



**Department of Energy**  
Office of Science  
Washington, DC 20585

September 23, 2021

Dr. Chi-Chang Kao  
Director  
SLAC National Accelerator Facility  
2575 Sand Hill Road  
Menlo Park, California 94025

Dear Dr. Kao:

It is a pleasure to inform you that Stanford University (SU) at the Department of Energy (DOE) SLAC National Accelerator Laboratory (SLAC) has successfully completed the DOE Earned Value Management System (EVMS) Acceptance Review process. As a result of the independent surveillance review conducted and the corrective actions taken by SU SLAC, it has been determined that the EVMS continues to meet the requirements of the Electrical Industries Alliance (EIA)-748.

To verify EVMS compliance, an independent surveillance/EVMS acceptance review was conducted at SLAC on April 27-29, 2021, to determine if the SU SLAC EVMS met the EIA requirements.

During the review, the surveillance committee identified three Corrective Action Requests (CARs) and ten Continuous Improvement Opportunities (CIO/CIO\*), including:

*Corrective Action Requests (CAR)—Non-compliance of the ANSI Standard or the System Description. Requires a corrective action.*

- CAR-01 Maximum Activity Duration without Quantifiable Backup Data (QBD) does not meet the intent EIA-748 and Office of Science (SC) accepted guidance. (Guideline 7, 8, and 10)
- CAR-02 Work Authorization Documents (WADs) and Work Breakdown Structure (WBS) Dictionary not consistent with the intent of guidelines. (Guideline 28 and 32)
- CAR-03 Contractor Performance Reports (CPR) for LCLS-II and LCLS-II-HE show Estimate at Completion (EAC)=Baseline at Completion (BAC) with no Variance at Completion (VAC), despite documented variances that are stated to continue. (Guideline 27)

*Continuous Improvement Opportunities\* (CIO\*)—A violation corrected during the review, is non-systematic, or found to be significant. Requires a corrective action.*

- CIO\*-01 Strengthen Quality and Integrity Validation to Ensure Compliance with Procedural Guidance and Intent. (Guideline 6 and 8)
- CIO\*-02 Variance Analysis Report (VAR) signatures were not dated. Guidance states that “analysis must be accomplished on a regular, periodic basis”, which cannot be verified with the undated documents provided by LCLS-II and LCLS-II-HE. (Guideline 22)
- CIO\*-03 Variance thresholds are not identified in the LCLS-II-HE Project Management Plan (PMP). Variance thresholds must be identified in PMP per the System Description, section 2.3.3 Variance Thresholds.
- CIO\*-04 Freeze Period Implementation—review and revise, as applicable, the definition of the freeze period for Baseline Change Request (BCR) implementation. Review and validate that projects are complying with the intent of the freeze period. (Guideline 30, SC Guidance)

*Continuous Improvement Opportunities (CIOs)—Enhancements, observations or other suggested improvements. No corrective action required.*

- CIO-01 The Change Control Board (CCB) log does not tie to the CPR (LCLS-II only; missing WBS 1.09).
- CIO-02 Track Management Reserve in CCB log for consistency (LCLS-II only). (Guideline 14)
- CIO-03 Suggest BCR attachments include entire project data impact (LCLS-II only). (Guideline 29)
- CIO-04 Rebaseline scope/cost/schedule is not clearly defined in the WAD—add attachment to WAD.
- CIO-05 Socialize monthly business process calendar—include standing corrective action review meeting. (Guideline 26)
- CIO-06 Date the actual cost uploaded to Cobra against standard reports from the accounting system. (Guideline 16)

SU SLAC provided a Corrective Action Plan dated August 2021 to address the CAR and CIOs/ CIO\*s. The actions undertaken by SU SLAC in the Corrective Action Plan are acceptable.

OPA urges you to continue to maintain the high level of compliance that your staff demonstrated to the EVMS surveillance committee during the on-site review and CAR resolution process to ensure continuing EIA compliance and valid EVMS certification.

Sincerely,

Kurt W. Fisher  
Director  
Office of Project Assessment

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