



**Department of Energy**  
Washington, DC 20585

**JM CHRONOLOGY**

JM RECEIVED 5/18/11  
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DRB DISCUSSION 5/20/11

MEMORANDUM FOR: INGRID KOLB  
DIRECTOR  
OFFICE OF MANAGEMENT

THROUGH: KEVIN T. HAGERTY  
DIRECTOR  
OFFICE OF INFORMATION RESOURCES

FROM: PAUL BOSCO  
DIRECTOR, OFFICE OF ENGINEERING AND  
CONSTRUCTION MANAGEMENT

SUBJECT: Notice of Intent to Develop Department of Energy (DOE)  
Guide 413.3-20, *Change Control Management Guide*

**PURPOSE:** The purpose of this Guide is to describe suggested effective change control management processes for use in the execution of capital asset projects and their associated contracts. These processes include controlling contract and project changes as integral, synchronized activities over the project life cycle. The Guide will also provide a suggested framework for identifying and managing project changes through applying the requirements of DOE O 413.3B, *Program and Project Management for the Acquisition of Capital Assets*, dated November 29, 2010. It will also show how this framework integrates with contract change management processes in accordance with the Federal Acquisition Regulation (FAR) and the Department of Energy Acquisition Regulation (DEAR).

The change control processes should help the project Integrated Project Team to systematically follow the steps for evaluation and approval of contract and project changes, each when applicable to the project, in an integrated manner so that project baselines and contracts, from performance, cost, schedule, budget and contract management perspectives, remain aligned. The Guide will also provide guidance about the differences in change management for projects performed under M&O and Non-M&O (FAR Part 15) contracts.

**JUSTIFICATION:** A key objective of DOE is to manage successful capital asset projects and programs. The objective of this Guide is to improve project and contract management by providing a suggested framework and processes for maintaining contract and project baseline alignment. This objective is consistent with the corrective action plan to the DOE Report, *Root Cause Analysis, Contract and Project Management*, dated April 2008,



which included a near-term action to “enhance change control process[es]”. The DOE Contract Management-Project Management (CM-PM) Summit of December 2010, also recommended a Change Control Guide be issued which would set forth a structure for improved alignment between contract and project change control processes. This Guide implements those recommendations.

Excellence in the area of contract and project management integration helps insure that DOE’s programs and projects meet strategic objectives, provide value to the American taxpayer, and foster public confidence in its ability to manage responsibilities. In addition, the proposed Guide supports the Department’s *Management Excellence* strategic goal by providing a suggested framework and processes for alignment of contract and project change control that would better inform decision makers. There are no valid external, consensus or other “Standards” (e.g., ISO, VPP, etc.) available which can be used in place of any part of this directive.

**IMPACT:** This Guide will not impose new requirements or constitute Department policy. Rather, it provides a suggested approach and uniform guidance for managing project and contract changes, each as applicable, based on best practices and processes to meet Federal and DOE requirements. This Guide does not change existing laws, regulations or national standards, and it does not create an undue burden on the Department. An advanced final draft of the proposed Guide has already been prepared and should be ready for introduction into the Revision and Comment (RevCom) process for DOE Directives. Therefore, development of the Guide will not be unduly burdensome and will have minimal cost implications.

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Concur:  Nonconcur: \_\_\_\_\_ Date: 5-26-11

<u>Standard Schedule for Directives Development</u>	<u>Days</u>
Draft Development (Writer)	60 (ALREADY DEVELOPED)
Review and Comment (RevCom)	30
Comment Resolution (Writer)	30
Final Review	30
Total	150

(Note: The standard schedule will be used unless otherwise specified by the Directives Review Board. The writer must assure the DRB that the first draft will be submitted to MA-90 within 60 days from the date the Justification Memorandum is approved)