

**SUBJECT: LIMITED CHANGE TO DOE O 413.3B, *PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS***

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1. EXPLANATION OF CHANGES. In an August 18, 2022 memorandum from the Deputy Secretary on Project Management Policy Update - Root Cause Analysis and Corrective Action Plans, and Construction Design Threshold Increase (EXEC-2022-003982), the Office of Project Management (PM) was directed to begin revising DOE Order 413.3B to incorporate changes within 30 days of that memorandum being signed. Accordingly, in a September 6, 2022, memorandum, PM initiated with the Directives Review Board a Fast Track revision in accord with DOE Order 251.ID, Appendix A, Section 1.d.(2) for the following Deputy Secretarial directed changes:

- Update requirements for corrective action plans tied to root cause analyses when a project's performance baseline is breached as noted in the August 18, 2022, memo.
- Update the thresholds for construction design and minor construction for general plant projects as noted in the August 18, 2022, memo.
- Incorporate sustainability design requirements noted in an April 5, 2022, memo from the Deputy Secretary on Climate Adaptation, Resilience and Sustainability in Project Management (EXEC-2022-00972).
- Update organizational names noted in the April 5, 2022, memo, and any new changes.
- Incorporate requirements defined in the Deputy Secretary memo of September 18, 2020, (EXEC-2019-006959) which directed that project management lessons learned be entered into the DOE OPEXShare repository, and for collection of any lessons learned following each annual project peer review.
- To specify that Energy Savings Performance Contracts (ESPCs) are not required to follow the project management requirements outlined in DOE Order 413.3B as stated in the Under Secretary of Energy's memorandum dated September 13, 2016 (EXEC-2016-002328).

2. LOCATIONS OF CHANGES:

Page	Paragraph	Changed	To
2	3a	"The principles (see Appendix C, Paragraph 1.a.-1.) as set forth in this Order apply to all capital asset projects. They also apply to General Plant Projects (GPPs) for which the approved total estimated cost does not exceed the minor construction threshold, using a tailored approach."	"The Project Management Principles [see Appendix C, Paragraph 1] as set forth in this Order apply using a tailored approach to all capital asset projects \$50M and below inclusive of minor construction projects [also referred to as General Plant Projects (GPPs)]1."
2	3a	"This Order does not apply to Financial Assistance Awards (grants and cooperative agreements) covered under	"This Order does not apply to Financial Assistance Awards (grants and cooperative agreements) covered

Page	Paragraph	Changed	To
		2 CFR Parts 200 and 910 and 10 CFR Part 600 (legacy awards).”	under 2 CFR Parts 200 and 910 and 10 CFR Part 600 (legacy awards), or to Energy Savings Performance Contracts (ESPCs) as referenced in 48 CFR 23.205.”
A-6	4b		Added “Lessons learned shall be captured by the Program in consultation with the FPD during this reassessment of a selected alternative and entered into the DOE lessons learned system of record, currently known as DOE OPEXShare, as described in DOE 210.2 (current version).”
A-7	4b (Table 2.1)	“Document Guiding Principles for Federal Leadership in High Performance and Sustainable Building provisions per EO 13693, Section 3(h), support for the Site or Strategic Sustainability Plan(s) per DOE O 436.1 and/or other sustainability considerations planned in the Conceptual Design Report, Acquisition Strategy, and/or PEP, as appropriate. (Refer to DOE G 413.3-6A.)”	“Incorporate and document compliance with climate adaptation, resilience, and sustainability requirements (refer to Appendix C, Paragraph 5.), support for the Site Sustainability Plan(s) per DOE O 436.1 (current version) and/or other high performance and sustainable building considerations (refer to DOE G 413.3-6, current version, and Guiding Principles for Sustainable Federal Building) in the PEP, Conceptual Design Report and Acquisition Strategy as appropriate.”
A-8 A-12 A-15 D-12	4b (Table 2.1) 4c(1) (Table 2.2) 4d (Table 2.3) VII(B) (Table 4)		Added “Individuals leading project peer reviews, or other reviews intended to meet the project peer review requirements in this Order, shall elicit lessons learned with potential Department-wide implications and submit them into DOE lessons learned system of record, as described in DOE O 210.2 (current version).”
A-10 A-13	4c(1) (Table 2.2) 4d (Table 2.3)	“Incorporate the Guiding Principles for Federal Leadership in High Performance and Sustainable Buildings per EO 13693, Section 3(h), sustainability requirements per DOE O 436.1, and/or other sustainability considerations into the preliminary design and design review. (Refer to DOE G 413.3-6A.)”	“Incorporate and document compliance with climate adaptation, resilience, and sustainability requirements (refer to Appendix C, Paragraph 5.), support for the Site Sustainability Plan(s) per DOE O 436.1 (current version), and/or other high performance and sustainable building considerations (refer to DOE G 413.3-6, current version and Guiding Principles for Sustainable Federal Buildings) in the PEP, preliminary and/or final designs, and design review reports as appropriate.”
A-14	4d (Table 2.3)	“Within 90 days, submit Lessons Learned regarding up-front project planning and design to PSO and PM”	“Within 90 days, submit Lessons Learned not previously recognized regarding up front project planning and design into the DOE lessons learned system of record, as described

Page	Paragraph	Changed	To
			in DOE O 210.2 (current version) for projects with a TPC > \$100M.”
A-16	4e (Table 2.4)	“Within 90 days, submit Lessons Learned regarding project execution and facility start-up to PSO and PM.	“Within 90 days, submit Lessons Learned not previously recognized regarding project execution and facility start-up into the DOE lessons learned system of record, as described in DOE O 210.2 (current version).”
A-17	4f (Table 2.5)	“Complete and document achievement of Facility Sustainment goals (e.g., LEED Gold, LEED Silver, etc.), as applicable, via an independent third-party entity within one year of facility occupancy in accordance with EO 13693, Section 3(h), EO 13514, Section 3, and DOE O 436.1.”	“Complete and document achievement of climate adaptation, resilience, and sustainability requirements (refer to Appendix C, Paragraph 5.), support for the Site Sustainability Plan(s) per DOE O 436.1 (current version), and/or other high performance and sustainable building considerations (refer to DOE G 413.3 6, current version, and Guiding Principles for Sustainable Federal Buildings) which were documented in the PEP, as applicable.”
A-20 D-15	6a IX.A		Added “A formal corrective action plan shall be developed by the Program Office to address root causes resulting in a project performance baseline deviation. The corrective action plan shall be submitted to the PME for approval, and along with the root cause analysis, inform the PME’s decision during the BCP approval process.”
A-20	6a		Added “During the performance baseline change process, PM shall assess and validate, via an external independent review and/or independent cost review, as appropriate, the extent and effectiveness to which corrective actions have been taken to address and resolve the identified root causes.  Following approval of a project performance BCP, PM, as a review team participant or observer on project peer reviews, when necessary and as appropriate, shall independently assess the effectiveness of approved corrective actions taken to address and resolve the identified root causes.”
A-23	7a(2)		Updated the membership section of the Energy Systems Acquisition Advisory Board (ESAAB), consistent with the new DOE organizational structure.

Page	Paragraph	Changed	To
A-28	7f(2)	“Director, Office of Project Management Oversight and Assessments,  Office of the Under Secretary of Energy (Executive Secretariat)	Director, Office of Project Management (Executive Secretariat)
A-28	7f(6)	“Deputy Director for Science Programs, Office of Science”	“Deputy Director for Operations, Office of Science”
B-3 and B-4	3		Added new responsibilities to Program Secretarial Officers and Deputy Administrators/Associate Administrators for NNSA, pertaining to measuring and reporting on activities to implement climate adaptation, resilience and sustainability requirements for applicable projects and ensuring the capture of lessons learned.
B-7 and B-8	8		Added new responsibilities to Federal Project Director pertaining to coordinating collaboration between site management and project teams to partner with local utilities, communities, Tribal, local and state governments and identifying, capturing and entering lessons learned.
B-11	14		Added new responsibilities to Office of Project Management pertaining to identifying and eliciting lessons learned.
B-13	18a(3)		Added new responsibility to PMGB pertaining to lessons learned.
C-1	1 (j)		Added “Adoption of practical measures to incorporate clean energy sources, climate adaptation, resilience and sustainability early in the design.”
C-4	5		Added new section pertaining to Climate Adaptation, Resilience and Sustainability.
C-9	8		Updated the threshold for construction design as stated in 50 U.S.C. 2746(b).
C-16	10e		Added “Implement EO 14057 Section 207 requirement that DOE/NNSA as an agency must annually divert from landfills at least 50 percent of non-hazardous solid waste, including food and compostable material, and construction and demolition waste and debris by fiscal year 2025; and 75 percent by fiscal year 2030.”
C-18 and C-19	14		Revised Lessons Learned Process section.

Page	Paragraph	Changed	To
C-20	19		Added “Starting at CD-1, Approve Alternative Selection and Cost Range, compliance with the climate adaptation, resilience, and sustainability requirements and considerations is to be documented in a separate section of the PEP.”
C-29	24		Added “Individuals leading project peer reviews, or other reviews intended to meet the project peer review requirements in this Order, will elicit lessons learned with potential Department-wide implications and enter them into the DOE lessons learned system of record, as described in DOE O 210.2 (current version) prior to completing their review reports.”
D-15 and D-16	IX.A		Added “A formal corrective action plan shall be developed by the Program Office to address root causes resulting in a project performance baseline deviation. The corrective action plan shall be submitted to the PME for approval, and along with the root cause analysis, inform the PME’s decision during the BCP approval process.”
D-16	IX.A		Added “During the performance baseline change process, PM shall assess and validate, as a member of the PMSO IPR, the extent and effectiveness to which corrective actions have been taken to address and resolve the identified root causes.  Following approval of a project performance BCP, PM, as a review team participant or observer on project peer reviews, when necessary and as appropriate, shall independently assess the effectiveness of approved corrective actions taken to address and resolve the identified root causes. The PMSO shall do likewise when PM is otherwise not available as a participant or observer.”
Attachment 1, page 5	15		Revised section to include Climate adaptation, resilience, and sustainability requirements and LEED Gold certification.
Attachment 1, page 5	17		Added “Contractors must identify, collect, capture, and enter lessons learned into the DOE lessons learned system of record, as described in DOE O 210.2 (current version). All department employees and contractors

Page	Paragraph	Changed	To
			may gain access to the lessons learned repository.”
Attachm ent 2	41, 56, 66,76, and 78		Added definition for Energy Savings Performance Contracts, High Performance and Sustainable Building, Leadership in Energy and Environmental Design, Minor Construction Project (replaced General Plant Project), and Net-Zero.
Attachm ent 2	67		Added “A good work practice or innovative approach that is captured and shared to promote repeat application or an adverse work practice or experience that is captured and shared to prevent recurrence.”
All	Entire Document	“PARS II”	PARS