Security
- Office of the Secretary, Senior Advisor (Financial)
- General Counsel
- Chief Financial Officer
- Executive Director, Loan Program Office
- Director, Office of Acquisition and Project Management, Office of Management
- Chair of the Project Management Risk Committee