



STANFORD UNIVERSITY
SLAC National Accelerator Laboratory
Operated by Stanford University for the U.S. Department of Energy



[DOE Order 413.3C, Program and project Management For the Acquisition of Capital Assets \(08/05/2026\)](#)
Site Compliance Plan (09/17/2026)

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Introduction

This Site Compliance Plan (SCP):
a) corresponds with the version of the DOE Directive listed in the Prime Contract,
b) states how the Laboratory complies with applicable requirements as tailored to the risks at the Laboratory, and
c) documents DOE-approved methods of compliance for applicable requirements and that there are no recurring deliverables*.

Impact on the Contract:
Under the SCP, sections of the CRD are incorporated into the Contract as-is, unless the SCP indicates that a section or portion thereof is inapplicable, or the section has been changed. Thus, for example, if “in compliance” is listed next to a CRD section, that section is incorporated into the Contract as-is. However, where an SCP indicates that a section or portion thereof is inapplicable, the section or portion thereof is excluded from the Contract. In addition, where a section or portion thereof is applicable, but changes to the section have been agreed by the Parties, the section, as modified by the Parties, shall be incorporated into the Contract.

This SCP also clarifies SLAC’s interpretation of the requirements, memorializes the Parties’ agreement on how SLAC will comply with sections of the CRD (whether or not modified) and identifies the Laboratory programs and processes established to fulfill the respective requirements.



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Attachment 1 – Contractor Requirements Document

The table below identifies the applicable CRD requirements, compliance status, and SLAC’s method of compliance.

§	Requirements from Attachment 1 – CRD	Compliance Status	Method of Compliance
	This Contractor Requirements Document (CRD) sets forth requirements applicable to the contract to which this CRD is inserted. The Contractor is responsible for performing program and project management of Department-owned or -leased facilities as determined by the Federal Project Director and Contracting Officer, in conjunction with the Federally-assigned Integrated Project Team members. The Contractor shall: (1) comply with the requirements of this CRD to include subcontractor(s), and (2) flow down the appropriate requirements of the CRD to a subcontractor, when the total project cost to the prime contractor are greater than the minor construction threshold or \$50M (whichever is higher).	In compliance	Requirements are flowed down to subcontractors via the Division 01 specifications and the terms and conditions (T&C's) of contracts. The Division 01 specifications and T&Cs have been developed to follow the intent of 413.3B.
1	The Contractor’s project management system shall satisfy the following requirements: The Contractor shall coordinate with the Federal Project Director (FPD) to identify and define risk informed tailoring opportunities for capital assets project for approval by the Project Management Executive (PME).	In compliance	SLAC Follows the standard PEP preparation review and approval process for non-delegated projects with the FPD/PME utilizing a tailored approach for Risk Management.
2	The Contractor shall identify conflicts between this CRD and the existing Management and Operating Contract requirements, if applicable, and coordinate them with the Field/Site Office Contracting Officer.	In compliance	SLAC will coordinate with the CO to update this SCP, as needed.



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3	The Contractor may be granted delegations, equivalencies, exemptions and/or variances by the DOE or NNSA Field/Site Office with concurrence from the applicable DOE or NNSA Program Offices.	In compliance:	SLAC will coordinate with the Site Office on any delegation , equivalencies, exemptions and / or variances
4	Except for firm-fixed-price contracts, the contractor shall: • Employ an Earned Value Management System (EVMS) prior to Critical Decision (CD)-2, or upon contract award, for projects greater than the minor construction threshold or \$50 million (whichever is higher), unless granted an exemption from the Project Management Support Office (PMSO). The system shall be compliant with EIA-748, current version, or as required by the contract, in accordance with contract clause Federal Acquisition Regulations (FAR) Subpart 52.234 4, EVMS. • Maintain an EVMS compliant with EIA-748, current version, or as required by the contract when there are applicable projects with a TPC between the minor construction threshold or \$50 million (whichever is higher) and \$300 million. • For contractors with projects that have a TPC greater than \$300 million, the contractor will self-certify EVMS compliance with EIA-748, current version, through initial certifications and/or annual surveillances, or as required by the contract, and provide the final summary report documenting the results to the PMSO and Field/Site Office. • Receive continued surveillance of EVMS compliance with EIA-748, current version, or as required by the contract, when there are applicable projects having a TPC	In compliance	For all Non- Firm- Fixed-price Contracts SLAC uses the PM System to document. SLAC complies with the latest version of EIA 748. SLAC PM System Description (SLAC-I-051-101-000-00-R (current version)) SLAC is in compliance with these requirements, with the following DOE Office of Project Management-approved exceptions: -SLAC EVM System was originally approved in July of 2008 by OECM (now PM). Per the DOE Office Science Exemption Letter dated June 8, 2015, approval and certification of SLAC's EVM System will be issued from the DOE Office of Science OPA instead of through DOE PM. -Required surveillance documentation will be provided to the to DOE SLAC Site Office Line Management and DOE Office of Science OPA, rather than the Contracting Officer. Required surveillance documentation will be provided to DOE SLAC Site Office Line Management and DOE Office of Science OPA, rather than the Contracting Officer. SLAC maintains all pertinent records and data for DOE access.



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	of \$300 million or greater. PM may conduct a risk-based, data-driven surveillance as requested by the FPD, the Program, or the PME. Documentation of the surveillance will be provided to the contracting officer documenting the compliance status of the contractor's EVMS with EIA-748 (current version), or as required by the contract. • Provide access to all pertinent records and data requested by the contracting officer, PM, or other duly authorized representative as necessary to permit government surveillance to ensure EVMS complies, and continues to comply, with EIA-748, current version, as appropriate, or as required by the contract. • Submit a request for an over-target baseline or over-target schedule to the contracting officer when indicated by performance. The request shall include a top-level projection of cost (known as an estimate at completion) and/or schedule growth (known as an integrated master schedule), a determination of whether or not performance variances will be retained, and the schedule for the implementation of the rebaselining. Refer to DOE G 413.3 20, current version.		
5	For projects with a TPC less than \$300 million, the contractor may request an exemption from using EVMS. For firm-fixed-price contracts, a contractor EVMS is not required. If contractor requests and an EVMS waiver is approved by the PMSO, the contractor will: • Use an alternative project control method approved by the PMSO.	In compliance	If SLAC requests an exception, it will be done following these requirements through the SLAC Site Office.



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	• Describe the alternate project control system in detail to the contracting officer. • Ensure the system provides adequate insight to potential risks to DOE relating to achievement of cost, schedule, and technical performance objectives. • Ensure the alternate project control methods include at a minimum a work breakdown structure, integrated master schedule showing critical path, schedule of values, account of planned versus actual work and cost, and estimate at completion (EAC). • Beginning no later than 3 months following CD-2, the contractor will provide to the FPD project control information monthly for upload, including upload of the baseline and status schedules, and data from the schedule of values and planned versus actual work and cost accounts, into the Department’s PARS system.		
6.a	The contractor shall submit to the FPD monthly project performance data beginning no later than three months following CD-2 for projects having a total project cost greater than the minor construction threshold or \$50 million (whichever is higher). a. For projects executed under a cost reimbursement contract and required to use an EVMS compliant with EIA-748, current version, or as specified in the contract, the required project performance data must be provided at the control account level. This includes: • Earned value data consistent with EIA-748, current version, or as required by the contract; • Time-phased incremental budget;	In compliance	SLAC projects deliver these reports in accordance with the requirements defined in the PEP. SLAC utilizes PEP to define project performance reporting in compliance with this requirement.



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	• Management reserve; • Integrated master schedule (both baseline and status); • Variance analysis; • Risk management data; and • Formal submission of all DOE integrated program management report (IPMR) formats to the contracting officer and FPD for upload to PARS.		
6.b	For a project or a portion of a project being accomplished under a cost reimbursement contract, where EVMS requirements have been waived and an alternate project control system adopted, project performance data will be provided monthly to the FPD and will include: • Baseline and status schedules; • Schedule of values data; • Planned versus actual work and control account data; • Variance analysis; • Risk management data; and • EAC data	In compliance	For cost reimbursable contracts, such as those with partner labs and science projects, SLAC utilizes PEP to define project performance reporting in compliance with this requirement.
6.c	Under a firm fixed-price construction contract, EVM is not mandated by the Government. However, it is not discouraged, if used by a contractor to manage its projects as a standard business practice. Unlike a cost reimbursement contract, firm fixed-price contracts are not subject to adjustment on the basis of the contractor's cost experience in performing the contract. Management of firm fixed-price construction projects are accomplished through	In compliance	SLAC utilizes both the internal subcontractor database and the accounting system to track all subcontracts including amounts previously paid to each subcontractor under SLAC's contract.



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	establishment of performance milestones, schedules, and percentage of project completion. For construction contracts, FAR Subpart 52.232-5, Payment[s] Under Fixed-Price Construction Contracts, governs payment and the data that the contractor must provide to support its estimate of work accomplished. Substantiation includes an itemization of the amounts requested, related to the various elements of work required by the contract covered by the payment requested and a listing of the amount included for work performed by each subcontractor under the contract, the total amount of each subcontract under the contract, and amounts previously paid to each subcontractor under the contract. While firm fixed-price construction projects cannot require the regular submission of cost data as with a cost reimbursement contract, successful project and contract execution is highly dependent on well-defined requirements that serve as the foundation upon which performance milestones are developed, accomplished, and evaluated.		
6.d	Data shall be provided to the FPD no later than one week before the last workday of every month. These data shall be current as of the close of the previous month's accounting period. Ad hoc or periodic reporting by the	In compliance	SLAC utilizes PEP to define project performance reporting in compliance with this requirement. Projects deliver these reports in accordance with the requirements defined in the PEP.



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	contractor may be required earlier than CD-2 as specified in the contract.		
6.e	Any directed changes to the Contractor requirements for monthly reporting must be added to the contract following an assessment of impacts to contractor conditions and to the project performance.	In compliance	SLAC is responsive to the changes as directed by the DOE.
6.e.(1)	For project contracts to be awarded as subcontracts by the Contractor, the Contractor shall develop a written Acquisition Plan, if applicable. The Acquisition Plan shall receive the Contracting Officer's concurrence.	In compliance	For applicable projects governed by this order, Written acquisition plans are prepared in accordance with FAR 7.105 and appropriate DOE concurrence is obtained.
6.e.(2)	Technical performance analyses and corrective action plans shall be reported to DOE for variances to the project baseline objectives resulting from design reviews, component and system tests and simulations, and to resolve identified root causes resulting in a performance baseline deviation.	In compliance	SLAC utilizes the EVMS Program description and the EVMS System to document technical scope changes and to fulfill this requirement.
6.e.(2)(a)	An Integrated Master Schedule (both resource loaded and with critical path) must be developed and maintained for the project. As a minimum, a resource-loaded IMS must contain labor, material and equipment costs to include unit prices and quantities. For firm fixed-price contracts, the total contract cost must be included in the integrated master schedule.	In compliance	SLAC utilizes the EVMS Program description to fulfill this requirement. The level of implementation of the IMS is defined in the PEP.



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6.e.(2)(b)	Project technical, cost and schedule risks must be identified, quantified and mitigated throughout the life of the project. A Risk Management Plan (RMP) will be developed to cover processes and procedures that will be implemented to address risk assessment (qualitative and quantitative), risk monitoring, risk reporting and lessons learned. The contractor's RMP must receive concurrence from DOE in accordance with contract requirements.	In compliance	SLAC utilizes a project specific Risk Management Plan document (called a "Risk Addendum to the SLAC Risk Management Plan") and the SLAC Processes and procedures are in accordance with the DOE G 413.3-7A Chg 2 Risk Management Guide to fulfill this requirement including DOE concurrence.
6.e.(2)(c)	The approved integrated contractor technical, cost and schedule baseline shall be maintained using appropriate change control processes (e.g., Change Control Board) as defined in the Project Execution Plan (PEP).	In compliance	SLAC utilized PEP to define compliance with this requirement.
6.e.(2)(d)	A configuration management process must be established that controls changes to the physical configuration of project facilities, structures, systems and components in compliance with ANSI/EIA-649 (current version) and DOE-STD-1073-2016. This process must also ensure that the configuration is in agreement with the performance objectives identified in the technical baseline and the approved quality assurance plan.	In compliance	SLAC utilizes a project specific PEP to define the need for a Configuration Management Plan to fulfill this requirement.
6.e.(2)(e)	A value management (VM), value engineering (VE) process shall be used. Annually, contractors shall submit a progress report	In compliance	As of December 2010, Office of Science is exempt from the Order 413.3 VM/VE specific requirement.



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	identifying VE accomplishments to the Program Offices. Refer to Office of Management and Budget (OMB) Circular A-131, 48 CFR § 52.248-1, ASTM E1699-10, and 41 U.S.C. § 1711.		VE/VM data is made available to DOE throughout the lifecycle of the projects.
6.e.(2)(f)	A Quality Assurance Program must be developed and implemented for the contract scope of work in accordance with DOE O 414.1, current version, Attachment 2 (CRD), as applicable, and 10 CFR § 830, Subpart A. For nuclear-related activities, the applicable national consensus standard shall be American Society of Mechanical Engineers Nuclear Quality Assurance (NQA) 1 2008 (edition) and NQA-1a-2009 (addenda).	In compliance	Projects have tailored Quality Assurance Plans that align to the SLAC QAP which is in compliance with the DOE Order 414.1.
6.e.(2)(g)	An Integrated Safety Management System must be developed and implemented for the contract scope of work when the contractor is complying with the requirements of 48 CFR 970.5223-1, Integration of Environment, Safety and Health into Work Planning and Execution.	In compliance	SLAC maintains Integrated Safety Management System within the SLAC Worker Safety and Health Program in compliance with this requirement.
6.e.(2)(h)	Contractors performing design for projects shall, at a minimum, conduct a Conceptual, Preliminary and Final Design Review, in accordance with the PEP. For nuclear projects, the design review will include a focus on safety	In compliance	SLAC utilizes a project specific PEP to document compliance with this requirement. Maintenance of Codes of Record is not applicable; SLAC is not a Category 1, 2, or 3 nuclear facility.



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	and security systems. A Code of Record shall be maintained under configuration control throughout the CD process and for the remainder of the nuclear facility's life-cycle.		
6.e.(2)(i)	For projects involving construction of new Hazard Category 1, 2, and 3 nuclear facilities, or include major modifications thereto (as defined in 10 CFR § 830), the requirements in DOE-STD-1189-2016 shall be fully implemented. The following documents must be submitted, as applicable: safety design strategy (CD-1), conceptual safety design report (CD-1), preliminary safety and design results (CD-2), preliminary documented safety analysis (CD-2), and documented safety analysis with technical safety requirements (CD-4). Documented safety analyses will be updated to document the changed conditions, as appropriate, in conjunction with the Office of Environmental Management demolition process.	N/A	SLAC is not a Category 1, 2, or 3 facility.
6.e.(2)(j)	For non-M&O contracts, the Contractor shall develop a Project Management Plan (PMP) that supports and complements the Federal PEP and its contract. The PMP shall describe the management methods, organization, control systems and documentation for the project. The PMP shall receive the concurrences of the FPD and the DOE Contracting Officer. If significant changes occur during the project, the PMP shall	N/A	SLAC is an M&O contractor.



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	be revised by the Contractor at the direction of the Contracting Officer.		
6.e.(2)(k)	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 may gain access to the lessons learned repository.	In compliance	SLAC utilizes a Master Lessons Learned database for the Laboratory's Lessons Learned and Best Practices that includes lessons learned from projects.

Deliverables

CRD §	Deliverable Item	Frequency	Due Date(s)	Recipient / Notes
4	Annual EVMS Surveillance Report	Annually	12/31/2026	SSO

Deliverables generally include data delivered to DOE or another external agency, such as recurring reports or external database entries.



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Concurrence

Name	Title	Signature
Vitaly Yakimenko	Deputy Director, Projects and Infrastructure, SLAC	 <u>Vitaly Yakimenko (Sep 17, 2026 11:44:43 PDT)</u>
Chanh Lam	Federal Project Director, DOE-SSO	 CHANH LAM Digitally signed by CHANH LAM Date: 2026.09.17 12:33:21 -07'00'
William W. Wheeler	Acting, Manager, DOE-SSO	 THOMAS RIZZI Digitally signed by THOMAS RIZZI Date: 2026.09.17 12:48:11 -07'00'

Revision History

Revision	Revision Date	Summary of Change(s)
R0	09/17/2026	Original release.