

Department of Energy  
Office of Science

**DOE/SC  
INDEPENDENT PROJECT  
REVIEW PROCESS**

January 2012

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# 1. INTRODUCTION

The Office of Project Assessment (OPA), SC serves as the focal point for independent program and project reviews (such as IPRs, Peer Reviews, Earned Value Management System reviews, operations reviews, or other reviews performed for the Office of Science). One of the primary functions of the OPA (Appendix A) is to conduct independent technical, cost, schedule, and management reviews of construction projects, experimental equipment, and facilities. OPA conducts IPRs prior to Critical Decisions 2 and 3 (Approve Performance Baseline and Approve Start of Construction, respectively); however, OPA typically reviews larger projects semiannually, in addition to other Critical Decision reviews.

The purpose of this handbook is to provide guidance to individuals and committees that will be conducting independent reviews. This handbook is also intended to aid Program Offices, Operations and Site Offices, and site contractors in the preparations for or participation in independent reviews.

## 2. THE INDEPENDENT REVIEW

The overall purpose of an independent review is to determine, by a non-proponent body, whether the scope of programs, projects, or activities; the underlying assumptions regarding scientific objectives and supporting technology; the cost and schedule estimates; the contingency provisions; and the management approach are valid and credible within DOE budgetary and administrative constraints.

Reviews conducted by the Office of Project Assessment (OPA) are intended to reduce the risk of project failure by identifying existing and potential problems in a timely manner so that prompt and effective resolution is possible. These reviews assist the field in successfully completing the project, as well as identifying areas where Office of Science (SC) management needs to focus additional resources.

OPA reviews are intended to meet the Independent Project Review and Peer Review requirements of DOE Order 413.3B, *Program and Project Management for the Acquisition of Capital Assets*, which recognizes that independent reviews are valuable in assessing the status of its projects.

The objectives of the independent review typically include:

- Determining if the project meets the mission need;
- Evaluating technical approach and project definitions;
- Evaluating the readiness of the projects to proceed to the next the Critical Decision;
- Determining whether the proposed project and its acquisition and execution strategy represents a technically valid, cost-effective, realistic means of accomplishing its stated objectives;
- Assessing whether the project can be delivered within the cost and schedule baselines established by DOE or whether alternative solutions may be preferable;
- Evaluating and managing project risks, issues, and challenges;
- Assessing the status of the project;
- Providing constructive recommendations for alternatives or improvements;
- Reviewing corrective action items from previous reviews; and
- Assessing the management organization, experience, knowledge, and adequacy of staffing, work assignment process, project management control systems, risk management, baseline and technical work management, quality management, and Environmental Safety and Health (ES&H)/NEPA compliance.

The independent review of a project is to be of sufficient detail, using a graded approach, to permit an objective independent reviewer to reach a supportable conclusion of the project's status.

The results (or final report) of each review are transmitted from the Director of OPA to the individual requesting the review or to the responsible SC program Associate Director in response to the charge to the committee. The program office is responsible for transmitting the final report to the laboratory and/or project.

### 3. GUIDELINES FOR CONDUCTING REVIEWS

#### 3.1 Review Planning

During the review planning phase, key project points-of-contacts at DOE Headquarters and the site are identified and engaged in the planning as early as possible. The proposed scope of the review is planned by OPA in coordination with SC management, SC program managers, and the Federal Project Director. After determining the scope of the review, it is possible to identify the subject matter expertise that should be present on the review committee. OPA identifies and arranges for appropriate personnel to staff each review committee, in consultation with the requesting organization.

The typical activities in a review schedule and associated timing are shown in Table 3-1. The standard deliverables of a review, in addition to the Review Planning, include the Closeout Presentation, Summary Report (“the 2-Page Report”), Draft Review Report, and Final Report.

**Table 3-1. Review Schedule**

<b><u>Activity</u></b>	<b><u>Typical Time Frame (Relative to Begin Review)</u></b>
Start Review Planning	-16 weeks
Approve Charge Memo	-8 weeks
Assemble Review Committee (size and configuration)	-8 weeks
Start Logistics Planning	-8 to -6 weeks
Draft Agenda	-8 weeks draft
Consultant Funding (as required)	-4 weeks
Advance Review Material Prepared	-3 weeks (at least)
Advance Review Material Distribution	-2 weeks (at least)
Conference Call with Committee (if necessary)	-1 to 3 weeks
Begin Review	0
Complete Review/Closeout Presentation to Project Management	+2 to +5 days
Complete Summary Report (2-Page Report) to SC Management	+2 business days after review
Associate Director Meeting with Office of Science Management	+5 business days after review
Draft Report	+1 to +2 weeks
Review and Comment by Committee	+1 week
Complete Final Report	+8 weeks
Track Review Recommendations	At next review

#### ***Committee Member Selection***

Each review committee is configured to satisfy the unique purpose of the review. It is critical that the individuals selected to perform the independent reviews have the expertise and

experience to be a credible peer reviewer. In addition to having relevant knowledge and experience, it is essential that the committee possess indisputable integrity and independence. The expectation of SC is that the reviewers have no current affiliation with the project being reviewed and are as independent as possible.

The review chairperson for SC sponsored reviews is always a DOE Federal employee, usually from OPA. SC review committees can range from two to more than sixty experts depending on the size of the project. It has been the experience of SC that the committee is primarily selected from experts from national laboratories, universities, and private industry and Federal employees from other sites, offices, or agencies. The range of disciplines involved may include project relevant technical disciplines, project management, contracts, cost engineering, and Environment, Safety and Health.

Review committees also include members of the OPA staff who are trained to support review activities. They are designated to follow the progress of a project throughout its life and are knowledgeable of project specific issues. These members have experience in the policies and procedures for conducting reviews and serve as a resource for maintaining the effectiveness and efficiency of review committee performance.

### **3.2 Coordination**

A significant amount of coordination is necessary in preparation for a successful review. A variety of documents needs to be prepared and/or exchanged prior to the review as delineated by the review plan. Particular attention to consistency and accuracy of information is critical. All resources necessary at the time of the review must be arranged in advance.

#### ***Documentation***

Review documentation is prepared in consultation with the appropriate program, project representatives, and OPA. A brief summary of these documents is discussed below.

*Charge to the Committee.* The Charge Memorandum, developed by the program in coordination with OPA, is the basis of the entire review process. The charge must identify, clearly and concisely the purpose of the review and the responses expected of the review committee to the charge questions. The Charge Memorandum includes a discussion of the background for the review, the scope of the review, actions that are affected by the outcome of the review, and the schedule of events surrounding the review, including completion of a review report (Appendix B).

*Committee Membership.* Prospective committee members are contacted by OPA and their participation is confirmed (according to the review schedule, see Table 3-2), and a listing of review participants (both committee members and observers) is prepared. Proponents (those being reviewed) are not included, as this information is usually documented in the review agenda. The listing includes the individual's affiliation and contact information (Appendix C).

*Review Agenda.* The agenda is prepared by the proponent or project being reviewed, in coordination with OPA. It organizes and details activities of the review participants from start to finish. Each relevant topic for review (i.e., technical, cost and schedule, management, etc.) is

identified with the allotted time, and name of presenter(s). Meeting locations (building and room numbers) are also included. Time is allotted for plenary presentations, Executive Sessions, subcommittee breakout sessions, report writing, and a Closeout Presentation (Appendix E).

*Invitation E-mail.* Each review committee participant receives an invitation e-mail from the Director of OPA, which formalizes the committee member's participation and provides logistical details, as well as other information pertaining to the review (Appendix D).

*Travel Arrangements.* Usually included within the invitation letter, the committee members need to be provided with information, about specific arrangements, such as lodging that has been arranged for them or suggestions for their own arrangements. Area and review site maps are also included as appropriate.

*Advance Information.* Detailed information about the project to be reviewed is provided to the committee by the proponent or those being reviewed (approximately 2 weeks) prior to the review. This varies from project to project but generally includes scope documents, management documents, relevant regulatory information, cost estimates and schedules, funding profiles, risk and contingency analysis, design documents, and responses to prior recommendations. DOE or program reference documents are also made available where relevant. This information is typically provided via project/review website.

*Executive Session Presentation.* This briefing (used at the initial Executive Session) is presented by the review chairperson to provide summary level information on review requirements and expectations. The presentation includes many of the documents described above, information on report outline and writing assignment (Appendix F), a template for use in preparing the review closeout presentation, and procedures for submission of the report sections and formatting the Final Report (the structure to be used when writing the report to ensure report consistency, shown in Appendix G).

## ***Logistics***

A successful review also depends largely upon the effective coordination of logistics. OPA relies upon a designated point of contact (project staff or the proponent being reviewed) for each review. This individual organizes and makes arrangements for the review in cooperation with OPA. The point of contact for logistics oversees coordination of the following areas:

- Review meeting rooms. Rooms should be of adequate size, appropriately equipped, and arranged in advance of the review. Separate "break-out" rooms should be available for additional subcommittee presentations and discussions.
- Outside phone lines and the Internet access (including specific computer security requirements and guidance).
- Clerical support.
- Project documents to be provided to the review committee.
- Hotel accommodations, shuttle service, etc.
- Hospitality and meal service (as necessary).

- Any additional information that will affect the review participant’s visit to the site (i.e., site access, special badging, maps and directions, etc.).

### **3.3 Conducting the On-Site Review**

#### ***Chairperson Role and Responsibilities***

The chairperson of the review committee is responsible for the success of the independent review. The chairperson is designated as early as possible in the preparation for the review to allow sufficient time for familiarization with the specific project under review and for organizing the review. The chairperson is responsible for the selection of the review committee and organizing the review. During the review, the chairperson’s primary responsibilities include:

- Ensuring that the review committee remains focused on the assigned charge;
- Maintaining an appropriate professional code of conduct;
- Maintaining the review schedule, managing to the agenda;
- Establishing and maintaining interfaces with project staff;
- Organizing and conducting parallel breakout sessions;
- Organizing the closeout briefing; and
- Meeting with Laboratory and Project Management.

#### ***Protocols, Tone, and Conduct***

The tone of the review is positive and success-oriented; questions and challenges of the information presented are made with the goal of providing candid feedback to enable successful project completion. Conversations are catalytic and not confrontational.

The review consists of the project presenting relevant information to the review committee; the committee evaluating the information provided; and the committee providing responses to the questions included in the review charge memo. Review committee members are expected to provide feedback to the project team concerning findings, comments, and recommendations during the review and at the Closeout Briefing.

SC does not have standard lines of inquiry (LOI). This approach is used to allow the committee flexibility to formulate specific questions based on their experience and information provided by the project. The primary guidance document for determining potential LOI is the Charge Memorandum to the review committee. However, in advance of the review, the subcommittee chairpersons develop a list of questions in their area of expertise and make contact with their project counterparts to start the flow of information.

There are numerous other sources of information that may need to be considered in the execution of the review. These documents may be specific to SC or may apply DOE wide, such as:

- Established technical, cost, and schedule procedures;
- Management plans and organizational structures;



- Integration procedures;
- Regulatory drivers; and/or
- DOE Orders and guidance documents.

Typically, the morning of the first day includes overview of the project and the project status, and the afternoon includes more detailed presentations. The afternoon and/or the breakout sessions are also used to clarify information provided, interview project team members, and provide opportunities for other interactions that enable the committee to gain sufficient understanding to respond to the charge questions.

Presentations should be concise and allow for questions and answers within the allotted time. Detailed information should be transmitted via supplemental handout documents or through electronic media (i.e., USB drives, website, etc.). The review committee is the primary audience for the presentations, but other individuals may attend, particularly if their presence may be advantageous to any line of questioning from the review committee. When the agenda calls for discussion time, or at the conclusion of a particular topic presentation, a more informal round-table format is appropriate.

The Committee members are encouraged to bring portable computers to view project documents, presentations, and to draft the closeout report.

### ***Initial Executive Session/Closeout Presentation***

Typically, the first agenda item is a “DOE Executive Session”. This is an opportunity to conduct formal introductions and review the charge, procedures, and logistics. Attendance is usually limited to the review committee and DOE observers (e.g., program representatives).

At the close of the review, a “Closeout Presentation” is conducted, which represents the consensus of the full review committee. At this time, the review committee presents the results of the review. Findings, comments, and recommendations are presented (Appendix G). Presentations are made by the subcommittee chairperson assigned to each topic under review (following the draft report outline, Appendix F). Depending on the circumstances, attendance at this session may or may not be limited. A separate briefing with site management may also be arranged as appropriate.

## **3.4 Post Review Coordination**

### ***Summary (2-Page) Report***

Within two business days of the project closeout, the Review Chairperson completes a summary report (also referred to as the 2-page report) of the review results. The summary report identifies status, issues, major recommendations and action items of the review. The draft summary will be forwarded to the FPD and the Headquarters Program Manager for review and comments prior to finalization; however, the Review Chairperson is responsible for the report’s content. After finalization, the summary is provided to SC Management and/or used during a meeting between OPA and SC Management to discuss the review (see following section and Appendix I).

### ***Reporting to DOE/SC Management***

SC Management does not influence the outcome of the review (i.e., the committee's recommendations). Following the review, findings, comments, and recommendations are discussed with SC management using the summary (2-page) report. Depending on the size and complexity of the project, individuals involved in the meeting may include the Committee Chairperson, other OPA staff, the Acquisition Executive, the Program Manager, and the Federal Project Director.

The project is requested to provide written responses (within a given time frame) for each recommendation. Headquarters program office staff track each recommendation to closure and the subsequent review committee verifies that corrective actions are resolved as intended.

### ***Final Report Preparation***

The report is divided into sections that are assigned to the subcommittee chair person or a specific committee member for writing. Writing may commence prior to the review, based on information provided in advance. Some subcommittees may complete a draft report before the review committee leaves the site. The draft report is reviewed by a designated editor to provide consistency without changing content. The consolidated draft report is then provided to the committee for a final review. The draft report is also provided to the DOE site representative for a factual accuracy review. Comments are resolved and incorporated by the editor and a final report is generated. The final report is transmitted to the individual or program office requesting the review, and to the review committee.

### ***Records***

All presentations and documentation provided at the review are made available to the committee members, unless identified as proprietary, procurement-sensitive, or covered by a non-disclosure agreement. It is recommended that all information be retained, by individual committee members, for future reference. This reference may be needed for finalizing the review report and/or for comparison to future reviews. OPA staff also retains this information through the life of the project.

The final report is transmitted from the Director of OPA to the person requesting the review or to the responsible SC program Associate Director in response to the charge to the committee. The program office is responsible for transmitting the final report to the laboratory and/or project.

## Appendix A. Office of Project Assessment (OPA) Mission Statement

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1. Conducts independent technical, cost, schedule, and management peer reviews of SC construction projects and large experimental equipment. Most reviews are conducted semiannually for ongoing projects and large experimental equipment. Also, reviews large projects prior to requesting construction funds in the budget process to establish technical, cost, and schedule baselines, and prior to requesting authorization to start operations.
2. Provides project management and staff support regarding construction management activities to the SC Program Offices and Field Organizations; collaborates with these SC organizations and provides oversight services on construction management issues. Assists senior management on issues related to project performance including implementation of corrective actions.
3. Acts as the SC ESAAB Equivalent Secretariat. Facilitates Program Office compliance by providing hands-on assistance in the preparation of documents, maintaining schedules, and coordinating with all other DOE Offices engaged in the processes.
4. Prepares analytical documents as required by senior DOE or SC officials on the status of facilities.
5. Works collaboratively with SC program and project staff to ensure project documentation is accurate, complete, consistent, and complies with DOE requirements. Documentation includes but is not limited to: Mission Need Statements, Acquisition Strategies, Office of Management and Budget (OMB) Exhibit 300s, Project Execution Plans, Project Management Plans, Risk Management, etc.
6. Ensures SC project performance reporting is timely, accurate and complete in the DOE Project Assessment Reporting System II (PARS II) and the Monthly Project Status Report. Addresses any deficiencies or significant variances and develops a performance summary for distribution to SC Headquarters and Field Organizations.
7. Ensures effective and consistent implementation of project management policies and directives by consulting with other DOE organizations and offices with responsibility for project and construction management, including the Office of Engineering and Construction Management (OECM).
8. Represents the Director of the Office of Science in meetings with DOE, OMB, the Government Accountability Office (GAO), the Inspector General (IG), Congress, and other oversight or investigatory bodies on all matters involving the planning, design, construction, and operation of research facilities.

# Appendix B. Charge to the Committee

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DOE F 1325.B  
(08-93)

United States Government

Department of Energy

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## memorandum

DATE: **SEP 20 2010**

REPLY TO:

ATTN OF: Office of Basic Energy Sciences, SC-22

SUBJECT: DEPARTMENT OF ENERGY (DOE) REVIEW OF THE NATIONAL SYNCHROTRON LIGHT SOURCE II (NSLS-II) PROJECT

TO: Daniel R. Lehman, Director, Office of Project Assessment

I request that you organize and lead an Office of Science status review of the NSLS-II project at Brookhaven National Laboratory on November 15-17, 2010. The purpose of this review is to evaluate all aspects of the project's status.

The project received CD-3 "Approve Start of Construction" on January 9, 2009, with a Total Project Cost of \$912 million and a June 2015 completion date. The NSLS-II is designed to be a new synchrotron light source that is highly optimized to deliver ultrahigh brightness and flux and exceptional beam stability. Also included will be advanced insertion devices, optics, detectors, and an initial suite of scientific instruments. In carrying out its charge, the review committee should respond to the following questions:

1. Construction: Is the overall progress of the civil construction activity consistent with the baseline? Is the Laboratory Office Buildings (LOBs) construction appropriately integrated with the remaining ring building construction?
2. Accelerator Systems: Are the accelerator systems progressing as well? Are the actions taken to improve the accelerator schedule performance having an impact? Have Insertion Devices been adequately addressed?
3. Experimental Systems: Are the experimental systems progressing adequately and will they meet the delivery schedule?
4. Startup and Commissioning: Are the plans for beneficial occupancy of the ring building spaces, along with startup and commissioning of technical systems, appropriate for this stage of the project?
5. Management: Is the project being properly managed for its successful execution? Is the overall staffing progressing as planned?
6. ES&H: Is ES&H being properly addressed by all project team members?
7. Prior Reviews: Has the project responded appropriately to previous reviews?

Philip F. Kraushaar, the NSLS-II Program Manager, will serve as the Office of Basic Energy Sciences point of contact for this review. I would appreciate receiving your committee's report within 60 days of the review's conclusion.

/s/  
Harriet Kung  
Associate Director of Science  
For Basic Energy Sciences

cc:  
M. Holland, BSO  
F. Crescenzo, BSO  
J. Eng, BSO  
S. Aronson, BNL  
S. Dierker, BNL  
K. Chao, SC-28  
C. Clark, SC-28  
P. Montano, SC-22.3  
P. Kraushaar, SC-22.3  
J. Tapia, SC-22.3  
S. Weber, SC-22.3  
L. Cerrone, SC-22.3  
R. Meneses, SC-22.3

## Appendix C. Committee Membership List

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**Department of Energy Review of the  
National Synchrotron Light Source-II (NSLS-II) Project  
November 15-17, 2010**

**Daniel R. Lehman, DOE, Chairperson**

<b>SC1 Accelerator Component Production WBS 1.03.01/04/06/07/08</b>	<b>SC2 Accelerator Installation and Commissioning WBS 1.03.02</b>	<b>SC3 Experimental Facilities WBS 1.04 / 1.02.02</b>	<b>SC4 Controls Systems WBS 1.03.05</b>
Rod Gerig, ANL Richard Boyce, SLAC Pat Den Hartog, ANL Will Oren, TJNAF Bill Merz, TJNAF Ali Nassiri, ANL	* John Seeman, SLAC Graeme Murdoch, ORNL David Rice, Cornell James Safranek, SLAC Richard Walker, Diamond LS	* Mark Beno, ANL Zahid Hussain, LBNL Jorg Maser, ANL Mohan Ramanathan, ANL Wolfgang Sturhahn, NASA	* Ned Arnold, ANL Mark Heron, Diamond LS Karen White, ORNL
<b>SC5 Conventional Facilities WBS 1.05</b>	<b>SC6 Env., Safety and Health WBS 1.01.02 / 1.1.4</b>	<b>SC7 Cost and Schedule</b>	<b>SC8 Project Management WBS 1.01 / 1.06</b>
Joe Harkins, LBNL Steve Jack, SLAC Ron Lutha, DOE/AS	* Ian Evans, SLAC Jim Healy, SLAC	* Ron Strykowski, PPPL Kin Chao, DOE/SC Liz Dahlen, SLAC	* Mark Reichanadter, SLAC Larry Dardzinski, SLAC Joe May, DOE/TJSO Steve Meador, NSF Don Rej, LANL
<b>Observers</b>			<b>LEGEND</b>
Harriet Kung, DOE/SC Pedro Montano, DOE/SC Phil Kraushaar, DOE/SC Peter Lee, DOE/SC Susan Weber, DOE/SC	John Tapia, DOE/SC P. Thiyagarajan, DOE/SC Mike Holland, DOE/BHSO Frank Crescenzo, DOE/BHSO Joseph Eng, DOE/BHSO	Brian Huizenga, DOE/OECM Evelyn Landini, DOE/BHSO Angela Harvey, DOE/ASO Dean Haeffner, ANL Garth Duncan, Bechtel	SC Subcommittee * Chairperson [ ] Part-time Subcommittee Member
<b>COUNT: 33 (excluding observers)</b>			

## Appendix D. Invitation E-mail

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Dear Review Committee Member:

I would like to thank you for agreeing to serve as a member of the Department of Energy (DOE) committee reviewing the National Synchrotron Light Source-II (NSLS-II) project at Brookhaven National Laboratory (BNL). The review will take place at BNL, in Upton, New York on November 15-17, 2010. The purpose of the review is to assess the all aspects of the project's status, including construction activities, technical systems, experimental facilities, cost, schedule, management, and environment, safety and health issues. The detailed charge to the committee is attached for your information, as well as the following documents:

- DOE Review Participants
- DRAFT Agenda
- Report Outline/Writing Assignments
- February 2010 DOE Review Report of the NSLS-II Project
- BNL Campus Map

The review will begin on Monday, November 15, at 1:00 p.m. in the Large Conference Room (Bldg 703), with a DOE Executive Session followed by NSLS-II plenary presentations. On Tuesday, there will be parallel subcommittee sessions devoted to in-depth exploration of topics, followed by a DOE Executive Session. The committee will adjourn on Wednesday, November 17, at 12:30 p.m. after a closeout presentation to NSLS-II project management to share the committee's findings and recommendations.

Review information will be made available to you, via website, approximately two weeks prior to the review. The project will provide this information to you directly. Copies of all presentation material will be provided to you at the beginning of the review.

I would like the chairperson of each subcommittee, after conferring with the members of his subcommittee, to provide a list of issues and/or questions that need to be addressed to Steve Dierker (phone; e-mail) by November 5. The agenda for the subcommittee presentations by the project and the time allotted for follow-up discussions between the subcommittee and the project should be agreed by the subcommittee chair and the project.

### REVIEW LOGISTICS

**HOTEL:** There is a block of rooms available at the Residence Inn Holtsville (25 Middle Avenue, Holtsville, New York 11742). The group rate is \$114.00 + tax per night. Please contact the hotel directly at 631-475-9500 and identify yourself as part of **"DOE Review NSLS II" Group Code NSLG**. Residence Inn Website: <http://marriott.com/hotels/hotel-information/travel/isphv-residence-inn-long-island-holtsville/>

**MAPS:** Maps and directions for BNL and the surrounding area are located at: <http://www.bnl.gov/bnlweb/maps.asp>. A BNL campus map is also attached for your convenience.

**SITE ACCESS:** If you are a U.S. Citizen and have a DOE badge you are not required to obtain a visitor pass to enter the BNL site. Your name will be provided to the guard station. Guards will direct you to the correct building. Those NOT in possession of a DOE badge or Foreign Nationals (whether or not you hold a DOE badge) should follow the directions below and complete a guest registration IMMEDIATELY.  
[directions for site access]

If possible, it would be useful for you to bring your portable computer with word processing software to the review.

Again, I would like to express my appreciation for your willingness to serve on this committee. If there are any questions, please contact Kin Chao (301-903-4116, [kin.chao@science.doe.gov](mailto:kin.chao@science.doe.gov)) or Casey Clark (301-903-5451; [casey.clark@science.doe.gov](mailto:casey.clark@science.doe.gov)).

Regards,  
Daniel R. Lehman

## Appendix E. Review Agenda

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**Department of Energy Review of the  
National Synchrotron Light Source II (NSLS-II) Project  
November 15-17, 2010**

### AGENDA

#### **Monday, November 15, 2010—Large Conference Room (Bldg 703)**

1:00 pm	DOE Executive Session .....	D. Lehman
1:30 pm	Welcome .....	S. Aronson
1:40 pm	NSLS-II Overview .....	S. Dierker
2:10 pm	Project Performance and Risk Management .....	A. Byon
2:30 pm	ES&H .....	S. Hoey
2:45 pm	Break	
3:00 pm	Conventional Facilities .....	M. Fallier
3:00 pm	Accelerator Systems.....	F. Willeke
4:10 pm	Experimental Facilities .....	Q. Shen
4:40 pm	Project Management and Support.....	D. Hatton
4:55 pm	Break	
5:00 pm	DOE Full Committee Executive Session .....	D. Lehman
6:30 pm	Adjourn	

#### **Tuesday, November 16, 2010**

8:00 am	Subcommittee Breakout Sessions	
12:00 pm	Lunch	
1:00 pm	Tour	
2:30 pm	Subcommittee Breakout Sessions	
4:00 pm	Subcommittee Working Sessions	
5:00 pm	DOE Full Committee Executive Session .....	D. Lehman

#### **Wednesday, November 17, 2010**

8:00 am	DOE Committee Executive Session .....	D. Lehman
9:00 am	DOE Committee Executive Session Dry Run .....	D. Lehman
11:30 am	Closeout Presentation with NSLS-II Management	
12:30 pm	Adjourn/Lunch	



## Appendix F. Report Outline/Writing Assignment List

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**Department of Energy Review of the  
National Synchrotron Light Source II (NSLS-II) Project  
November 15-17, 2010**

**REPORT OUTLINE/WRITING ASSIGNMENTS**

Executive Summary .....	Chao
1. Introduction.....	Kraushaar
2. Technical Systems Evaluations	
2.1 Accelerator Component Production (CQ 2, 4, 7).....	Gerig/Subcommittee 1
2.1.1 Findings	
2.1.2 Comments	
2.1.3 Recommendations	
2.2 Storage Installation and Commissioning (CQ 2, 4, 7) ...	Seeman/Subcommittee 2
2.3 Experimental Facilities (CQ 3, 4, 7) .....	Beno/Subcommittee 3
2.4 Control Systems (CQ 4, 7).....	Arnold/Subcommittee 4
3. Conventional Facilities (CQ 1, 4, 7).....	Harkins/Subcommittee 5
4. Environment, Safety and Health (CQ 6, 7).....	Evans/Subcommittee 6
5. Cost, Schedule and Funding (CQ 4, 7).....	Strykowski/Subcommittee 7
6. Project Management (CQ 5, 7).....	Reichanadter/Subcommittee 8

\*Lead

### Appendices

- A. Charge Memorandum
- B. Review Participants
- C. Review Agenda
- D. Cost Table
- E. Schedule Chart
- F. Management Table

## Appendix G. Report Format

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THE FOLLOWING FORMAT IS USED FOR THE DRAFT FINAL REPORT

Names of Subcommittee Chair/Assigned Committee Member  
Version Number/Date/Time

### **2.1 Section Title**

#### **2.1.1 Findings**

Summary of presentation material, documentation and interviews that the reviewer finds is relevant to supporting the review assessment and recommendations. Narrative, focusing on areas of the review and the project that are positive as well as those areas the reviewer finds lacking. Do not number findings.

#### **2.1.2 Comments**

Assessment of material provided during the review, the reviewer's reaction to that information and the conclusions based on the findings. This narrative carries more emphasis than the Findings, and may lead to one or more Recommendations. Do not number comments.

#### **2.1.3 Recommendations**

1. These are numbered within each section and should be definite, clear recommendations as to what the proposing organization should do to correct a problem or strengthen the project. The basis for the Recommendations should be discussed under Findings and Comments. These are the items that the project (proposers) must respond to by the next review.
- 2.
- 3.

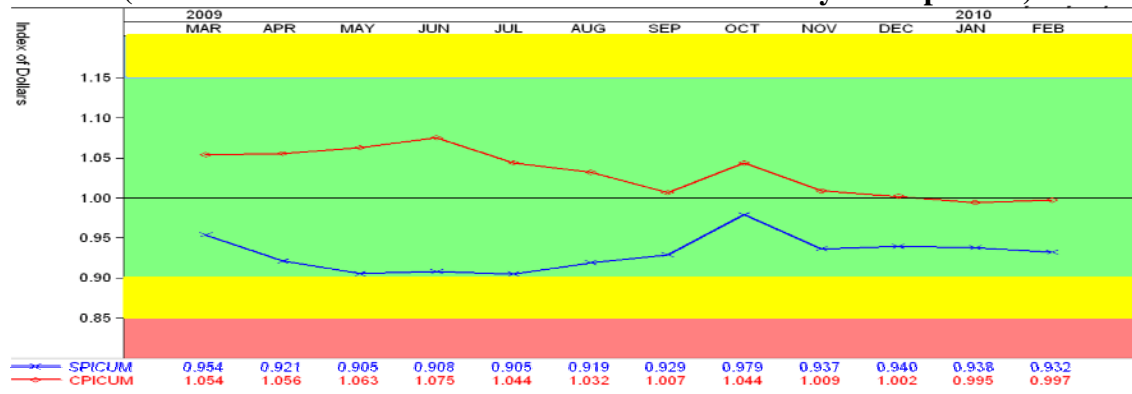
# Appendix H. Summary Report (2-Page Report) Template

(Use Times New Roman 12 point font/Keep report text to 2 pages)

**DATE:**  
**LOCATION OF PROJECT:**  
**PROGRAM MANAGER:**  
**FEDERAL PROJECT DIRECTOR:**  
**ACQUISITION EXECUTIVE:**  
**CURRENT CRITICAL DECISION: CD-\_\_\_**

1. PROJECT STATUS		
Project Type	MIE / Line Item / Cooperative Agreement	
CD-1	Planned:	Actual:
CD-2	Planned:	Actual:
CD-3	Planned:	Actual:
CD-4	Planned:	Actual:
TPC Percent Complete	Planned: %	Actual: %
TPC Cost to Date		
TPC Committed to Date		
TPC		
TEC		
Contingency Cost (w/Mgmt Reserve)	\$	% to go
Contingency Schedule on CD-4b	months	%
CPI Cumulative		
SPI Cumulative		

(Include cumulative CPI/SPI chart here/Charts may be 10 pt. font)



• cumulative BCWS: \_\_\_\_\_ cumulative BCWP: \_\_\_\_\_ cumulative ACWP: \_\_\_\_\_

(Include funding chart here.)

	FY09	FY10	FY11	FY12	FY13	FY14	FY15	FY16	FY17	FY18	Total
DOE											

## **2. TECHNICAL SCOPE**

(Include a 1-2 sentence concise summary of the project's scope—what is being constructed or fabricated?)

## **3. FEDERAL PROJECT DIRECTOR'S ASSESSMENT**

(Concise, one paragraph summary.)

## **4. PROGRESS**

- (Briefly describe project's progress since last month's reporting. What does Acquisition Executive and Pat Dehmer need to know?)

## **5. ISSUES AND RISKS**

- (Focus on major/high-level issues that could potentially affect the technical/cost/schedule of the project. What does Acquisition Executive and Pat Dehmer need to know? Are the issues being addressed and how?)

## **6. ACTION ITEMS / DECISIONS / UPCOMING EVENTS:**

- (Bulleted list of activities with due dates.)