1.0 purpose

The purpose of this procedure for system surveillance and maintenance is to ensure the PPPL site-wide Project Management System is applied consistently over time and that authorized changes to the EVMS are incorporated across all projects governed by EVMS.

2.0 SCOPE

Systems surveillance and maintenance occurs at two interrelated levels: at the overall PPPL site-wide Project Management System level and at the individual project level. A single-system Project Management System approach is the foundation for the PPPL site-wide EVMS certification; with features to ensure that the site-wide EVMS application can be flexible as may be required for individual application areas (e.g., construction, environmental, research) and/or to meet the requirements of specific external DOE customers. In all cases, the PPPL Project Management System Description (PMSD), the accompanying PMSD Procedures, and the individual project management practices described in the Project Execution Plans (PEP) will be consistent with each other and compliant with the EVMS 32 Criteria. Any exceptions must be approved in writing by the Laboratory Project Management Officer.

3.0 REFERENCES

**3.1** DOE Order 413.3B, “Program and Project Management for the Acquisition of Capital Assets”

**3.2** PPPL Project Management System Description (PMSD)

**3.3** PM Procedure 1.0, Preparation and Control of EVMS Procedures

**3.3** PM Procedure 1.2, Project Work Breakdown Structure (WBS)

**3.4** PM Procedure 1.3, Project Organizational Breakdown Structure (OBS) & Responsibility Assignment Matrix

**3.5** PM Procedure 1.4, Control Accounts, Work Packages & Planning Packages

**3.6** PM Procedure 1.5, Control Account Plan/Work Authorization

**3.7** PM Procedure 1.6, Project Schedule

**3.8** PM Procedure 1.7, Cost Estimating

**3.9** PM Procedure 1.8, Monthly Status/Reporting

**3.10** PM Procedure 1.9, Change Control

4.0 Responsibilities

**4.1** Laboratory Associate Director for Engineering and Infrastructure. Appoints the Laboratory Project Management Officer and receives an annual report on the health and compliance status of the PPPL PMSD.

**4.2** Laboratory Project Management Officer. Reviews all PEPs to ensure compliance with the PPPL PMSD; reviews and approves any exceptions to the PMSD or PPPL PMSD Procedures; and, provides Project Management implementation guidance and advice to the projects. The Laboratory Project Management Officer adjudicates PMSD issues and is responsible for continued alignment of the PPPL PMSD, as described in the PPPL PMSD and PMSD Procedures with the 32 ANSI-748 EVMS Criteria.

**4.3** PPPL Project Manager(s). Develops, signs, and maintains the PEP and conducts the project to PPPL PMSD standards.

5.0 PROCEDURES

**5.1 Annual PMSPD Self Assessment**

The Laboratory Project Management Officer conducts a formal and documented EVMS compliance review against the 32 EVMS Criteria periodically, and submits the report to the Laboratory Director.

**5.2 PEP Relationship to PMSPD**

Individual project PEPs will be compliant with the PPPL PMSD and the PPPL PMSD Procedures. It is in this way that PPPL can assure a consistent site-wide systems approach to Project Management at the individual project level.

**5.3 Internal Surveillance**

The Laboratory Project Management Officer, or designee, will periodically attend Project Reviews and is of sufficiently advanced expertise in PMSD and EVMS as to be able to identify system anomalies, such as invalid WBS elements, inconsistent or inadequate Earned Value or Critical Path information, or poor baseline development. When a system anomaly is identified, he/she initiates an action item to address and corrects the problem in an expeditious manner.

The self-assessment process will include the following:

* Periodically, the Laboratory Project Management Officer will select a representative project, subject to PMSPD and EVMS, and will do a comprehensive assessment of the baseline and performance management systems, as implemented.
* Each capital asset acquisition project’s (Line Items and major system acquisitions over $20 million TEC) baseline will be reviewed during the Critical Decision 2 review. Resolution of any PMSPD and EVMS questions will occur prior to formal baseline establishment.
* The PPPL PMSPD system will be reviewed against the ANSI/EIA-748-A Guidelines and PPPL requirements.
* A report to summarize PMSPD self-assessment results will be sent by the Laboratory Project Management Officer to the Laboratory Associate Director for Engineering and Infrastructure, with copies to the Project Managers of PMSD projects.

**5.4 External Surveillance**

Once the PPPL PMSD and EVMS have been established, PPPL recognizes that DOE or its representative may execute an EVMS compliance audit/surveillance. Such audits usually entail complying with a request for documents and arranging for personnel involved in the creation or maintenance of the EVMS to be involved in interviews. At the end of the government surveillance, the auditing agency typically releases a report that notes deficiencies observed and recommended corrective actions. The recommendations may be mandatory or voluntary, and the action items listed are tracked on a schedule for compliance. Also included in the government surveillance cycle is debriefing, as well as an opportunity for PPPL responses to the report, including those parts of the report where PPPL rejects the findings and requests that the associated action items be deleted. Final disposition of the findings and action items remains with the government customer until resolution.