

SUPPLEMENTAL DIRECTIVE

NNSA SD 413.3-6

Approved: 03-01-2022

Expires: 03-01-2025

**ENERGY SYSTEMS ACQUISITION
ADVISORY BOARD EQUIVALENT
PROCESS**



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

CONTROLLED DOCUMENT

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ENERGY SYSTEMS ACQUISITION ADVISORY BOARD EQUIVALENT PROCESS

1. **PURPOSE.** To define the National Nuclear Security Administration (NNSA) process for initiating Departmental Energy System Acquisition Advisory Board (ESAAB) requests through the pre-ESAAB board review meeting for capital asset project decisions within the purview of NNSA. This Supplemental Directive (SD) describes NNSA roles, responsibilities, and authorities as they relate to the NNSA Energy System Acquisition Advisory Board Equivalent (ESAAB-E) process in accordance with Department of Energy (DOE) Order (O) 413.3B Chg. 6 (LtdChg), *Program and Project Management for the Acquisition of Capital Assets*, or successor (hereinafter referred to as DOE O 413.3B).
2. **AUTHORITY.** DOE O 413.3B Chg. 6 (LtdChg), *Program and Project Management for the Acquisition of Capital Assets*.
3. **CANCELLATION.** BOP 413.8, *Energy System Acquisition Advisory Board Equivalent (ESAAB-E) Process*, dated 09/30/2016.
4. **APPLICABILITY.**
 - a. **Federal.** This SD applies to all NNSA Federal organizations.
 - b. **Contractors.** This SD does not apply to contractors.
 - c. **Equivalencies/Exemptions.**
 - (1) **Equivalency.** In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 United States Code (U.S.C.) sections 2406 and 2511, and to ensure consistency throughout 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 Directive for activities under the Director's cognizance, as deemed appropriate.
 - (2) **Exemption.** None.
5. **SUMMARY OF CHANGES.**
 - a. Converted BOP 413.8 into this SD.
 - b. Incorporates updates to DOE O 413.3B, including a change in the applicability threshold.
 - c. Incorporates a change to the Minor Construction/line-item threshold.

6. BACKGROUND.

The NNSA ESAAB-E process pertains to all non-Major System line-item capital asset projects and Major Items of Equipment (MIE) that are constructed for NNSA, or managed by NNSA personnel on behalf of other government agencies that have an estimated total project cost (TPC) that exceeds the minor construction and line-item applicability thresholds, but is less than \$750 million (M).

DOE O 413.3B directs the establishment of an advisory board process to conduct functions identical to those performed by the ESAAB for Major System projects. For NNSA, this is the ESAAB-E process.

- a. The ESAAB-E is an NNSA-level board comprising senior-level experts and stakeholders who serve as advisors to the Project Management Executive (PME) in making decisions associated with planning, authorizing, and executing non-Major System capital asset projects, defined as projects with TPC (and cost ranges) less than \$750M. ESAAB-E members may be selected from within the PME's organization. The Office of Acquisition and Project Management (NA-APM) conducts Pre-ESAAB-E and ESAAB-E reviews for non-Major System capital asset projects.
- b. The ESAAB-E process improves project and acquisition planning and execution through a disciplined decision-making approach that incorporates input, insight, and recommendations on key issues from functional experts, stakeholders, and senior-level leaders.
- c. The DOE Office of Project Management (PM) will not be a Board member for projects with a TPC less than \$750M, but must be invited to attend the Advisory Board meetings.

7. REQUIREMENTS.

- a. The ESAAB-E Process described in Appendix A must be followed.
- b. NNSA must establish an advisory board or the ESAAB-E for non-Major System capital asset projects (defined as projects under \$750M) as required by DOE O 413.3B.
- c. An ESAAB-E must occur at every Critical Decision (CD) in the life of a non-Major System capital asset project. A Departmental ESAAB is required for non-Major System projects when an increase to the cost baseline occurs upon the excess of the lesser of \$100M or 50% (cumulative) of the original CD-2.

8. RESPONSIBILITIES.

- a. Administrator (NA-1). Acts as PME on projects in accordance with Figure 1, Appendix A.
- b. Associate Administrator for Acquisition and Project Management (NA-APM-1).

- (1) Conducts the NA-APM-1 Dry Run with the Federal Project Director (FPD) or equivalent, providing comments and recommendations.
 - (2) Chairs pre-ESAAB-E meetings to decide the approach and strategy for moving a capital asset project forward in the process. At ESAAB-E meetings advocates for the approach and strategy that the pre-ESAAB-E concurred upon.
 - (3) Coordinates all ESAAB-E briefs with the PME.
 - (4) Acts as the principal advisor to the PME in each ESAAB-E meeting.
- c. Project Management Executive.
- (1) Makes decisions for capital asset project CDs and Baseline Change Proposals (BCPs) that change the project's TPC, or CD-4 date, except CD-0, which cannot be delegated below the Program Secretarial Officer (PSO) level.
 - (2) Chairs ESAAB-E meetings and solicits advice from ESAAB-E members.
 - (3) Approves the cost, scope, and schedule for the project at each CD and BCP that change the project baseline.
- d. Federal Project Director (FPD) or equivalent for CD-0.
- (1) Serves as the Integrated Project Team (IPT) lead and spokesperson at pre-ESAAB-E and ESAAB-E meetings. Provides comments on draft meeting minutes prepared by the ESAAB-E Secretariat and the project's Headquarters Project Manager (HQPM).
 - (2) Supplies key CD documents requiring PME approval in advance of the NA-APM-1 Dry Run so all HQ concurrences can be achieved prior to the NA-APM-1 Dry Run, with the exception being the CD Decision Memo, which is generated by the project's HQPM, but is not finalized until the project nears the ESAAB-E event date.
- e. Integrated Project Team Members. Along with the team lead, provide comments on draft meeting minutes prepared by the ESAAB-E Secretariat and the HQPM.
- f. Contracting Officer (CO). Participates as a member of the project's IPT in support of ESAAB-E efforts.
- g. Subject Matter Experts (SMEs). 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.

h. Pre-ESAAB-E Members.

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

i. ESAAB-E Members. Advise the PME in matters pertaining to execution strategies at each CD.

j. ESAAB-E Secretariat.

- (1) Provides administrative support to the FPD and the IPT in preparing for and conducting Dry Runs, pre-ESAAB-E meetings, and ESAAB-E meetings.
- (2) Schedules Dry Runs, pre-ESAAB-E meetings, and ESAAB-E meetings and ensures participation of appropriate representatives.
- (3) Conducts the Office of Enterprise Project Management (NA-APM-20) Dry Run with the FPD or equivalent. Invites the HQPM, CO, Program Office Representative (POR), and if the project is over \$100M, the DOE PM analyst.
- (4) Distributes, with the assistance of the FPD and HQPM, presentation materials as a read-ahead in pre-ESAAB-E and ESAAB-E meetings.
- (5) Generates and distributes, with the assistance of the FPD and HQPM, minutes, joint comments, recommendations, and action items for Dry Runs, pre-ESAAB-E and ESAAB-E meetings.
- (6) For an NA-1 ESAAB-E Meeting coordinates with the HQPM to take meeting minutes. (The ESAAB-E Secretariat is not in attendance at the NA-1 ESAAB-E Meetings.)

k. Headquarters Project Managers.

- (1) Work with the FPD/IPT and the ESAAB-E Secretariat to plan and schedule the various ESAAB-E related events.

- (2) Support the generation and review of primary CD documents needing Headquarters' concurrence prior to PME's signature. Start drafting the CD Decision Memo before the NA-APM-20 Dry Run. Provide value with clarification comments and make the documents more concise, such as referencing ancillary documents. Submit related documents jointly to economize the review process.
- (3) Review draft ESAAB-E presentations as a project specialist, and generate the CD Decision Memo with the assistance of the FPD prior to the ESAAB-E.
- (4) Assist in the generation of draft pre-ESAAB-E and ESAAB-E meeting minutes.
- (5) Invite the DOE Office of Project Management to attend the Advisory Board meetings.

9. DEFINITIONS. See Appendix D.
10. ACRONYMS. See Appendix E.
11. REFERENCES. See Appendix F.
12. CONTACT. Office of Enterprise Project Management, NA-APM-20, (202) 586-9814.

BY ORDER OF THE ADMINISTRATOR:



Jill Hruby
Administrator

Appendixes:

- A. NNSA Energy Systems Acquisition Advisory Board Equivalent (ESAAB-E) Process (ESAAB-E Process Flow Diagram included).
- B. ESAAB-E Request Form.
- C. Pre-Energy Systems Acquisitions Advisory Board-Equivalent (PRE-ESAAB-E), ESAAB-Equivalent, and ESAAB-E Members and Represented Organizations. (Non-Major Systems Projects, i.e., Below \$750 Million [M]).
- D. Definitions.
- E. Acronyms/Abbreviations.
- F. References.

**APPENDIX A: NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA)
ENERGY SYSTEMS ACQUISITION ADVISORY BOARD EQUIVALENT (ESAAB-E)
PROCESS**

1. BACKGROUND. Department of Energy (DOE) Order (O) 413.3B, *Program and Project Management for the Acquisition of Capital Assets*, provides latitude for a streamlined ESAAB process. The ESAAB-E process has similar latitude (e.g., not convening the board for non-controversial, low risk projects). Paper ESAAB-E requests are coordinated with the Project Management Executive (PME) by the Office of Enterprise Project Management (NA-APM-20) ESAAB-E Secretariat. If the PME approves the Paper ESAAB-E process, comments and concurrences related to the project are to be processed through the Electronic Document Online Correspondence and Concurrence System (eDOCS).

2. PROCESS.
 - a. DOE and NNSA Thresholds and Approval Authority.
 - (1) DOE and NNSA thresholds and approval authority, as specified in DOE O 413.3, are shown in Figure 1 below, (NNSA ESAAB-E requirements and related documents for Critical Decision CD-0, *Approve Mission Need*, through CD-4, *Approve Start of Operations* or *Project Completion*, can be found in DOE O 413.3B, Appendix A, Tables 2.0-2.4.)

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	$>$ Minor Construction and Line-item applicability thresholds $< \$100M$ Further delegation is allowed.

Figure 1: Critical Decision Authority Thresholds

- (2) Following from the DOE O 413.3B authority thresholds, the Administrator is the PME for NNSA capital asset projects with estimated total project cost or cost ranges greater than \$100 Million (M) and less

than \$750M but may delegate PME authority. When requesting a delegation of authority, consider the following:

- (a) Is the project low-risk and non-controversial, e.g., standard commercial type facilities or capital equipment?
- (b) Is Headquarters (HQ) coordination (due to, e.g., safety or environmental issues or funding uncertainty), expected to be prolonged?
- (c) Has the proposed delegate served as PME on successfully completed projects of similar size and complexity in the past?

b. NNSA ESAAB-E Requests.

- (1) The Program Office Representative (POR) and the Federal Project Director (FPD) (or equivalent) must submit an ESAAB-Equivalent Request to the ESAAB-E Secretariat at least a month before the project's Dry Run by NA-APM-20. The request form identifies primary project members and additional attendees within the project team. It also identifies the weeks that the pre-ESAAB-E and the ESAAB-E are requested. The ESAAB-E Request form is signed by both the POR and FPD. The email address to request these documents is ESAAB-E@nnsa.doe.gov. At this time, the POR and FPD should also request the most current ESAAB-E Presentation Template for the applicable CD or Baseline Change Proposal (BCP).
- (2) Immediately after an Independent Project Review, the project's Headquarters Project Manager (HQPM) contacts the FPD or equivalent and requests the primary documents that will require HQ review and comment. The HQPM and the FPD must work jointly to finalize these documents. This process is critical and will affect the time to schedule ESAAB-E related briefings. The project cannot move forward through the ESAAB-E process for an Associate Administrator for Acquisition and Project Management (APM-1) Dry Run until all primary documents are signed.

c. Dry Runs and PRE-ESAAB-E Meetings.

- (1) The Office of Acquisition and Project Management (NA-APM) Dry Runs.
 - (a) NA-APM Dry Runs are an essential part of the ESAAB-E process to refine the presentation, ensure it is comprehensive, and ensure the presentation's message is clear and concise. Close and early coordination between the FPD, HQPM, and ESAAB-E Secretariat is necessary. The FPD is responsible for generating the ESAAB-E presentations with the assistance of the Integrated Project Team

(IPT). The project HQPM and the ESAAB-E Secretariat participate early in the process, providing recommendations and comments on the ESAAB-E Presentation. The ESAAB-E Secretariat maintains slide presentation templates for each required briefing (CD-0 through CD-4). The ESAAB-E Secretariat (ESAAB-E@nnsa.doe.gov) can provide a recent example of an ESAAB-E presentation for the subject CD. Each CD template is also available on the NA-APM-20 Max.gov site at: <https://community.max.gov/display/DOEExternal/NA-APM-20+Approval+Package+Templates>

- (b) A minimum of 1 month prior to a CD ESAAB-E, the FPD or equivalent must use the Request Form for an NNSA ESAAB-E Review to begin the scheduling process. Prior to the Dry Run, the HQPM begins drafting the Decision Memo in coordination with the FPD. The draft Decision Memo is entered into the formal correspondence system for routing to various NA-APM levels for formal review.
 - (c) An initial NA-APM-20 Dry Run is held with the POR, FPD or equivalent, the project's HQPM, and the Contracting Officer (CO). For CD-0 Dry Runs, the POR or designee makes the presentation, for other CDs or BCPs the FPD or designee present. The DOE Office of Project Management (DOE-PM) analyst is included for projects over \$100M. The FPD must provide any read-ahead materials, including the ESAAB-E presentation, at least 5 business days before the Dry Run. After the Dry Run, action items are provided by the ESAAB-E Secretariat to the FPD and IPT team for execution.
 - (d) An NA-APM-1 Dry Run is also performed with the FPD, NA-APM-20 Director, and the project HQPM. The NA-APM-1 Dry Run will not be scheduled until all key CD documents required for PME approval are fully concurred upon, except for the CD Decision Memo. The NA-APM-1 Dry Run is a limited access session allowing the FPD to Dry Run the CD presentation as if it was being presented to the PME. After the Dry Run, NA-APM-1 makes the decision as to whether the project is ready to proceed, or whether additional actions are required.
- (2) Pre-ESAAB-Equivalent Meetings.
- (a) Prior to 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.

- (b) The FPD or designee, with the assistance of the IPT, must organize, present, and facilitate the pre-ESAAB-E at every CD. An exception is at CD-0, when a field office individual, or a POR can perform these tasks because an FPD is not assigned. The ESAAB-E Secretariat generates a listing of pre-ESAAB-E invitees. Each pre-ESAAB-E meeting is co-chaired by NA-APM-1 and the POR. Board members must include representatives of the principals from the organizations listed in Appendix C, who serve as advisors to the chairpersons and to the POR. Contractor participation in pre-ESAAB-E meetings should be limited to subjects where they have specific expertise to offer, and only with concurrence of the chairpersons. The FPD or designee, with the assistance of the IPT, provides and distributes required pre-ESAAB-E Review Materials.
 - (c) All required CD documents must be provided to NA-APM and distributed to the pre-ESAAB-E members.
 - (d) For a given CD, these documents can be found in the requirements section of the related pre-ESAAB-E Presentation Template and can be found on the APM-20 Max.gov site under the “References, Templates and Checklists” section, “Presentation and Briefings” sub-section.
 - (e) For a complete set of CD Requirements please refer to DOE O 413.3B Tables 2.0 through 2.4.
- (3) Pre-ESAAB-E Review Meeting and Document Meeting Outcomes.
- (a) The ESAAB-E Secretariat and HQPM collect and share pre-ESAAB-E action items with the FPD and IPT members within 2 business days. Draft meeting minutes are shared with pre-ESAAB-E attendees within 5 business days of the pre-ESAAB-E meeting to clarify content. The meeting minutes are then provided to NA-APM-20 for final review and comment. The ESAAB-E Secretariat submits the pre-ESAAB-E meeting minutes for inclusion in the project’s Max.gov folder. The meeting minutes are also to be stored in the project’s record repository. NA-APM, with the input of board members, including the POR, must concur or non-concur on the critical decision information to be presented to the PME at the ESAAB-E, or on the need for further work to resolve open issues before seeking PME approval.
 - (b) If necessary, the ESAAB-E Secretariat schedules a follow-up meeting to close issues and obtain final concurrence.

- (c) If the project is under \$100M, and with the concurrence of the chairpersons, the ESAAB-E Secretariat proceeds with arranging the ESAAB-E meeting. The pre-ESAAB-E chairpersons recommend the agreed upon approach or strategy at the ESAAB-E.
- (d) If subsequent events lead to a significant divergence from the project's acquisition or execution strategy, the FPD then obtains PME approval using the process described herein, including convening another pre-ESAAB-E meeting. The HQPM prepares an amended CD Decision Memorandum for internal review and approval in advance of the pre-ESAAB-E. In the CD Decision Memo, the final ESAAB-E date might be *to be determined* (TBD), especially if the PME is at the Administrator (NA-1) level, as NA-1's schedule is subject to change based on arising priorities. After the ESAAB-E, the IPT amends project documentation to incorporate any PME-approved changes.

(4) ESAAB-E Meetings.

(a) Invite Attendees.

- (1) The ESAAB-E Secretariat generates a proposed list of the ESAAB-E invitees, which is reviewed and approved by NA-APM-1. The PME chairs the ESAAB-E board meeting. The principals of the organizations listed in Appendix C serve on the board as advisors. Board membership is tailored based on project complexity and nature.
- (2) The ESAAB-E members provide advice and recommendations regarding project CDs. The implementing documentation composition of each Advisory Board along with meeting agendas and minutes will be provided to the PM.

(b) Coordinate ESAAB-E Meeting.

The strategy and approach agreed upon at each pre-ESAAB-E meeting are presented by the FPD or equivalent to the PME for approval at the ESAAB-E. The FPD, with the assistance of the IPT, organizes, presents, and facilitates the ESAAB-E board meeting at every CD.

(c) Update Presentation.

The FPD, or equivalent for CD-0, prepares updated presentations incorporating changes from pre-ESAAB-E meetings as necessary

and provides read-ahead materials to the ESAAB-E Secretariat for distribution not more than 5 business days before the meeting. Presentations for ESAAB-E should mirror those of the pre-ESAAB-E meetings, updated as necessary for action items from the pre-ESAAB-E meeting.

(d) Provide/Distribute Required Read-Ahead Materials.

- (1) The FPD, or equivalent for CD-0, is responsible for providing the board with the necessary information and analyses to assist the PME in making informed decisions throughout a project's lifecycle. CD documents requiring PME approval are to be provided to the PME far enough in advance such that the PME and staff have ample time to review them. The more senior the level of the PME, the more lead time is needed to secure concurrences prior to the ESAAB-E meeting. An NA-1 ESAAB-E is an example of briefings that indicate that extra lead time will be required.

(e) Provide/Distribute Required ESAAB-E Review Materials.

The ESAAB-E Secretariat, in conjunction with the FPD, or equivalent, and HQPM, distributes the review materials. Program and functional offices (i.e., organizations represented on the ESAAB-E) are encouraged to work closely with these three entities to request specific documents and reports. If additional information is needed, such as Pre-ESAAB-E Meeting Minutes, contact the ESAAB-E Secretariat at ESAAB-E@nnsa.doe.gov.

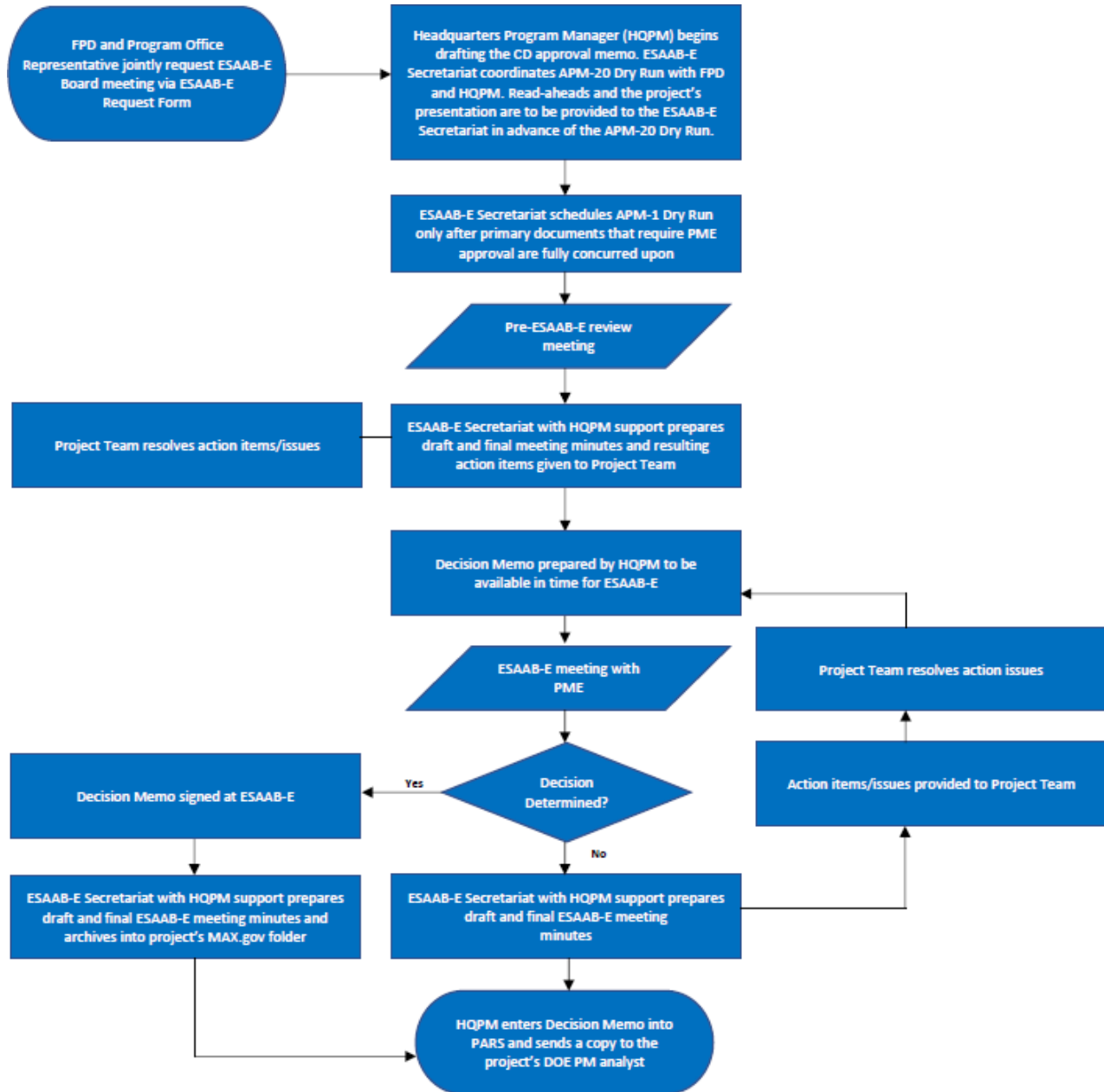
(f) Conduct ESAAB-E and Document Meeting Outcomes.

- (1) The PME, with input from board members, approves the proposed approach and strategy for moving forward to the next CD, or requires further work to resolve open issues before approving. If necessary, a follow-up meeting occurs to close issues and obtain final approval. The ESAAB-E Secretariat ensures the CD Decision Memorandum is available for PME signature at the ESAAB-E.
- (2) Meeting minutes, including open items, are taken by the ESAAB-E Secretariat and the HQPM. The ESAAB-E Secretariat and the HQPM collect and share action items with the FPD and IPT members within 2 business days. Draft meeting minutes are shared with ESAAB-E attendees within 2 to 3 additional business days to clarify comments. The meeting minutes are then provided to NA-APM-20 for

final review and comment. The ESAAB-E Secretariat uploads the ESAAB-E meeting minutes into the project's Max.gov folder and shares them with the FPD for inclusion in the project's repository.

- (3) The FPD, or equivalent, must ensure CDs are documented in project and contract files. FPDs are to note that required CD documents must be sent to DOE-PM per DOE O 413.3B.
- (4) The HQPM must ensure that CD documentation is uploaded to the NA-APM-20 Max.gov website for the applicable project.

APPENDIX A: FIGURE 2 - ESAAB-E PROCESS FLOW DIAGRAM



APPENDIX B: ENERGY SYSTEMS ACQUISITIONS ADVISORY BOARD EQUIVALENT (ESAAB-E) REQUEST FORM

The [ESAAB-E Request Form](#) is available for download and use from the NA-APM-20 Max.gov site.

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?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Name of PME / CE	_____		
Type of Review Requested:	<input type="checkbox"/> NNSA ESAAB-E OR A <input type="checkbox"/> DOE ESAAB <input type="checkbox"/> Critical Decision Requested: (Example: CD-2/3) <input type="checkbox"/> 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 <u>MUST BE Approved</u> 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-apm/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 C: PRE-ENERGY SYSTEMS ACQUISITION ADVISORY BOARD-EQUIVALENT (PRE-ESAAB-E), ESAAB-EQUIVALENT, AND ESAAB-E MEMBERS AND REPRESENTED ORGANIZATIONS (NON-MAJOR SYSTEMS PROJECTS, I.E., BELOW \$750 MILLION (M))

- Associate Administrator for Acquisition and Project Management (NA-APM-1) *
- Director, Office of Enterprise Project Management (NA-APM-20)/NNSA ESAAB-E Secretariat *
- Federal Project Director (FPD) or equivalent *
- Head of the Contracting Activity (NA-APM-10)
- Project Contracting Officer *
- Small Business Administration Representative
- Headquarters Project Manager (HQPM) (NA-APM-20)
- Director, Office of Project Analysis, Oversight and Review (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 HQPM 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) *
- Office of the Associate Administrator for Information Management and Chief Information Officer (NA-IM) *

* Required ESAAB-E members and organizations.

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

APPENDIX D: DEFINITIONS

Any terms used in this Supplemental Directive (SD) coincide in meaning to terms defined by DOE O 413.3B, *Program and Project Management for the Acquisition of Capital Assets*. Additional terms used in this SD are defined below.

- a. Energy Systems Acquisition Advisory Board (ESAAB). The ESAAB process improves project and acquisition planning and execution through a disciplined decision-making approach and incorporating input, insight, and recommendations on key issues from functional experts, stakeholders, and senior-level leaders. The ESAAB is a Department-level (i.e., Department of Energy (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 \$750 Million (M).
- b. Energy Systems Acquisition Advisory Board Equivalent (ESAAB-E). 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 functions identical to those performed by the ESAAB for Major System projects. The ESAAB-E members provide advice and recommendations regarding Critical Decisions (CDs). The ESAAB-E, or the NNSA equivalent of a Departmental ESAAB, is conducted for capital asset projects above \$20M and under \$750M.
- c. ESAAB-E Members. Directors of the organizations and offices identified in Appendix C.
- d. Headquarters Project Managers. A unique position to support an assigned project, and as such has clear responsibilities to support the FPD and IPT in the ESAAB-E process
- e. Independent Project Review (IPR). A project management tool that serves to verify the project mission, organization, development, processes, technical requirements, baselines, progress, or readiness to proceed to the next successive phase in DOE's Acquisition Management System.
- f. Project Data Sheet (PDS). A document that contains summary project data and the justification required to include the entire project effort as a part of the Departmental budget.
- g. Subject Matter Expert (SME). Functional and organizational specialists brought into the ESAAB-E process to 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.

APPENDIX E: ACRONYMS/ABBREVIATIONS

a.	<u>AoA</u>	Analysis of Alternatives
b.	<u>BCP</u>	Baseline Change Proposal
c.	<u>CD</u>	Critical Decision
d.	<u>CE</u>	Chief Executive
e.	<u>CO</u>	Contract Officer
f.	<u>DOE-PM</u>	U.S. Department of Energy Office of Project Management
g.	<u>EDOCS</u>	Electronic Document Online Correspondence and Concurrence System
h.	<u>EO</u>	Executive Order
i.	<u>ESAAB</u>	Energy Systems Acquisition Advisory Board
j.	<u>ESAAB-E</u>	Energy Systems Acquisition Advisory Board – Equivalent
k.	<u>FDP</u>	Federal Project Director
l.	<u>HQ</u>	Headquarters
m.	<u>HQPM</u>	Headquarters Project Manager
n.	<u>IPR</u>	Independent Project Review
o.	<u>M</u>	Million
p.	<u>PB</u>	Performance Baseline
q.	<u>PDS</u>	Project Data Sheet
r.	<u>PEP</u>	Project Execution Plan
s.	<u>PME</u>	Project Management Executive
t.	<u>PMO</u>	Project Management Office
u.	<u>POR</u>	Program Office Representative
v.	<u>PSO</u>	Program Secretarial Officer
w.	<u>SME</u>	Subject Matter Expert
x.	<u>TPC</u>	Total Project Cost

APPENDIX F: REFERENCES

- a. DOE O 413.3B, Chg6 (LtdChg), *Program and Project Management for the Acquisition of Capital Assets*, dated 01-12-21.
- b. NA-APM-20 references can be found on MAX.gov:
<https://community.max.gov/pages/viewpage.action?pageId=1344080637>
- c. NNSA Policy (NAP) 130.1B, *Planning, Programming, Budgeting, and Evaluation (PPBE) Process*, dated 05-25-21