

U.S. Department of Energy
Washington, D.C.

ORDER

DOE 4700. 4

1-27-93

SUBJECT: PROJECT MANAGER CERTIFICATION

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1. PURPOSE. To establish certification requirements for Department of Energy (DOE) project managers at identifiable skill levels and to encourage development of project managers.
 2. REFERENCES.
 - a. DOE 3410.1B, TRAINING, of 2-29-88, which assigns responsibilities to authorize training assignments for Departmental employees.
 - b. DOE 4240.1K, DESIGNATION OF MAJOR SYSTEM ACQUISITIONS AND MAJOR PROJECTS, of 6-23-92, which lists DOE projects which have been designated as major system acquisitions and major projects.
 - c. DOE 4700.1, PROJECT MANAGEMENT SYSTEM, of 3-6-87, which establishes the DOE project management system.
 - d. DOE 3335.1C, MERIT PROMOTION, of 6-23-92, which provides guidance for promotion and placement of DOE employees in the competitive service and for the development and implementation of local promotion plans.
 - e. Executive Order (EO) 12344, Naval Nuclear Propulsion Program, of 2-1-82, which establishes the policies, organization, and administrative procedures for the Program.
 3. DEFINITIONS.
 - a. Acquisition Executive (AE). As defined in DOE 4700.1, the individual designated by the Secretary to integrate and unify the project management system and to monitor implementation of prescribed policies and practices. Approves the initiation of a Major System Acquisition (MSA), or a selected Major Project (MP), and its transition through phases of the acquisition process and other sub-phases involving major commitments; selects, from among competing systems, those that are to be advanced to development, demonstration and production/operations; and authorizes development of a noncompetitive (single concept) system. While the AE will approve selected MPs, significant decisions on MPs are typically made by the cognizant Program Secretarial Officers (PSOs).
 - b. Certification. Written statement attesting that an individual selected to manage a specific project has met recommended criteria.
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Office of Procurement, Assistance
and Program Management

- c. Conditional Waiver. A conditional waiver will be granted when the best qualified candidate needs additional education, training or experience as outlined in an IDP. The conditional waiver will allow the project manager to manage the project while completing additional recommended criteria. The conditional waiver will be effective for the time period outlined in the IDP, usually 1 year. After completion of the IDP, the documentation package shall be resubmitted for the approval process and full certification will be granted if recommended criteria are met. If additional time is required to meet recommended criteria, another IDP may be developed and a conditional waiver granted for the outlined time period. The conditional waiver is intended to be a temporary measure, used only until criteria in the IDP have been satisfied.
- d. Individual Development Plan (IDP). An IDP is an individually tailored plan established between the supervisor and employee to enhance qualifications, further develop skills of employees or correct deficiencies to meet recommended criteria for certification. IDPs are required for candidates granted a conditional waiver.
- e. Major Project (MP). As designated in DOE 4240.1K, generally projects with Total Project Cost (TPC) or annual FY appropriations of the project of \$50 Million (M) or greater but less than \$100M; importance of the project-to-program objectives; size and complexity of the project; degree of DOE control required; visibility of the project; potential severity of environmental impact; clarity and stability of the project; and recommendation by the PS0.
- f. Major System Acquisition (MSA). Those projects of national urgency, importance, size, complexity, or of high dollar value having a total project cost or annual FY appropriations of \$100M or greater, or are recommended by PS0s. Current MSAs are designated in DOE 4240.1K.
- g. Other Project (OP). Those projects having a total project cost below \$50M including line-item and General Plant Projects (GPPs).
- h. Program/Project Management Advisory Council. A group of senior level Departmental managers from Field, Program and Headquarters staff offices chaired by the Associate Director for Program/Project Management and Control (PR-20), who meet annually or as needed to advise PR-20 on changes and improvements in DOE's project management program.
- i. Program Manager. As defined in DOE 4700.1, an individual in an organization or activity who is responsible for the management of a specific function or functions, who is responsible for budget formulation, and for execution of the approved budget. The Program Manager receives an approved funding program from the Chief Financial Officer identifying program dollars available to accomplish assigned functions.

- j. Program Secretarial Officer (PSO). As defined in DOE 4700.1, a senior outlay program official which includes the Assistant Secretaries for Conservation and Renewable Energy (CE), Defense Programs (DP), Fossil Energy (FE), Nuclear Energy (NE), Environmental Restoration and Waste Management (EM) and the Directors of Energy Research (ER) and Civilian Radioactive Waste Management (RW).
 - k. Project Manager. As defined in DOE 4700.1, an official who has been assigned responsibility for accomplishing a specifically designated unit of work effort or group of closely related efforts established to achieve stated or designated objectives, defined tasks, or other units of related effort on a schedule for performing the stated work funded as part of the project. The project manager is responsible for the planning, controlling, and reporting of the project.
 - l. Project Manager Development Program (PMDP). The PMDP is an ongoing training and development program designed to develop all levels of project managers.
4. BACKGROUND. A memorandum to the Office of Procurement, Assistance and Program Management of May 23, 1991, from the Secretary described the "Financial and Project Management Improvement Program" designed to establish a sound business management culture and proactively resolve financial and project management problems. The fourth initiative of this program tasks the Director of Procurement, Assistance and Program Management to "Improve the Department's training courses for project managers and add a certification program so that all project managers are qualified at an identifiable skill level."
5. APPLICABILITY.
- a. This Order addresses only certification and development of DOE project managers for Major System Acquisitions (MSAs) and Major Projects (MPs). Certification criteria for other projects will be determined by the DOE Field Office Manager. This Order does not change existing reporting relationships or establish new ones.
 - b. In accordance with Section 302 of the Department of Energy Organization Act (Public Law 95-91), the Secretary of Energy operates and maintains the Power Marketing Administration (PMA) electric power transmission systems by and through the PMA Administrators. The PMAs have project and program management processes and procedures in place which are geared to the special needs of utility operations, and are responsive to coordinated multi-utility system requirements, and are in conformance with prudent utility practice. In view of the unique nature of the Administrators' obligations to meet their statutory and public utility responsibilities for the safety, security, and reliability of electric power transmission and of their legal and contractual obligations, the Administrators shall determine the appropriate

project manager certification program for their facilities, which will include consideration of appropriate parts of the criteria set forth by this Order.

- c. This Order does not apply to facilities and activities covered under Executive Order 12344.

6. POLICY.

- a. DOE policy requires that personnel assigned as project managers demonstrate technical and managerial competencies commensurate with the magnitude and technical, schedule, and financial risk associated with the project managed.
- b. It is DOE policy to ensure development and retention of project management skills in the Department, as set forth by this Order, by encouraging training of DOE project management personnel through planning for career development.
- c. It is DOE policy to require all project managers for MSAs and MPs to have certifications with or without a conditional waiver no later than Key Decision 1 - Approval of New Start. Conditional waivers will be signed by the Acquisition Executive (AE), with Program Secretarial Officer (PSO) concurrence, for MSAs; and signed by the PSO for MPs.
- d. Any actions taken as a result of this Order shall be in compliance with existing personnel regulations, policies, and procedures.

7. RESPONSIBILITIES.

- a. Managers of DOE Field Offices shall:

- (1) Submit to the responsible PSO documentation that identifies project manager candidates for each MSA or MP; how each candidate meets the project and recommended professional qualifications for certification (using the Project Manager Certification Record, Attachment 2); percentage of time MP candidates will have available to dedicate to the project; verification of full-time status for MSA candidates; and a recommendation for selection. The documentation package shall identify any criteria not fully satisfied by the candidate. An IDP shall be developed for candidates requiring a conditional waiver and shall also be included in the documentation package. Field Office Managers shall consider candidates from all sources and select proposed managers based upon assessment of the specific technical, organizational, legal, regulatory, contractual, budgetary, and management challenges involved in each project.
- (2) Prepare request for certification with conditional waivers and Individual Development Plans (IDPs) for project managers

lacking certain recommended criteria deemed important. IDPs shall develop skills necessary to correct these identified missing professional qualifications.

- (3) Establish criteria for evaluation and procedures for certification for project managers of Other Projects (OPs).
- (4) Certify project managers for OPs.
- (5) Prepare and implement a Project Manager Development Program (PMDP) for the DOE Field Office.
- (6) Establish performance standards for all project managers that evaluate objectively the performance of the designated project in meeting cost, schedule, and technical baselines; or allow for the proactive actions of the project manager to accomplish meeting baselines. Performance standards shall also include those recommended criteria outlined in Attachment 1.

b. Program Secretarial Officers shall:

- (1) Send documentation package to the Director of Procurement, Assistance and Program Management (PR-1), for review of format and supporting documentation.
- (2) Require a review of recommendations from the DOE Field Office Managers by staff having appropriate project management experience.
- (3) Endorse MSA project manager candidates for certification after obtaining PR-1 concurrence, and submit to the AE.
- (4) Certify project managers for MPs after obtaining PR-1 concurrence.
- (5) Forward a copy of all MP certification documentation to PR-20 for information.
- (6) Sign certifications with conditional waivers for MP project manager candidates lacking specific recommended criteria. Review IDPs and monitor progress of project manager in overcoming deficiencies.
- (7) Approve PMDPs.

c. Acquisition Executive shall:

- (1) Review recommendations and certify project managers for MSAs.
- (2) Sign certifications with conditional waivers for MSA project manager candidates lacking specific recommended criteria.

Review IDPs and monitor progress of project manager in achieving IDP objectives.

d. Director of Procurement, Assistance and Program Management (PR-1) shall:

- (1) Establish the policy and procedures and take action necessary to assure compliance to this Order.
- (2) Monitor the implementation of, and adherence to, the provisions of this Order.
- (3) Review adequacy and consistency of project manager documentation packages submitted by the PSOs.
- (4) Review documentation packages, including conditional waivers and IDPs, and for adequacy and consistency and return to PSO for endorsement of MSA candidates and certification of MP candidates.
- (5) With the Office of Personnel (AD-50) and the Office of Professional and Technical Training and Development (AD-70), review the IDPs to determine individual and/or program training requirements.
- (6) Develop and maintain the content of project management training courses in conjunction with AD-70.
- (7) Maintain a file of certified project managers.

e. Program/Project Management Advisory Council shall:

- (1) Provide advice and recommendations to PR-20 on the project manager certification program and assist PR-20 in the assessment of program effectiveness.
- (2) Utilize the Program/Project Management Advisory Council Subcommittee on Project Manager Certification to draft policies, develop procedures, oversee training and advise the Program/Project Management Advisory Council.

f. Director of Administration and Management (AD-1) shall:

- (1) Develop the training curriculum to meet requirements defined by PR-1, PSOs, and DOE Field Office Managers.
- (2) Review IDPs with PR-1 to determine training needs.

8. CRITERIA FOR CERTIFICATION.

a. Criteria for MSAs and MPs.

- (1) Recommended Criteria. Project managers for MSAs and MPs should meet recommended criteria for education, experience, training and performance/managerial skills as outlined in Attachment 1.
- (2) Candidate Evaluation. In evaluating candidates for positions as project manager of MSAs and MPs, the DOE Field Office Manager should use the criteria established in Attachment 1, in addition to any project specific criteria which may be established.
- (3) Certification with Conditional Waiver. In addition to full certification where the candidate meets all of the criteria for certification, a project manager may be certified with a conditional waiver. A candidate may have the potential for full certification but may lack specific education, training or experience. Such a candidate may be certified with a conditional waiver. Additional requirements for full certification are detailed in an IDP designed to correct deficiencies.

b. Criteria for Other Projects. DOE Field Office Managers shall establish criteria for evaluation and procedures for certification of project managers for OPs. The DOE Field Office OP criteria should establish a career development plan for project managers to progress to MSA and MP certification as they develop.

9. PROCEDURES AND RESPONSIBILITIES FOR CERTIFICATION.

- a. Expiration of Certification. Certification of a project manager is specific to an individual MSA or MP. The certification expires upon completion of the project or when the project manager leaves the position. Although certification is specific to a particular project, once certified a project manager retains qualification for certification at the highest skill level certified. The skill level will be a combination of project size (MSA or MP) and project type (nuclear, non-nuclear, environmental restoration, etc.).
- b. Procedures for Certifying Project Managers. The DOE Field Office Manager may develop additional criteria for evaluation and selection of project managers in addition to the recommended criteria outlined in Attachment 1. The documentation package shall identify any criteria not fully satisfied by the candidate. The skills of the candidate recommended for certification will be documented in a Project Manager Certification Record, Attachment 2. Analysis of how each criteria is met will also be documented.
- c. Certification with Conditional Waiver. A request for certification with a conditional waiver must be fully documented. The request

should address any proposed limitations and/or internal controls which will be used to ensure that the project manager gains necessary education, training, or experience needed. An IDP will be developed to assure that the project manager receives the necessary education, training, or experience needed to perform duties at an acceptable level. A conditional waiver should be requested only when areas of deficiency will have no significant impact on the project being assigned.

- d. Approval of Certification. The DOE Field Office Manager will sign the documentation package and forward it to the appropriate PSO for disposition. The PSO will forward the package to PR-1 who will perform a review for adequacy and consistency. Upon completion of review from PR-1, the PSO will review the package and endorse and forward to the AE for approval for MSAs, or approve for MPs.
 - e. Certificate. Upon full certification or certification with a conditional waiver, a certificate (Attachment 3) will be issued to the project manager.
 - f. Filing. A copy of the certification documentation shall be provided by the PSO to PR-20 for information. Copies shall also remain in the Official Personnel File (OPF).
 - g. Review of IDPs. The DOE Field Office Manager will forward IDPs for annual review to PSOs for MPs and the AE for MSAs. The PSO or AE will determine if the project manager has gained adequate education and/or experience to meet the recommended criteria; if so, a new documentation package will be submitted for the approval process and the project manager may become fully certified.
 - h. Projects That Do Not Report Through a DOE Field Office Manager. In addition to assigned responsibilities, the PSO shall assume the responsibilities of the DOE Field Office Manager in recommendation of project managers, requests for certification with a conditional waiver, and preparing IDPs related to projects that are controlled by Headquarters or special project officers. Projects reporting directly to the Secretary will be dealt with on a case-by-case basis.
10. PROJECT MANAGER DEVELOPMENT PROGRAM. The purpose of the PMDP is to develop a cadre of project management professionals within the Department to accept project management assignments at increasing levels of responsibility. Each DOE Field Office Manager should develop and implement a PMDP consistent with this Order, DOE 3410.1B, DOE 3335.1C and the needs of the DOE Field Office. The PMDP should provide in a clear and consistent way the means for competitively selecting candidates to obtain the education, experience, training, rotational

assignments and opportunity to demonstrate superior performance recommended to manage projects of increasing size, complexity and responsibility. Cognizant PSOs shall approve PMDPs.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI
Director of Administration
and Management

RECOMMENDED CRITERIA FOR CERTIFICATION OF PROJECT MANAGERS

Major System Acquisitions

Major Projects

A. Education

A baccalaureate degree in a technical, scientific, or business management field. A master's degree or additional post graduate work is highly desirable, with particular emphasis on programs that provide business and technical knowledge and skills.

A. Education

A baccalaureate degree in a technical, scientific or business management field.

B. Applicable Experience

1. Eight years of experience in engineering/project management. Experience as project manager, deputy project manager, or project engineer of an MSA or comparable project is highly desirable. The quality, range and breadth of experience in project management will be evaluated.
2. At least 6 months of experience in a project management related functional organization or an assignment at DOE Field Office, DOE Headquarters, or equivalent experience outside DOE in a program management position.
3. Specific subject matter knowledge and experience for projects requiring specialized expertise.

B. Applicable Experience

1. Four years of experience in engineering/project management. Experience as project manager, deputy project manager, or project engineer is desirable. The quality, range and breadth of experience in project management will be evaluated.
2. At least 6 months of experience in a project management related functional organization or an assignment at DOE Field Office, DOE Headquarters, or equivalent experience outside DOE in a program management position is desirable.
3. Specific subject matter knowledge and experience for projects requiring specialized expertise.

Major System Acquisitions

Major Projects

C. Training

1. Completion of the DOE Project Planning and Management Core Overview Program or equivalent; ES&H compliance, project control systems, and contracting officer representative duties.
2. Successful completion of 80 hours of supervisory training.
3. Successful completion of an additional 160 hours of project management skills training courses.

D. Performance/Managerial Skills

1. Demonstration of successful performance in project management through either fully satisfactory or higher performance rating(s), awards, project completion within cost and schedule, completion of critical milestones and/or other similar performance indicators.
2. Demonstration of, or potential for, successful performance in the following managerial skills: supervision, organization/management, decisionmaking, communication, personal characteristics, affirmative action, and leadership. See following page for detailed definition of these areas.

C. Training

1. Completion of the DOE Project Planning and Management Core Overview Program or equivalent; ES&H compliance, project control systems, and contracting officer representative duties.
2. Successful completion of 40 hours of supervisory training.
3. Successful completion of an additional 80 hours of project management skills training courses.

D. Performance/Managerial Skills

1. Demonstration of successful performance in project management through either fully satisfactory or higher performance rating(s), awards, project completion within cost and schedule, completion of critical milestones and/or other similar performance indicators.
2. Demonstration of, or potential for, successful performance in the following managerial skills: supervision, organization/management, decisionmaking, communication, personal characteristics, affirmative action, and leadership. See following page for detailed definition of these areas.

MANAGERIAL SKILLS

1. SUPERVISION. Consider demonstrated or potential ability to define assignments and projects clearly; plan and carry out assignments effectively; delegate authority and responsibility and work with and through others effectively; instruct, guide and review the work of others effectively; establish and maintain high standards of quality and quantity for the work produced; be fair and objective in dealings with and judgments of subordinates; utilize sound personnel management concepts in dealing with employees and contractor staff, both individually and in groups; motivate, train, develop, guide employees and contractor staff of varied backgrounds and skill levels effectively; direct the work of a diverse workforce and possess sensitivity to cultural differences.
2. ORGANIZATION/MANAGEMENT. Consider demonstrated or potential ability to devise organizational plans and procedures; establish program objectives or performance goals and assess progress toward their achievement; adjust work activities and schedules to meet emergency conditions or unanticipated requirements; understand, interpret, and gain support for management goals and objectives; develop methods and procedures; coordinate and integrate the work of subordinate employees or organizational segments effectively; resolve organizational, management, personnel, and technical problems.
3. DECISIONMAKING. Consider demonstrated or potential ability to absorb new facts and concepts quickly; analyze complex issues or problems thoroughly and quickly; keep organizational objectives in mind; assess the advantages and disadvantages of alternative plans or courses of action; make sound decisions, e.g., based on past experience, present effort, and future outcome; accept responsibility.
4. COMMUNICATION. Consider demonstrated or potential ability to communicate effectively with management, employees, contractor staff, and (where appropriate) employee groups; foster an attitude of responsive service to the public; be skilled in oral and written communications; maintain poise, handle controversial or delicate matters skillfully; persuade others to consider and accept his/her position or point of view; communicate effectively with individuals or groups with different backgrounds, aims, and interests; demonstrate skills in communicating with groups and individuals, both orally and in writing.
5. PERSONAL CHARACTERISTICS. Consider demonstrated or potential ability to adjust to change, work pressure, or difficult situations without undue stress; be able and willing to judge people and situations on the facts; consider new ideas or divergent points of view; have a positive outlook toward the work and the employing organizations; have confidence in his/her own ability; have the courage of his/her convictions; demonstrate ability to develop and maintain good working relationships with persons holding differing professional opinions.

6. AFFIRMATIVE ACTION. Consider demonstrated or potential ability to understand and support the Equal Opportunity Program; increase women, minorities, and persons with disabilities into the applicant flow; participate in recruiting programs; use position management techniques and special employment and training programs to improve placement prospects for women, minorities, and persons with disabilities; maintain a working environment free of discrimination and sexual harassment.
7. LEADERSHIP. Consider demonstrated or potential ability to listen with understanding; discuss problems and facilitate problem solving; use a team approach, facilitate cooperation; delegate authority; support and help while avoiding overly close supervision; communicate openly and honestly; resolve conflicts; foster and maintain enthusiasm; initiate contacts.

PROJECT MANAGER CERTIFICATION RECORD (SAMPLE FORMAT)

PROJECT MANAGER CERTIFICATION RECORD

Name: **Smith, Joe J.** Office: **SR** Supvr: **Alexander, John**
Phone: **918-555-9545** Routing: **EEM** Phone: **918-555-9999**
Service Comp: **01/01/72** Date Filed: **5/1/91** Cert. Issued: **Full, or
Certification
with Conditional
Waiver**

Project Title: _____ (Title)

EDUCATION/TRAINING:

High School: **Y** Yrs College if No Degree: **0** Attended DOE Project
Under Grad: **Y** Undergraduate Degree: **BSEE** Management Core
Grad Degree: **N** Graduate Degree: **None** Training PMC10?: **Y**

Required Training:	Hours:	Other Education/Training:	Hours:
1 Supervisory Skills	80	1 (Title or Description)	4
2 ES&H Compliance	0	2 (Title or Description)	3
3 Project Control Systems	0	3 (Title or Description)	0
4 Contracting Officer Rep.	0	4 (Title or Description)	0
5 (Title or Description)	0	5 (Title or Description)	0
6 (Title or Description)	0	6 (Title or Description)	0

Analysis:

EXPERIENCE

(Experience counts towards only one of the following categories at any time)

	Strt. Date:	End Date:	Description:
Specialist:	mm/yy	mm/yy	(Project type and \$)
Proj. Engineer:	mm/yy	mm/yy	(Project type and \$)
Supervisor:	mm/yy	mm/yy	(Project type and \$)
Manager:	mm/yy	mm/yy	(Project type and \$)
PM (<\$50M):	mm/yy	mm/yy	(Project type and \$)
AsstPM (MP/MSA):	mm/yy	mm/yy	(Project type and \$)
PM (MP/MSA):	mm/yy	mm/yy	(Project type and \$)
Rotation Assign:	mm/yy	mm/yy	(Project type and \$)

Analysis:

PROJECT SPECIFIC CRITERIA:

Describe specific subject matter knowledge and experience for projects requiring specialized expertise.

PROJECT MANAGER CERTIFICATION RECORD (SAMPLE FORMAT)

PROJECT MANAGER CERTIFICATION RECORD

Name: **Smith, Joe J.**

CURRENT ASSIGNMENTS

Number General Plant Projects and/or Other Projects: xx
Combined Total Project Cost: \$x, xxx, xxx K

	Funded Yr	TPC(\$M)	Description:
MP/MSA 1:	yy	xx, xxx	(Description of MP/MSA)
MP/MSA 2:	yy	xx, xxx	(Description of MP/MSA)
MP/MSA 3:	yy	xx, xxx	(Description of MP/MSA)
MP/MSA 4:	yy	xx, xxx	(Description of MP/MSA)

PERFORMANCE/MANAGERIAL SKILLS:

	1986	1987	1988	1989	1990	1991
FS Rating:	x	x	x	x	x	x
HS Rating:	x	x	x	x	x	x
OS Rating:	x	x	x	x	x	x

	Year	Description:
Award:	yy	(Description of Award)
Projects*:	yy	(Description of Projects)
Milestones*:	yy	(Description of Milestones)

* Completed on time and within budget

Analysis:

Describe the candidate's demonstrated or potential performance in the following managerial skills.

Supervision:

Organization/Management:

Decisionmaking:

Communication:

Personal Characteristics:

Affirmative Action:

Leadership:

PROJECT MANAGER CERTIFICATION RECORD (SAMPLE FORMAT)

PROJECT MANAGER CERTIFICATION RECORD

Name: **Smith, Joe J.**

RECOMMENDATION:

☐

Full Certification

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Certification with Conditional Waiver

Describe in detail any recommended criteria not fully satisfied by the candidate. For a conditional waiver, describe criteria to be waived and include these criteria in an attached IDP.

RECOMMENDATION FOR CERTIFICATION:

Recommended:

_____	Field Office Manager	_____
Signature	Title	Date

Concurred (After receipt
and review by PSO):

_____	Director, Office of Procurement, Assistance and Program Management (PR-1)	_____
Signature	Title	Date

Endorsed (MSA)/Approved (MP):

_____	Program Secretarial Officer	_____
Signature	Title	Date

Approved (MSA only):

_____	Acquisition Executive	_____
Signature	Title	Date

PROJECT MANAGER CERTIFICATE (SAMPLE FORMAT)

U.S. Department of Energy Project Manager Certification



*Having met recommended criteria in the areas of Education,
Experience, Training, and Performance/Managerial Skills,
the Department of Energy hereby certifies*

Joe Doe

as a Project Manager for

Issued by:

*John Q. Smith,
(Certifying Official)*

Date