

Contractor Statement of Work (SOW) Template for EIR

The template presented below is a Statement of Work (SOW) for services of an EIR Contractor for conducting an EIR. Project and review specific information should be incorporated. Explanatory text appears in italics, while information that should be selected appears in <<brackets>>. The format and contents of this SOW is not compulsory, and the use is at the discretion of the OECM Analysts.

Statement of Work for External Independent Review (EIR)

<<Project Name>>

<<Type of EIR(i.e., Performance Baseline (CD-2), Construction/Execution
Readiness EIR (CD-3) , Rebaseline the Performance Baseline>>

<<Site>>

<<Date>>

Project Background

Project Name:

Project ID:

Project Site:

Lead Office:

FPD:

Project Type:

Total Project Cost:

Prime Contractor:

Points of Contact

Name	Organization/Position	Phone/Email
	OECM EIR Lead	
	FPD	
	PMSO Point-of-Contact	

Purpose

Example Text

The DOE Office of Engineering and Construction Management (OECM) requires the services of a Contractor to conduct an External Independent Review (EIR) to validate the <<performance baseline for the Project, or validate the readiness of the Project for Construction, or applicable review type>>. The purpose of an external, non-proponent entity conducting an EIR is intended to provide the confidence to the Acquisition Executive and senior leadership within the Department of Energy, as well as Congress with minimal bias, that the project can be executed within scope, schedule and cost commitments, while meeting its key performance parameters and ultimately fulfilling its mission need. The work will be performed pursuant to reference (b), which requires that an External Independent Review (EIR) be performed for projects with a Total Project Cost (TPC) greater than or equal to \$100M, and which further specifies that the Office of Engineering and Construction Management (OECM) be responsible for performing the EIR.

Furthermore,

<<(if applicable) DOE O 413.3B requires an EIR be performed prior to approval of a project's Performance Baseline at Critical Decision-2 (CD-2). The EIR should provide a recommendation whether the performance baseline can be validated (i.e. that the proposed scope of the project can be completed within the proposed cost and schedule, and that it is supported by factual and accurate data). Based on the EIR, the OECM must issue a Performance Baseline Validation Letter to the DOE Program Secretarial Officer describing the cost, schedule and scope being validated.

(if applicable) DOE O 413.3B requires OECM to perform a Construction/Execution Readiness EIR prior to CD-3 for all major system projects (i.e., projects with a TPC equal to or greater than \$750M or otherwise designated by the Deputy Secretary). The EIR should provide a recommendation whether the project can proceed with construction, and has the ability to be completed within the proposed cost and schedule, and that it is supported by factual and accurate data. Based on the EIR, the OECM must issue a Validation Letter to the DOE Program Secretarial Officer describing the construction readiness of the project.

(if applicable) DOE O 413.3B requires OECM to perform an EIR for projects that have new performance baselines established as a result of a performance baseline deviation. The EIR should provides a recommendation whether the performance baseline can be validated (i.e. that the proposed scope of the project can be completed within the revised and proposed cost and schedule, and that it is supported by factual and accurate data). Based on the EIR, the OECM must issue a Performance Re-baseline Validation Letter to the DOE Program Secretarial Officer describing the cost, schedule and scope being validated.>>

Requirements\Deliverables and Scope

The EIR shall be performed in general accordance with references (a), (b) and (c). These documents are general in nature, and OECM expects the respective EIR contractors to exercise their professional judgment in appropriately tailoring their numerous detailed requirements to the specific requirements of the Project. Below is a notation schedule of deliverables.

Notional Schedule:

Review of OECM EIR SOP

Receipt of Project Materials for Sufficiency Review

Onsite Readiness Assessment

Sufficiency Review & Notification to Proceed

Draft Review Plan

Final Review Plan

On-Site Review

Initial List of Findings with Recommendations

At EIR Onsite Closeout

Final List of Findings with Recommendations

One week after Closeout

Begin Receiving and Reviewing Project Team

CAP with Supporting Evidence Files

One Week after Closeout

Draft EIR Report

One Week after Closeout

Final EIR Report including CAP Review

Three Weeks after Closeout

Consolidated project document submittal

Three Weeks after Closeout

Requirements\Deliverables

- *Review of the OECM EIR SOP*

The EIR contractor will review and understand the OECM EIR SOP (reference a).

- *Receipt of Project Materials for Sufficiency Review and Onsite Readiness Assessment*

In advance of the on-site review, the EIR contractor will determine if the project documentation is sufficiently complete to conduct a meaningful EIR. The receipt of project materials for sufficiency review should be submitted to the EIR team members in adequate time to allow review prior to the on-site readiness assessment. The EIR contractor will notify in writing the Contracting Officer's Representative (COR) and OECM that the documentation provided is satisfactory to proceed with the EIR. If the supporting documentation is not satisfactory to proceed with the review, then the EIR team will notify the COR and OECM for decision to either suspend or proceed with a partial review.

- *EIR Review Plan*

If the documentation is satisfactory, the EIR team will develop a review plan for OECM review (including a list of proposed EIR Team members). The EIR contractor will develop a review plan in accordance with the OECM EIR SOP. OECM will approve the review plan prior to conducting the EIR. The review plan should include the developed Lines of Inquiry (LOIs). The EIR Contractor's Review Plan shall clearly indicate which lines of inquiry will receive the highest levels of scrutiny and which are considered of less significance.

EIR Review Plan Scope: The core competencies that should be addressed for the EIR are identified below. The review plan developed by the EIR Team, coordinated with the Program and project team, and approved by the OECM Lead, will identify any additional core competencies as well as LOIs supporting those core competencies. LOIs should be developed using subject matter expertise on the team. The EIR team should request documentation required to support the LOI and to ensure a complete and accurate review is performed. Additional resources for LOIs, including typical required documentation and example LOI, as well as LOIs in selected Program Office (NA, SC and EM) Independent Project Reviews' guidance, are listed in the OECM EIR SOP (reference a), and can be consulted in the construction of the LOIs. Also, it should be emphasized that DOE Guides are a resource for best practices, but are not requirements. Alternative methods may be employed, but the methodology and assumptions should be explained and have a supporting basis.

Core Competencies (EIR in support of Project Performance Baseline Validation, CD-2, and other Core Competency questions available in the EIR SOP):

1. Are the scope, cost, and schedule firmly supported and integrated with sound underlying technical, economic, and programmatic bases, assumptions, and front-end planning (i.e., Project Definition Rating Index)?
2. Has the design matured to the appropriate degree and been validated through appropriate and credible processes?
3. Is new technology, or technology applied in new application, mature enough to support definition and development of credible current Technology Readiness Level definition, WBS elements development and contingency/Management Reserve planning, and to support to the resolution of constructability issues?
4. Have design review comments, integration issues (with Operations and other projects) and constructability constraints been addressed sufficiently?
5. Does the IPT have an appropriate complement of personnel possessing the requisite skill set, commitment, and effectiveness in place and prepared to successfully execute the project (i.e. utilizing best practices such as DOE's Staffing Guide or other appropriate staffing model)?
6. Is the FPD certified at the appropriate level and is prepared and capable to manage the project or program?
7. Have relevant and comprehensive risk and contingency analyses and Risk Management Plans been conducted by DOE and its contractor?
8. Did the funding profile remain intact and viable?
9. Are the Acquisition Strategy and Plan appropriate, support project delivery and provide the best value to the Government?
10. Is the contract aligned with the project and are contractual incentives aligned with project team success metrics?
11. Are appropriate management systems in place and functional (i.e. PARS II, EVMS, etc.) to allow for FPD and IPT to have clear communication throughout organization to ensure authority, accountability and responsibility?
12. Are there processes in place to ensure personnel (Feds and Contractors) are held accountable?
13. Is the project team cognizant of and complying with DOE policy and guidance?
14. Does the IPT have an appropriate definition and understanding of their role in effectively providing project oversight?