



EFCOG Recommendation to OECM

EVMS Certification and Surveillance

January 27, 2009

Background

- OECM is responsible for certifying DOE contractors for compliance with the EVMS guidelines
- OECM has been conducting robust certification reviews with DOE Contractors
- OECM requested a EFCOG recommendation on the following:
 - How should a new contract undergo certification if the winning contractor has been certified previously and is bringing the same systems to the new contract?
 - What is the recommended approach to surveillance once certification has been obtained?

Certification

- Situation – A contractor with a previously certified EVMS system is the successful bidder on a new DOE contract.
 - Some contracts specify one or more core components of an EVM system that may not be consistent with a winning contractor's system
 - Contractors can bid an EVM system that has previously certified

Certification

- Contractors bids an EVM system that has previously certified. Four conditions may be encountered:
- Where no changes are made to the certified processes and system, and there is no significant change to the leadership team implementing the EVM system (i.e. Minor changes to CAM list, continuity in the Project Control team)

Or

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- Where major changes are made to the certified processes and system, and/or there is no significant change to the leadership team implementing the EVM system

Certification

- Contractors bids an EVM system that has previously certified. Four conditions may be encountered:
- Where no changes are made to the certified processes and system, and there is no significant change to the leadership team implementing the EVM system (i.e. Minor changes to CAM list, continuity in the Project Control team) waive the certification review and perform scheduled EVMS surveillances in lieu of the current certification process
- Where minor changes are made to the certified processes and system, and there is no significant change to the leadership team implementing the EVM system (i.e. Minor changes to CAM list, continuity in the Project Control team) conduct a limited review of the Project Control System Description and system testing, and perform scheduled EVMS surveillances in lieu of the current certification process

Certification

- Contractors bids an EVM system that has previously certified. Four conditions may be encountered:
 - Where no or minor changes are made to the certified processes and system, and there is significant change to the leadership team implementing the EVM system (i.e. Major changes to CAM list and in the Project Control team) use a graded approach to certify the core EVMS processes (i.e. Organization and Baseline Management), and conduct on-site interviews of selected CAMs, Project Managers, and Project Control Team
 - Where major changes are made to the certified processes and system, and/or there is no significant change to the leadership team implementing the EVM system conduct a full certification review.

EVMS Surveillance

- DOE and its contractors should perform surveillances and assessments of their EVMS systems to ensure continued compliance with the ANSI/EIA guidelines.
- Contractors are responsible for developing and maintaining compliant EVM systems and processes.
- The contractor must supply an assurance that the current EVMS Program and Systems remains compliant, that all participants in the program have continued training and a thorough knowledge of the requirements and tools that support the program.

EVMS Surveillance

- At the DOE field level and contractor level these surveillances should be routinely woven into the site management assessment and audit plans currently specified within the contracts.
- At the HQ level these assessments should be developed to accommodate several factors including:
 - The elapsed time since the EVMS was certified
 - Change in factors influencing the EVMS processes and systems such as contractor changes to EVM systems and processes, and nature and magnitude of changes to the cost, schedule, and technical baselines
 - Major changes in mission focus or overall mission scope that necessitates evaluation on EVMS practices applicable to emerging or changing site or project objectives.

EVMS Surveillance

- The contractor should provide to the Field Office an integrated EVMS Surveillance plan that conducts an assessment of the ANSI/EIA 748-A Standard 32 criteria within a three year period from certification (minimum 8 areas assessed per year).
- There are typically two types of assessments:
 - Management Assessments tie into the contractors approved management self assessment program, providing self evaluation of procedure compliance and level of knowledge. Functional management performs this assessment.
 - Independent Assessment are used to evaluate the performance of the work processes. The contractor's internal audit function typically performs this assessment and reports independently the results to the Field Office

EVMS Surveillance

- **External Independent Assessments**

- External Independent Assessments are conducted primarily by DCAA. Typically for larger projects, the DCAA conducts an annual surveillance that reviews several of the EVMS systems and practices against established guideline.

- **Field Office Surveillance**

- The primary surveillance is conducted monthly through review of contractor performance reports. Assigned functional staff performs these assessments continuously. In addition a formal assessment of at least one of the ANSI/EIA 748-A Standard 32 criteria should be conducted annually.

EVMS Surveillance

- **OECM Surveillance**
 - OECM primary surveillance is conducted quarterly through review of Field Office performance reports.
 - In addition a formal surveillance will be scheduled if the quarterly report and/or Field Office findings demonstrate a significant deviation from the ANSI/EIA 748-A Standard 32 criteria.
 - An initial in-brief will be scheduled with the contractor to discuss the deviation and corrective actions.
 - If OECM or the Field office determines that the contractor has a significant failure in the EVM System, then a re-certification review will be scheduled.
 - If the deviation is limited and corrective actions are acceptable, then the contractor must track to completion corrective actions resulting from these reviews
 - In addition, OECM may schedule and conduct a field visit every two years for projects that have maintained the certification and conduct limited reviews and CAM interviews as part of the surveillance program.