



Department of Energy
Office of Science
Washington, DC 20585

April 19, 2023

Mr. Jeff Smith
Interim Director
Oak Ridge National Laboratory
Bethel Valley Road
Oak Ridge, Tennessee 37830

Dear Mr. Smith:

It is a pleasure to inform you that the University of Tennessee-Battelle (UT-Battelle) at the Department of Energy (DOE) Oak Ridge National Laboratory (ORNL) 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 ORNL, 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 ORNL during July 2022. Three projects were selected for participation at this surveillance review: the Proton Power Upgrade (PPU) project, the Translational Research Capability (TRC) project, and the Material Plasma Exposure eXperiment (MPEX).

During the review, the surveillance committee identified seven Corrective Action Requests (CARs) and twelve Continuous Improvement Opportunities (CIO/CIO*). CIO*s are not strict requirements but would improve the EVMS system and require a corrective action plan.

Corrective Action Requests (CARs)

- CAR-01 Work Authorization Document (WAD) discrepancies and inconsistencies (Guideline or GL 03 and GL 05)
- CAR-02 Updates to the MPEX current schedule are required for better traceability (GL 06)
- CAR-03 Quantifiable Backup Data (QBD) are not well understood, utilized, or documented by Control Account Managers on MPEX and TRC (GL 07)

- CAR-04 Ensure actual costs and performance are recorded in the same accounting period (GL 16 and GL 21)
- CAR-05 Estimate to Complete adjustments (GL 27)
- CAR-06 Differing Estimate at Completion values—Formats 1, 5 (GL 27)
- CAR-07 Project Change Request (PCR) signatures and subsequent WAD updates (GL 31)

Continuous Improvement Opportunities (CIOs and CIO)*

- CIO*-01 Major Subcontractors not included in project organization chart (GL 02)
- CIO*-02 Earned value documentation inconsistencies (GL 03)
- CIO*-03 Inconsistent implementation of roles and responsibilities (GL 02)
- CIO*-04 Responsibility Assignment Matrix assigned values (GL 09)
- CIO*-05 Mixing level of effort with discreet activities (GL 12)
- CIO*-06 Undocumented changes to baseline (GL 29 and GL 31)
- CIO*-07 Project change logs (GL 28)
- CIO-08 Inconsistent numbering and labeling in system description (GL 03)
- CIO-09 Presenting schedule information (GL 11)
- CIO-10 System description section 4.1.3, Cost Code Structure, is unclear (GL 17)
- CIO-11 Record costs in a formal system controlled by the general books of account (GL 16)
- CIO-12 TRC Baseline Change Proposal 14 freeze period changes (GL 30)

ORNL provided a Corrective Action Plan to address the CARs, CIOs, and CIOs*. The actions proposed and undertaken by UT-Batelle and ORNL 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 review team during the on-site review and CAP resolution process to ensure continuing EIA compliance and valid EVMS certification.

Sincerely,

Kurt W. Fisher
 Director
 Office of Project Assessment

cc:

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