National Compact Stellarator Experiment

NCSX
PRELIMINARY PROJECT EXECUTION PLAN
(NCSX-PLAN-PEP)

Revision 0, Draft K
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Revision	Date	Description of Changes
Draft C3	1/8/02	Incorporates latest changes proposed by GHN and Judy Malsbury
Draft C3a	1/9/02	Corrected miscellaneous typos and incorporated comments from JAS (Section 10.2)
Draft D	1/11/02	Incorporated RJH comments and clarified contingency management (revised Section 11)
Draft D1	1/14/02	Revised to incorporate WTR comments that reflect SEMP development
Draft D2	1/25/02	Revised to incorporate G. Pitonak comments
Draft D3	1/28/02	Revised to reflect GHN comments in PES/SOW
Draft E	1/30/02	Revised to reflect discussions with Greg Pitonak
Draft F	2/11/02	Revised to clarify contingency management and management reserve management
Draft G	3/13/02	Revised to reflect DOE preliminary comments.
Draft G1	3/15/02	Revised to add IPT (Section 4.4)
Draft H	4/8/02	Revised discussion of Systems Engineering (Section 14.1) to be consistent with the SEMP. Moved discussion of value engineering (Section 14.2) to SEMP.
Draft I	4/15/02	Incorporated DOE-PAO and DOE-OFES comments, latest format guidance (DOE Program & Project Management Manual – Draft Feb 2002), and folded in applicable sections of PES/SOW. Added new Annex I for scope definition.
Draft J	4/29/02	Updated milestone schedule and clarified mission statement.
Draft K	5/1/02	Updated to reflect plasma performance and NCSX Project Scope (Annex I)

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1.0 INTRODUCTION AND SCOPE OF THIS DOCUMENT

The National Compact Stellarator Experiment (NCSX) is an experimental research facility that is to be designed and constructed at the Department of Energy's Princeton Plasma Physics Laboratory (PPPL). Its purpose is to develop the physics of compact stellarators, an innovative fusion confinement concept. The facility will include the stellarator device and ancillary support systems. The design and fabrication project will be led by PPPL, in partnership with the Oak Ridge National Laboratory (ORNL).

This Project Execution Plan (PEP) covers the design and fabrication phases of the NCSX Project, including the integrated systems testing and producing the first plasma. The NCSX is classified as a Major Item of Equipment (MIE) NCSX project management will, in a graded approach, follow the concepts outlined in DOE Order 413.3 and the implementing Project Management Guide and Best Practices Manual (draft dated February 20, 2002).

Key documents and plans in addition to this PEP which describe the NCSX Project and how it will be managed are the:

- Acquisition Execution Plan (AEP)
  Highest level DOE document that delineates the process by which DOE and the performing organizations (PPPL and ORNL) will components and systems critical to completing and achieving the NCSX Project goals and mission.
- General Requirements Document (GRD)
  Top-level (i.e., system-level) specification for the NCSX project.
- PPPL Project Control System Description (PCSD)
  Describes PPPL's system for planning, authorizing, and tracking project work.
- PPPL Integrated Safety Management Plan (ISMP)
  Describes the structure and implementation of Integrated Safety Management at PPPL, consistent with DOE policy, requirements, and guidance.
- Quality Assurance Plan (QAP)
  Integrates the PPPL and ORNL FED Quality Assurance Plans and implementing documents with project specific plans and procedures to assure that an appropriate quality assurance program exists for NCSX, consistent with DOE and PPPL policy, requirements, and guidance.
- Systems Engineering Management Plan (SEMP)
  Describes systems engineering processes and management practices to be utilized by the NCSX Project.

- Data Management Plan (DMP)
  Describes the processes to be utilized for document and drawing control.
- Document and Records Plan (DOC)
  Describes the purpose, content, format, approval level, records retention requirements, and file/document naming convention for each controlled document for the NCSX Project.
- Configuration Management Plan (CMP)
  Describes the processes for proposing, approving, and implementing changes to the configuration, cost, and schedule baselines and controlled documents.
- Interface Control Management Plan (ICMP)
  Describes the processes for generating and administering technical interface agreements between two or more technical activities.
- Test and Evaluation Plan (TEP)
  Describes the processes to transition from the design and fabrication activities to an operational experiment.
- Reliability, Availability, and Maintainability Plan (RAM)
  Describes the processes for factoring reliability, availability, and maintainability considerations into the design.

2.0 MISSION NEED JUSTIFICATION/PROJECT OBJECTIVES

2.1 Mission Need

The NCSX mission need (Critical Decision 0) was approved by the Office of Fusion Energy Sciences in May, 2001. Its mission is to acquire the physics knowledge needed to evaluate compact stellarators as a fusion concept, and to advance the understanding of 3D plasma physics for fusion and basic science. As indicated in this Mission Need document, the National Compact Stellarator Experiment (NCSX) is an integral part of the Department's Office of Fusion Energy Sciences program. The mission of the NCSX supports two of the program's goals (Report of the Integrated Program Planning Activity, December, 2000), namely:

- Goal 2: Resolve outstanding scientific issues and establish reduced-cost paths to more attractive fusion energy systems by investigating a broad range of innovative magnetic confinement configurations.
- Goal 1: Advance understanding of plasma, the fourth state of matter, and enhance predictive capabilities through comparison of well-diagnosed experiments, theory, and simulation.

2.1.2 NCSX Mission in Support of Program Goal 2

The compact stellarator (CS) is one of the innovative magnetic confinement configurations being investigated by the Fusion Energy Sciences Program. Within Goal 2, there is a ten-year objective for the CS, namely "Determine the attractiveness of a compact stellarator by assessing resistance to disruption at high beta without instability feedback control or significant current drive, assessing confinement at high temperature, and investigating 3-D divertor operation." The potential of the compact stellarator as an attractive concept lies in its possibility to eliminate disruptions and operate steady-state with minimal recirculating power. In order to assess it quantitatively, however, the physics of compact stellarators must be further developed. A stellarator proof-of-principle (PoP) program consisting of theory, experiment, international collaboration, and design has been established for this purpose. The NCSX, as the PoP program's lead element, has the primary responsibility to test the physics understanding and develop the physics knowledge base needed to determine the concept's attractiveness. Accordingly, the NCSX mission in support of Goal 2 is to:

- Demonstrate conditions for high-beta disruption-free operation, compatible with bootstrap current and external transform in a compact stellarator configuration.
- Understand beta limits and limiting mechanisms in a low-aspect-ratio current-carrying stellarator.
- Understand reduction of neoclassical transport by quasi-axisymmetric (QA) design.
- Understand confinement scaling and reduction of anomalous transport by flow-shear control.
- Understand equilibrium islands and stabilization of neoclassical tearing-modes by choice of magnetic shear.
- Understand compatibility between power and particle exhaust methods and good core performance in a compact stellarator.

2.1.2 NCSX Mission in Support of Program Goal 1

Within Goal 1, the Fusion Energy Science program aims to advance understanding and predictive capability in fusion plasma physics, including turbulence and transport, macroscopic stability, wave-particle interactions, plasma-wall interactions, and general plasma science. The NCSX mission in support of Goal 1 is to understand three-dimensional plasma effects important to toroidal magnetic configurations generally. Critical questions to be answered using the NCSX facility include:

- Can pulse-length-limiting instabilities, such as external kinks and neoclassical tearing modes, be stabilized by external transform and 3D shaping?
- How do externally-generated transform and 3D shaping affect disruptions and their occurrence?
- Can the collisionless orbit losses typically associated with 3D fields be reduced by designing the magnetic field to be quasi-axisymmetric? Is flow damping reduced?
- Do anomalous transport control and reduction mechanisms that work in tokamaks transfer to quasi-axisymmetric stellarators? How does the transport scale in a compact stellarator?
- How do stellarator field characteristics such as islands and stochasticity affect the boundary plasma and plasma-material interactions? Are 3D methods for controlling particle and power exhaust compatible with good core confinement?

A program of experimental research will be carried out to accomplish this mission. The critical physics issues to be addressed– stability at high beta, confinement at high temperature, and divertor operation– set minimum plasma performance requirements. These considerations define the scale and scope of facility that is needed. They set the requirements on plasma size, magnetic field strength, plasma control, plasma heating, diagnostic access, and flexibility that the facility must satisfy. In the fusion program's concept development hierarchy, NCSX is in a class of facilities called proof-of-principle (PoP) experiments. The National Spherical Torus Experiment (NSTX) at PPPL, which is of a scale similar to NCSX, is another example. The NCSX design and fabrication project addressed by this plan will provide an operational facility that meets the physics requirements necessary to support the NCSX physics mission. The mission itself will be carried out in the Operations phase.

2.2 Project Objectives

2.2.1 <u>Technical Objectives and Project Scope</u>

The key technical objective of the NCSX project is the fabrication and assembly of the NCSX experimental facility. The facility will be capable of producing magnetized plasmas with a well-defined set of configuration properties, such as size, shape, magnetic field strength, and pressure, which in turn determine its physics properties. The NCSX will provide the flexibility to vary the configuration parameters over a range of flexibility. The plasmas to be studied are three-dimensional toroids, that is, doughnut-shaped plasmas whose cross sectional shape varies depending on where it is sliced. The magnetic field coils, which control the plasma shape, must be accurately constructed to precise shape specifications. The NCSX will provide an initial set of plasma control, heating, diagnostic, and power and particle handling systems and will be able to accommodate later upgrades, to meet the needs of the research program. The specific parameter objectives are as follows:

- Major radius R = 1.4 m;
- Toroidal field strength B_0 = 1.7 T for 0.2 second flattop;
- Neutral beam heating power P_{NB} = 3 MW

Plasma performance requirements for each phase of the research program are documented in the preliminary NCSX Experimental Plan (NCSX-PLAN-EXPP). The plan will evolve during the NCSX fabrication phase as the research program, including its hardware and plasma performance requirements as a function of time, are defined in more detail.

The NCSX Project scope includes all the equipment required at the start of operations (First Plasma) plus refurbishment, installation, and subsystem testing of 3 MW of neutral beam heating power. See Annex I. The NCSX Project scope includes Title I through Title III engineering, physics analyses in support of the design, manufacturing development for certain components, fabrication/assembly and installation, commissioning and integrated systems testing, and achievement of First Plasma.

The NCSX will be designed so that anticipated equipment upgrades (namely: an additional 3 MW of neutral beam power, 6 MW of ICRF heating power, a pellet injector, trim coils, power supplies for higher B-field or faster startup, additional plasma facing components and internal pumps for divertor operation, additional wall conditioning systems, and additional diagnostics) can be accommodated when needed. The NCSX Project scope does not include the actual implementation of these upgrades, which would be funded of the research program, depending on program needs.

Activities to support NCSX research planning and preparation that will proceed in parallel with the NCSX Project are not included in the NCSX Project scope.

2.2.2 <u>Fabrication Project Cost Objective</u>

The NCSX Project cost objective (TEC) is $72M in year-of-expenditure dollars, assuming project execution on the schedule given in Section 2.2.3. The project cost objective may change as the design evolves. However, in accordance with the DOE's baseline management policies, the cost and schedule baseline will not be finalized until the completion of Title I design. The NCSX Project has been designated as a Major Item of Equipment (MIE) by OFES and will be built using Capital Equipment Funds. The NCSX Project will follow the recent DOE guidelines on program and project management using a graded approach that is appropriate for a MIE project the cost and duration of NCSX

2.2.3 Schedule Objectives

The DOE Level schedule objectives for the NCSX project are summarized in Table 2.2-1:

NCSX DOE Milestones

Table 2.2-1

Milestone	Schedule	DOE Level 0	DOE Level 1	DOE Level 2
Physics Validation Review Completed	**March 2001A**		**X**	
CD-0 Milestone Completed	**May 2001A**	**X**		
Conceptual Design Configuration Selected	**December 2001A**			**X**
NEPA Preliminary Hazards Analyses Submitted	**April 2002A**			**X**
Conceptual Design Review Completed	May 2002		**X**	
CD-1 and CD-3a Milestones Completed	August 2002	**X**		
Start Preliminary Design (Title I)	October 2002		**X**	
Award Prototype Contract(s) for Modular Coils Winding Forms	December 2002			**X**
Award Prototype Contract(s) for Vacuum Vessel	February 2003			**X**
DOE Preliminary Design Review Completed	May 2003			**X**
CD-2 Milestone Completed	June 2003	**X**		
Complete Final Design Review for Modular Coils Winding Forms	August 2003			**X**
Award Production Contract for Modular Coils Winding Forms	December 2003			**X**
Complete Final Design Review for Vacuum Vessel	December 2003			**X**
Award Production Contract for Vacuum Vessel	April 2004			**X**
Award Conductor Procurement for Production Modular Coils	July 2004			**X**

NCSX DOE Milestones

Table 2.2-1

CD-3 Milestone Completed	April 2004	**X**		
Award Production Contract for Vacuum Vessel	April 2004			**X**
Award Conductor Procurement for Production Modular Coils	July 2004			**X**
First Modular Coil Winding Forms Delivered	January 2005		**X**	
Complete First Modular Coil Fabrication	March 2005			**X**
Complete Delivery of TF Coils	August 2005			**X**
Vacuum Vessel Shell Delivered	October 2005		**X**	
Begin Assembly of First Field Period	November 2005			**X**
Last Modular Coil Winding Form Delivered	January 2006		**X**	
Last Field Period Assembled	June 2006			**X**
Pump Down of Vacuum Vessel	September 2006		**X**	
CD-4 Milestone Completed	February 2007	**X**		
First Plasma and Complete MIE Project	March 2007	**X**		

Note: DOE Level 0 milestone – DOE Acquisition Executive, DOE Level 1 milestone - DOE Program Manager, and DOE Level 2 – DOE Project Manager approval authority.

"A" = Achieved

2.2.4 Project Completion

The major milestone marking the transition from a fabrication project to an operating facility is the First Plasma milestone. First plasma is defined as an Ohmically heated discharge with a magnetic field of ≥ 0.5 T and a plasma current of ≥25kA. The Operations phase will begin upon completion of the first plasma milestone.

3.0 PROJECT DESCRIPTION

The NCSX project involves the design and fabrication of the NCSX facility. At the heart of the facility is the plasma confinement device, or stellarator core. This will be an assembly of several magnet systems that surround a highly shaped plasma. Coils provide the magnetic field for plasma shape control, inductive current drive, and field error correction. The vacuum vessel and plasma facing components produce a high vacuum plasma environment with access for heating, pumping, diagnostics, and maintenance. The entire system is surrounded by a cryostat to permit cooling of the magnets at cryogenic temperature. Figure 3-1 shows a cutaway view of the stellarator core assembly.

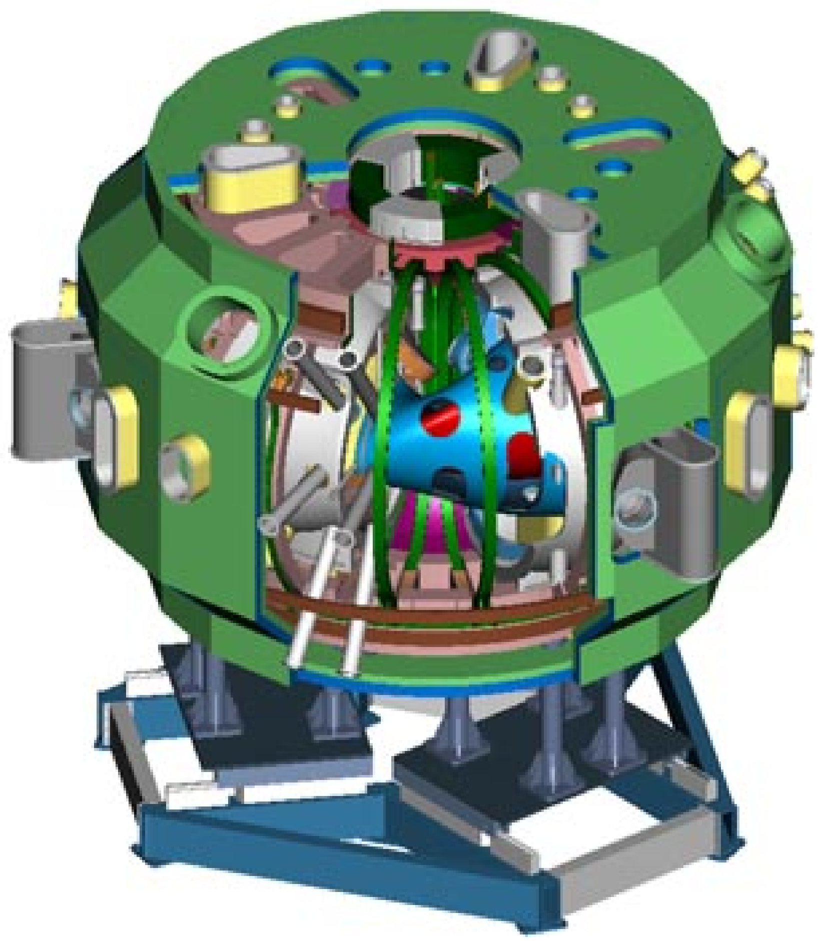


Figure 3-1 NCSX Stellarator Core

The NCSX core will be assembled in the combined Princeton Beta Experiment/Princeton Large Torus (PBX/PLT) test cell at the Princeton Plasma Physics Laboratory (PPPL). It will be equipped with neutral-beam heating systems, pumps, fueling systems, diagnostics, control systems, and data acquisition systems. Site infrastructure such as cryogenic systems and utility services will be included. The PBX/PLT computer and control rooms, which are contiguous to the test cell, will be refurbished and utilized. Power supplies located at D-site will be used.

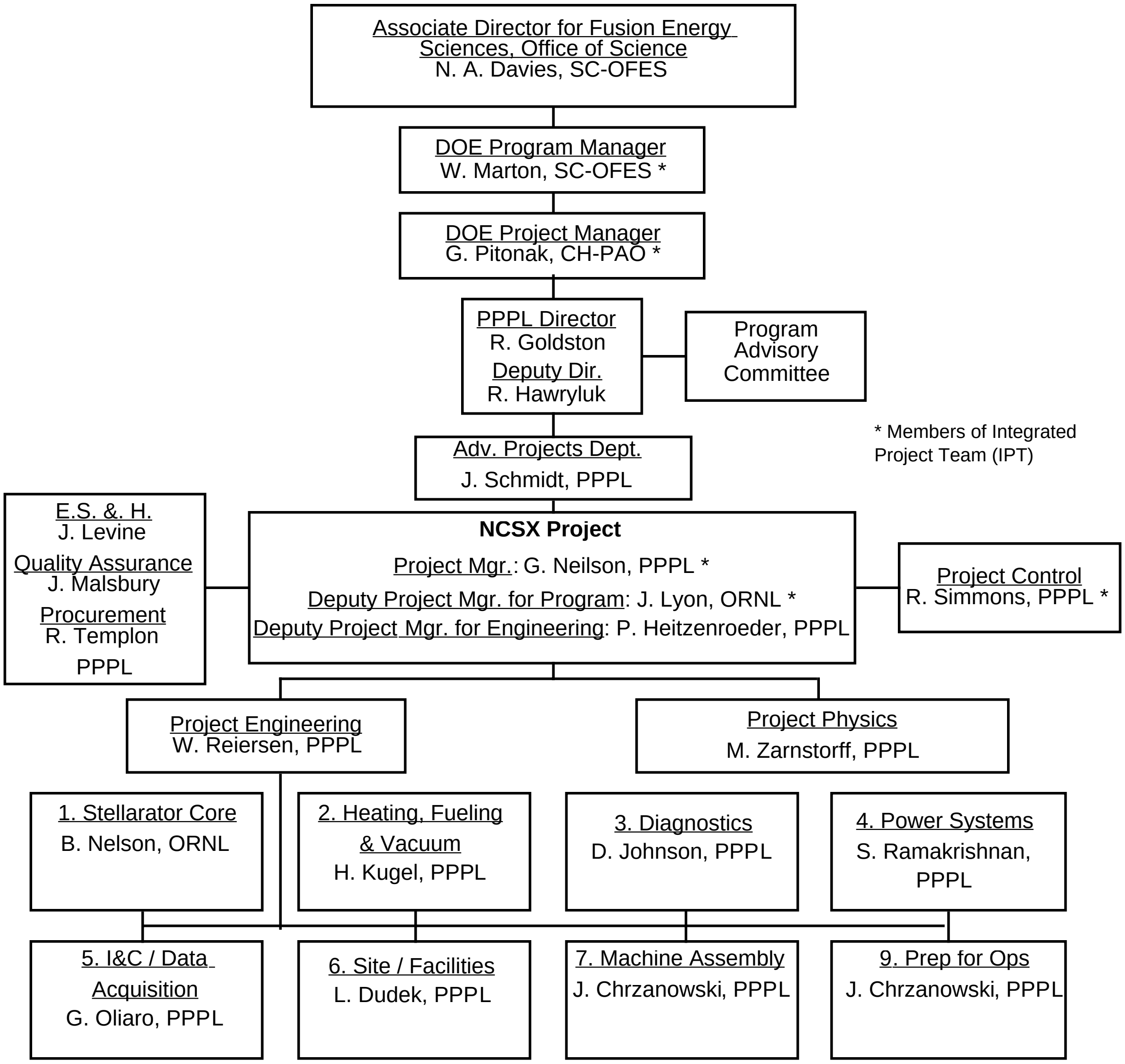
The design of the stellarator core and facility re-configuration will be done by Laboratory (PPPL and ORNL) researchers and engineers. Development and manufacture of the major stellarator core components such as the coils and vacuum vessel will be done in industry, under contract to PPPL, or by a combination of industry and Laboratory efforts. The device will be assembled by Laboratory personnel. Ancillary systems will be assembled from a combination of new and existing equipment. Major site credits to be used are the PBX-M neutral beams, D-site magnet power supplies originally used on TFTR, some C-site power supplies, the PBX-M vacuum pumping and gas injection systems, the test cell and associated infrastructure, and the adjacent control and computer rooms. As part of the project, the facilities and equipment to be re-used will be reconfigured or refurbished as needed to meet NCSX requirements. In the final stage of the project, an integrated testing program will be carried out and a plasma ("first plasma") will be produced in the device to make it ready for experimental operations.

4.0 MANAGEMENT STRUCTURE AND RESPONSIBILITIES

4.1 NCSX Project Organization Structure

The NCSX project will be led by the Princeton Plasma Physics Laboratory (PPPL) with the Oak Ridge National Laboratory (ORNL) providing major leadership and support as a partner. The partners have formed an integrated team to carry out the NCSX project, where engineers and scientists from PPPL and ORNL work together to bring the necessary expertise to the project. This means that PPPL engineers and scientists will support areas in which ORNL has the lead and similarly, ORNL engineers and scientists will support areas in which PPPL has the lead. Management responsibilities are clearly assigned to one partner or the other, and PPPL has overall responsibility for the project.

Figure 4.1-1 depicts the NCSX project organization structure and the key management responsibilities of the partner institutions.



NCSX Project Organization Structure

Figure 4.1-1

The following subsections describe the relationships between the elements of the organization and their responsibilities.

4.1.1 U.S. Department of Energy (DOE)

Within the DOE, the responsibility for the NCSX Program resides in the Office of Fusion Energy Science (OFES) and an OFES NCSX Program Manager has been assigned. The management responsibility, authority, and accountability for the day-to-day execution of the NCSX Project within the DOE are the responsibility of the Manager of the Chicago

Operations Office (CH). CH has delegated major authorities and responsibilities for the NCSX Project to the Manager of the Princeton Area Office (PAO), who has designated a DOE NCSX Project Manager.

The DOE NCSX Program Manager (DOE-OFES) is:

- Responsible for defining project objectives, scope, schedule and cost, including
  - Allocating project funding; and
  - Coordinating the organization and implementation of major project reviews (e.g., Physics Validation Review, Conceptual Design Review, etc.).

The DOE NCSX Project Manager (DOE-PAO) is:

- Responsible and accountable for planning and implementing, and completing the project using a systems approach.
- Organizing and directing the Integrated Project Team (IPT) that is comprised of both DOE and NCSX Project team personnel to implement and achieve the overall project objectives and goals.
- Responsible for overseeing implementation of the project objectives, scope, schedule and cost, including:
  - Overseeing the design, fabrication, environmental, safety, and health efforts performed by the PPPL and ORNL team and their subcontractors, and other functions enumerated in the Project Execution Plan , in accordance with public law, regulations, and Executive orders.
  - Serving as the point of contact between federal and contractor staff for all matters relating to the NCSX Project and its execution.
  - Serving as the Contracting Officer's technical representative.

4.1.2 DOE Contractor Organizations

4.1.2.1 Princeton Plasma Physics Laboratory (PPPL)

PPPL has overall responsibility for NCSX project execution, reporting to DOE through the Laboratory Director. The NCSX Project is assigned to PPPL's Advanced Projects Department. Project support in the areas of Quality Assurance and Environment, Safety and Health are provided by PPPL. Major hardware procurements will be placed through PPPL's procurement organization.

4.1.2.2 Oak Ridge National Laboratory (ORNL)

ORNL is a partner in the NCSX project with key management responsibilities. ORNL has management responsibility for the stellarator core (WBS 1). At least one Deputy Project Manager will be from ORNL. Within the ORNL organizational structure, the NCSX Project is managed within the Fusion Energy Division. .

4.1.2.3 Other Organizations

All other participants (i.e., industrial or university organizations) are subcontractors to either PPPL or ORNL.

4.2 NCSX Management Team

Key project positions and responsibilities are as follows:

4.2.1 Senior Laboratory Managers

4.2.1.1 PPPL Director

The PPPL Director has overall responsibility to DOE for the execution of the NCSX Project. He is supported by the Deputy Director.

4.2.1.2 PPPL Advanced Projects Department Head

The responsibility for NCSX is assigned to the PPPL Advanced Projects Department. The PPPL Advanced Projects Department Head reports to the PPPL Director.

4.2.2 NCSX Project Management Team

4.2.2.1 NCSX Project Manager

The NCSX Project Manager is responsible for the day-to-day execution of the NCSX project in a cost-effective manner, in accordance with requirements, procedures and standards, as set forth in the contract. This includes executing the technical, cost, schedule, project control, ES&H, and quality assurance aspects of the project within approved cost, schedule, and scope baselines, as defined in the Project Execution Plan and the contract. He is the project's primary point of contact with DOE and with the Program Advisory Committee. He reports to the PPPL Advanced Projects Department Head.

4.2.2.2 Deputy Project Manager for Program

The NCSX Deputy Project Manager for Program supports the Project Manager especially on programmatic issues. The current incumbent is this part-time position is from ORNL. He reports to the Project Manager.

4.2.2.3 Deputy Project Manager for Engineering

The NCSX Deputy Project Manager for Engineering supports the Project Manager, especially on engineering issues. He is the project's senior management representative in the PPPL engineering organization. The incumbent in this part-time position reports to the Project Manager.

4.2.2.4 NCSX Project Physics Head

The NCSX Project Physics Head is responsible for the physics requirements and supporting physics analyses as necessary. He reports to the Project Manager.

4.2.2.5 NCSX Project Engineering Manager

The NCSX Project Engineering Manager is responsible for carrying out the NCSX engineering design and fabrication to meet project requirements. He reports to the Project Manager.

4.2.2.6 WBS Managers

The project engineering work organization is structured according to the work breakdown structure (WBS). Each WBS Level 2 element has a WBS Manager, who is responsible for the execution of the work scope. The WBS managers report to the Project Engineering Manager.

4.2.2.7 NCSX Project Control Manager

The Project Control Manager reports to the NCSX Project Manager and is responsible for all project control and administrative functions necessary to support NCSX Project activities.

The NCSX Project Control Manager's support responsibilities include:

- Coordinating the development of project plans and administering the centralized Work Authorization system;
- Maintaining up-to-date NCSX cost and schedule baselines that are consistent with the technical baseline;
- Coordinating the preparation of statements of work, sole source justifications (as appropriate), the processing of requisitions, and tracking of procurements and subcontracts supporting the project;
- Establishing, maintaining, and monitoring project budgets and schedules to ensure consistency with project control milestones and funding;
- Operating the PPPL Project Control System (PCS) as the Project Control System for the NCSX Project.
- Assisting the Project Engineering Manager in administering the operation of the NCSX documentation, configuration management, requirements definition, and design description systems;
- Serving as the primary point-of-contact to the PPPL Business Operations Department; and
- Performing administrative functions such as space planning, facility maintenance coordination, travel approvals and vouchers, and overall personnel planning.

4.2.2.8 Quality Assurance and Environment, Safety & Health (ES&H)

A NCSX Quality Assurance Engineer and a NCSX ES&H Engineer are assigned to support the NCSX Project Manager. A brief description of their responsibilities follows:

Quality Assurance Engineer support responsibilities - The NCSX QA Engineer, with the support of the entire Quality Assurance Division, will assist the project in meeting quality assurance/control objectives. Support tasks include:

- Preparing a project QA plan;
- Assisting in the development of project procedures, policies, and other plans, as requested by project management;
- Providing quality related services such as inspections and support of procurements; and
- Performing both compliance-based and performance-based audits of the project and its associated plans and procedures

ES&H Engineer support responsibilities - The NCSX ES&H Engineer will assist the project in meeting ES&H objectives. These include safe execution of the project and producing a facility that will be safe to operate. He will assist in implementing PPPL ES&H policies and procedures. The NCSX ES&H Engineer will prepare any required NEPA documentation and a Safety Assessment Document (SAD).

4.3 Program Advisory Committee

Advice by the U.S. and world fusion community on the NCSX Project scientific and technical issues is being obtained through the NCSX Program Advisory Committee (PAC). The NCSX PAC is composed of a broad spectrum of technical experts of the U.S. and world fusion community. The PAC provides this advice to the PPPL Director. It addresses key technical issues identified by the NCSX Project. It meets periodically at the request of the PPPL Director.

4.4 Integrated Project Team

On the NCSX Project, the Integrated Project Team (IPT) is made up of key DOE and NCSX Project Team personnel. As indicated in Section 4.1.1, the IPT is led by the DOE NCSX Project Manager. While the makeup of the IPT will evolve as the project matures, the initial makeup of this cross-functional team includes the following personnel:

- The DOE NCSX Project Manager;
- The DOE Program Manager;
- The NCSX Project Manager;
- The NCSX Deputy Project Manager for Program;

- The NCSX Project Control Manager

Other DOE and NCSX Project Team and PPPL personnel may be added as the need arises in order to accomplish the NCSX Project objectives. For example, as the NCSX Project nears operation, personnel with operational experience will no doubt be added to the team. Additionally, as the need arises, DOE or PPPL personnel with expertise in procurement, fiscal, technical, and legal areas may be included in the IPT.

5.0 WORK BREAKDOWN STRUCTURE (WBS)

The WBS organizes the NCSX project work scope and provides the logical structure that will be used to control the project. The WBS is composed of a few levels as required for work definition and control. By convention, the first digit in the WBS is designated "level 2," the second "level 3," etc. The Level 2 WBS matrix is provided in Table 5-1 below. This WBS is expanded and more completely defined in a series of separately issued and approved set of WBS dictionaries. The WBS Dictionary for each WBS element contains a brief description of the work scope for each element. This work scope includes design work necessary to assure that required future upgrades can be accommodated.

NCSX Project Work Breakdown Structure

Table 5-1

WBS	Description (WBS Level 2)
1	Stellarator Core Systems
2	Plasma Heating, Fueling, and Vacuum Systems
3	Diagnostic Systems
4	Power Systems
5	Central I&C Systems
6	Site and Facilities
7	Machine Assembly
8	Management and Integration
9	Preparations for Operations

6.0 RESOURCE PLAN

6.1 NCSX Project Costs

As a Major Item of Equipment (MIE) the NCSX project will be funded with Capital Equipment Funds. The cost objective is measured by the Total Estimated Cost (TEC) – this cost encompasses all project work scope, as defined in Section 2.2.1 previously. These TEC cost activities will be used to measure the performance of the NCSX Project against its technical, cost, and schedule baselines. Section 2.2.2 previously identified the cost objective for this project.

In accordance with DOE guidance, the historical costs for pre-conceptual and conceptual design of NCSX through FY-2002 were funded via Operating (OPEX) funds and are not part of the TEC to design and fabricate NCSX.

Research planning and preparations activities in support of the operations program and upgrades to the basic machine capabilities are not included in the NCSX Project scope and will be funded with OPEX funds. Of necessity, this work will proceed in parallel with the design and fabrication of the NCSX device in order to be fully prepared to conduct the research program.

6.2 Funding Profiles

Table 6-1 below provides the preliminary DOE NCSX funding guidance profiles for the project execution phase. This profile is based on current DOE project planning guidance (October 2001). It should be noted that the current project's TEC and the DOE guidance is slightly in variance (~$3M) and this will be reconciled by OFES through the normal budget process. The cost of research planning and preparation activities and upgrades are still in the process of being estimated.

Table 6-1

Preliminary NCSX Funding Guidance for the Project Execution Phase

	FY2003	FY2004	FY2005	FY2006	FY2007	Totals
	◄───	───	───	───	───►	
NCSX Fabrication Project (TEC)	$11.0M	$16.0M	$17.0M	$17.0M	$8.0M	$69.0M*
Research Planning & Preparations	$0.8M	$0.8M	$1.2M	$1.6M	**	
TOTALS	**$11.9M**	**$16.8M**	**$18.2M**	**$18.6M**		**$75.0M**

*** Current Project TEC is $72M**
** **Operations will start during FY-2007**

6.3 Life Cycle Costs

Although the total life-cycle cost has yet to be determined, it is possible to identify the components. Fusion facilities like NCSX typically operate for about 10 years or more, and the major stellarator core components are expected to have operating lifetimes equal to that of the entire experiment. As is typical of fusion experiments, it is anticipated that additional upgrades to enhance the performance will be procured during the project's lifetime. At this stage of the project the annual facility operating and upgrade expenses are not yet estimated in detail. At the end of the project's life, it is anticipated that the facility will be decommissioned and dismantled with much of the equipment likely to be re-used by other projects. The remaining equipment would be removed and it is expected that these activities should be routine and relatively inexpensive, although a small amount of radioactive activation and/or contamination of the structures is expected

7.0 PROJECT BASELINES

The initial NCSX Project configuration, schedule, and cost baselines were developed in the conceptual design phase of the project. These baselines will be used as configuration, cost, and schedule targets for Title I planning. However, in accordance with the DOE's project management policies, the cost and schedule performance baselines will not be formally established until the completion of the Title I (Preliminary) design. Section 7.1 which follows addresses the management and control of the configuration (sometimes also called the technical) baseline. At that time, they will come under the configuration control processes that are outlined later in this PEP.

7.1 Configuration Baseline

The configuration or technical baseline is the configuration/technical documentation formally designated at a specific time during the Project. Configuration baselines, plus approved changes to those baselines, constitute the current configuration documentation. Establishment of configuration baselines will follow the industry standard for systems engineering, EIA/IS-632 *Systems Engineering*. There are three formally designated configuration baselines, namely the functional, allocated, and product baselines.

The functional baseline is the initially approved documentation describing the system's functional, performance, and interface requirements and the verification required to demonstrate the achievement of those requirements. The functional baseline is established when the system (top-level) specification, the General Requirements Document, is approved.

Lower level development or "design-to" specifications will be developed from requirements allocated from the system specification. The allocated baseline is the initially approved documentation describing subsystem functional, performance, and interface requirements that are allocated for those of the system or higher level subsystem; interface requirements with interfacing subsystems; design constraints; derived requirements; and verification requirements and methods to demonstrate the achievement of those requirements and constraints. Generally, there is an allocated baseline for each subsystem to be developed. The allocated baseline is typically established late in preliminary design with the validation of the subsystem development specification.

The product baseline is the initially approved documentation describing all of the necessary functional, performance, and physical requirements of the subsystem; and the functional and physical requirements designated for production acceptance testing. Product or "build to" specifications and engineering drawings are part of the product baseline. Generally, there is a product baseline for each subsystem, component, and part. The product baseline is typically established late in final design or early in the fabrication phase with the validation of the product specification and supporting documentation.

7.2 Cost and Schedule Baselines

The cost and schedule baselines are documented in the NCSX project resource-loaded schedule. The Primavera Project Planner (P3) commercial scheduling module will be the standard software used for the NCSX project. There will be a minimum of four levels of detail starting with the Level I or Project Summary Schedule. This summary level schedule will identify significant DOE and project milestones and summary logic for the entire project. The other three levels of schedule are as follows and provide increasingly greater level of detail:

- Level II or Intermediate Schedules – will show major milestones and key tasks summarized by WBS, including key interrelationships.
- Level III or Job Level Schedules – are the detailed schedules prepared by the job manager. This schedule is established as part of the Work Authorization process and will span at least the current fiscal year. Since this schedule is the basis for each approved job or task, it is the heart of the cost and schedule baseline. These schedules will be resource loaded at the activity level and will form the basis for the NCSX Project Control System described in Section 10.0 of this PEP. Progress against established technical, cost, and schedule targets will be measured and evaluated monthly using the information contained in the Level III schedules.

The activity detail that provides basis for these resource loaded schedules are documented in a separate Cost and Schedule Document. Subsystem-specific contingencies are included and detailed resource-loaded schedules are available. These schedules clearly demonstrate the critical path activities, major milestones at both the summary and detailed levels. Level IV or Working Level Schedules – depending on the needs of the project, detailed working level schedules are prepared as needed. As critical tasks occur (e.g., complex hardware procurement, fabrication and installation tasks, etc.), activities that are covered in the Level III job schedules may be broken down into additional detail to allow for coordination of work by the responsible manager. Level IV schedules may also be developed by cognizant job managers to aid in the performance and control of their jobs. This level of schedule detail is normally not controlled at the same rigor as higher level schedules, but efforts are made to ensure continuity to established project milestones and Level III schedules.

8.0 Control of Project Baselines

8.1 Configuration Management Approach

Changes to the NCSX configuration, cost, and schedule baselines will be controlled using a disciplined, yet flexible configuration management approach. This approach will ensure that the configuration, cost, and schedule baselines are controlled at the appropriate level for the respective stages of the Project and that changes to the baseline will be carefully considered and evaluated for impact before proceeding. Processes for effecting changes to the configuration, cost, and schedule baselines are described in the Configuration Management Plan (NCSX-PLAN-CMP).

8.2 Change Control Process

The NCSX change control process ensures that changes to the NCSX design and requirements are properly identified, screened, evaluated, implemented, and documented. A formal procedure will be established prior to the beginning of Preliminary Design to implement the process of change classification and submittal of supporting documentation.

Once an Engineering Change Proposal (ECP) has been prepared and the impacts fully documented, the ECP will come before a project Change Control Board (CCB) that is comprised of senior members of the NCSX management team. The NCSX Project Manager or his designee will chair the CCB. Other members of the CCB will be assigned as appropriate, but may include the following:

- NCSX Project Control Manager
- NCSX Engineering Manager
- NCSX Physics Head
- WBS Managers
- ES&H representative
- QA representative
- Other cognizant job managers impacted by the proposed change

The chairperson shall have the ultimate authority to recommend changes for the final approval; other board members act solely as advisors.

Once a proposed change is approved, the project will implement the change in a timely manner. An updated list of approved, disapproved, and pending changes will be maintained electronically by Project Engineering on the NCSX File Share System.

8.3 Change Control Levels

Changes to the NCSX configuration, cost, or schedule baselines will be classified according to their impact on the project. The change approval levels are established consistent with the technical, cost, and schedule risk and are intended to feed into the higher level DOE configuration change system. Table 8.3-1 summarizes the change classification and criteria.

Table 8.3-1

NCSX Change Classification Matrix

Category	Highest Level Approval	Criteria
A1	DOE Under Secretary	• Changes to the Project Acquisition Plan
A2	DOE - OFES	• Changes to the mission; • Changes to the technical objectives; • Changes to the project cost objective (TEC); and • Changes to DOE Level 0 and 1 milestones. • •
A3	DOE - PAO	• Changes requiring use of Contingency funds; • Changes to DOE Level 2 Milestones; • Changes to the Project Execution Plan (PEP); and • Changes with ES&H impacts significant enough to affect the approved NEPA documentation
B	NCSX Project Manager	• All other changes to the configuration, cost, and schedule baseline • All other changes to documents under configuration control.

8.4 Contingency Management Plan

The amount of contingency is established at the beginning of the project based on a risk assessment performed as part of the cost estimating process. A formal risk-assessment methodology that considers technical, cost, and schedule risks at the WBS Level 3 is applied, using a high-medium-low risk classification. This methodology is outlined in Annex II to this plan. The initial project contingency level is approved by the DOE NCSX Project Manager.

Based on experience with similar projects, changes in scope of work and schedule, requiring the application of contingency, typically arise as a project proceeds. All such changes will be handled via the change control process described in the preceding section, which specifies that changes involving the application of contingency must be approved by the NCSX DOE Project Manager. Cost and schedule performance measurement baselines and remaining contingency will be adjusted upon approval of change proposals.

Each fiscal year, not later than the middle of the year, the NCSX Project Manager will assess the status of authorized work, achieved milestones, and current and future risks, to determine how to apply remaining management reserve (See section 10.2) funds under his control. They can be used to authorize as yet unfunded work planned for the current or future years, to fund approved changes, or a combination of these. Such changes, if they require the application of contingency, will be handled via the change control process defined in Section 8.2 and will, as stated there, require DOE approval. This decision will occur early enough in the fiscal year to permit effective use of these funds, and will be presented as part of the annual mid-year project review meeting with DOE.

9.0 Project Management and Control Systems

9.1 Project Management Systems Approach

The NCSX Project Manager will ensure that all project activities are properly controlled using PPPL's Project Control System (PCS). This system will be used as a management aid in planning and executing the project work scope and evaluation of schedule and budget performance. The status of progress and variance in the WBS elements will be reported monthly to the NCSX Project Manager.

The NCSX Project Manager will work to ensure early detection of technical, schedule or cost problems through regular meetings of the Systems Integration Team (SIT). The functions of the SIT are described in the Systems Engineering Management Plan (SEMP).

9.2 Project Control System Overview

The NCSX Project will use the existing PPPL Project Control System (PCS) as described in the PPPL Project Control System Description. This description describes the “graded approach” concept to be applied to PPPL projects and is available as a separate lab document. This document was reviewed and approved by DOE in 1996. The PPPL PCS satisfies the principles of project management and control systems outlined in this PEP and DOE Order 430.1 ("Life-cycle asset-management"). ORNL and other participants will utilize the PPPL PCS to ensure that the entire project cost and schedule performance is measured. The PCS provides a centralized work authorization system that the project will use.

The PCS is an integrated management control and reporting system that establishes the documentation, data requirements, information flow, and system disciplines necessary to operate and maintain a system for control of the NCSX Project work, costs, and schedules. The overall objective of the PCS is to provide PPPL and DOE with timely and auditable cost and schedule performance information that can be used to monitor, control and manage Project progress. To accomplish this objective, the PCS provides a formal process for:

- Organizing the project work scope via the WBS;
- Planning and estimating the work scope via the project resource loaded schedule;
- Authorizing work and forecasting resource requirements via the WAF;
- Controlling management reserve and authorized allocated contingency via the change control process;
- Monitoring progress relative to schedule status and completion estimates and reporting cost and schedule performance against established cost and schedule baselines using the Level III schedules ;
- Documenting approved changes to the performance measurement technical, cost, and schedule baselines via the change control process; and

- Analyzing variances to the cost and schedule baselines, including critical path analyses resulting from status results of the Level III schedules.

The key planning and measurement tool for the project is the Level III schedule, but the PPPL work authorization process forms the basis for development of these schedules. Through the work authorization process, details of work scope, schedule, budget, and responsibility will be integrated, documented, reviewed, and agreed to by both project management and the performing organization. The cognizant job manager will be responsible and accountable for accomplishing the scope of the work, as defined, with established schedule and cost targets. The vehicle for documenting and authorizing work is the Work Approval Form (WAF). The WAF formally documents the work scope to be performed, establishes a schedule, provides a cost estimate, identifies a responsible person for accomplishing the work, and provides time phased cost and manpower profiles.

9.3 Cost and Schedule Reviews

Nominally the Project will schedule schedule quarterly reviews of Project status. Two of these reviews will focus on cost and schedule aspects of Project. One cost and schedule review will be scheduled near the middle of the fiscal year during the period preceding the presentation of the Field Work Proposal and one near the end of the fiscal year. At these meetings the project will report the status of the project in general and the cost variances that potentially impact the level of contingency in particular. Progress on detailed planning will also be reported. Based on these inputs the project will recommend to DOE changes to the Project Baseline. This recommendation will be documented in the form of a formal change. The other two quarterly reviews will focus more deeply on the technical aspects of the Project.

9.4 Reporting

Quarterly project reports will be prepared for the DOE NCSX Project Manager. However, to foster and facilitate visibility into project status all monthly PCS status will be provided to the DOE NCSX Project Manager. Additionally, DOE-PAO participation in monthly meetings as well as design reviews will be encouraged.

10.0 Funds Management

10.1 Project Funding Mechanisms

PPPL and ORNL will each be funded directly via DOE B&R line. Participation of other organizations will be funded by either PPPL or ORNL through subcontracts. Transfer of funds from PPPL to ORNL or vice versa will be accomplished by Financial Plan transfer requests to DOE. All project work and expenditure of project funds will be centrally authorized and controlled by the project office via the PCS. The annual NCSX funding requirements will be updated each year by PPPL and ORNL through their respective DOE Field Work Proposal (FWP) processes.

10.2 Management Reserve Funds

All funds authorized for the Project by the DOE Financial Plan will be disbursed to the Project (PPPL and ORNL). Management reserve funds are a portion of each year's approved funding allowance that are set aside at the beginning of each fiscal year instead of being immediately used to authorize work. Management reserve funds will be held in a unique management reserve account controlled by the Project Manager. As needs arise, the Project Manager will authorize disbursement of the management reserve funds to authorize as yet unfunded work scheduled for the current year or future years, or resolve approved changes arising within the current year's authorized scope of work. Such changes, if they require the application of contingency, will be handled via the change control process defined in Chapter 8 and will, as stated there, require DOE approval. As part of the reporting process, the NCSX Project Manager will report on management reserve disbursements regularly, and as part of the annual mid-year project review meeting with DOE.

11.0 RISK MANAGEMENT

11.1 Overview of the Project's Approach to Risk Management

The NCSX project will manage risks, where "risk" refers to factors within the project's control that threaten project performance, namely:

- Technical risk- the possibility that the product might not meet requirements
- Cost risk- the possibility that the cost might exceed the target value.
- Schedule risk- the possibility that the project might take longer to complete than planned.

Control of environment, safety, and health hazards, while part of risk management in a broader sense, is covered in other sections.

As part of the NCSX development program, the project will provide a risk management program to minimize the NCSX risks. This program will provide for early identification of risk and initiation of mitigation activities. Minimization of risk will be provided through early management oversight allowing the application of additional resources or development of alternative technologies. The Systems Integration Team (SIT) will be responsible to identify areas of risk, coordinate the development of risk mitigation plans, and monitor performance against these plans. The functions of the SIT are discussed in the Systems Engineering Management Plan (NCSX-PLAN-SEMP)

The project's risk management approach, as defined here, has two main components:

- Risk as a criterion in decision-making.- Simply put, risk reduction is a consideration in decision-making in all phases of the project. For example, when selecting among design options, potential vendors, or processes, the risks associated with the various choices will be assessed and factored into the decision.
- Management of contingency - A contingency allowance is established at the beginning of the project to provide for unanticipated scope changes and increases in in-scope costs. This contingency allowance is not included in the cost and schedule performance measurement baselines by which the project is measured and controlled, but is part of the approved cost baseline. It is a part of the project's budget whose purpose is to reduce risk. Section 8.4 specifically addresses the mechanisms for managing contingency.

12.0 ACQUISITION STATEGY

12.1 Overview

The key feature of the NCSX acquisition strategy and planning is the procurement of the critical components that comprise the stellarator core. The stellarator core includes the modular coils, vacuum vessel, supplementary coil systems (e.g., TF and PF), and plasma facing components (PFCs). The procured components will be assembled by Laboratory labor into the completed stellarator core assembly.

Although the design of the stellarator core systems will be led by ORNL, all major procurements for all systems will be placed by the PPPL Procurement Department.

12.2 Stellarator Core Systems Procurement

The Project has developed and is implementing the following acquisition strategy for the procurement of the NCSX stellarator core:

- **Conduct an information meeting at PPPL on the NCSX project and our procurement plans.** An information meeting was held at PPPL in August, 2001, to explain NCSX and the scope and timing of major procurements to interested suppliers. The Project solicited expressions of interest in the major procurements at the information meeting.

- **Selected vendors to conduct manufacturing studies as part of the conceptual design**. As part of conceptual design, the Project placed fixed-price contracts with several suppliers for manufacturing studies of the vacuum vessel and modular coils. As deliverables the suppliers provided recommended manufacturing processes, assessments of the feasibility and technical risks, recommended manufacturing development activities to mitigate those risks, estimates of the expected cost and schedule, and suggestions for alternate approaches.

- **Select one or more vendors to carry out the manufacturing development required for the design and fabrication of the vacuum vessel and modular coil forms.** The project design activities, including the industrial manufacturing studies, will identify the manufacturing development required for the vacuum vessel and modular coil winding forms. Cost reimbursable contracts will be placed to carry out this R&D.

- **Select one or more suppliers for the full-scale manufacturing development prototype.** Cost reimbursable contracts will be utilized to construct full scale manufacturing development prototypes of a sector of the vacuum vessel and individual modular coils. These prototypes will confirm the fabrication process and provide cost and schedule information that will provide adequate control of the risk associated with the full fabrication contracts. The prototype fabrication will also provide input to fabrication vendor selection.
- **Select one or more suppliers for the production units**. Contract(s) for the production units would be fixed-price. The contract for the vacuum vessel and modular coil winding form production units would be open to bidding by all suppliers. The fabrication of the TF and PF coils will also be through fixed price contracts. The PFC's, cryostat, and machine structure are not expected to offer

significant challenges. The plan is to procure each of these under fixed price contracts.

Since the majority of the other systems will primarily be upgrades and/or modifications to existing PPPL systems and structures, it is anticipated that simple build-to-print of fixed price procurements based on firm specifications are feasible.

13.0 DATA MANAGEMENT SYSTEM

13.1 Overview

A system for controlling documents and drawings, adapted from existing PPPL document and drawing control systems using hard copy and electronic media, will be developed to ensure the organized and consistent treatment and format of NCSX documents including procedures, plans, memos, drawings, calculations, requirements documents, design documents, and procurement documents. This system will utilize web-based file servers for rapid review, authorization, updating, and retrieval of documents and drawings. Project documents can presently be retrieved from the NCSX web page located at http://www.pppl.gov/ncsx. The NCSX project has developed a separate Document and Records Plan (NCSX-PLAN-DOC) that identifies documents to be controlled on the project, including the document's purpose, approval level, format, naming convention, and records retention requirements. The Data Management Plan (NCSX-PLAN-DMP) describes the processes to be used for document and drawing control. Processes for effecting changes to controlled documents are described in the Configuration Management Plan (NCSX-PLAN-CMP). All participants are encouraged to use the project standards for documents of either the MAC or PC versions of Microsoft Word, Microsoft Excel, or Microsoft PowerPoint.

13.2 Project Completion Documentation

As required by DOE, a Project Completion Report will be prepared and submitted to DOE/PG within six months of completion of the Project. This report will provide the following information:

- The actual schedule on which the project will have been completed;
- The actual total project costs;
- The technical performance of the systems at project completion; and
- Itemized changes in cost, schedule, and technical parameters as compared to the initial baseline.

14.0 SYSTEMS ENGINEERING AND TECHNICAL MANAGEMENT

14.1 Systems Engineering

Project Engineering has responsibility for implementing a systems engineering program on NCSX. The systems engineering program includes the development and allocation of requirements; system design and verification; risk management; value engineering; configuration management; interface management; data management; and technical reviews. The systems engineering program is described in the Systems Engineering Management Plan (NCSX-PLAN-SEMP).

14.2 Quality Assurance

The NCSX Project QA Plan (NCSX-PLAN-QAP) will demonstrate how the existing PPPL and ORNL-FED Quality Assurance Plans and implementing policies and procedures, in conjunction with additional NCSX specific plans, policies, and procedures will satisfy the requirements of the DOE Order on Quality Assurance, 414.1A, and provide an appropriate level of quality on the project.

14.3 NEPA Documentation And Safety Assessment

Input to the NEPA Documentation, the Environmental Evaluation Notification Form (EENF) has been submitted to DOE and is under review. For purposes of satisfying the CD-1 milestone, the EENF is considered equivalent to the Hazards Analysis...It is anticipated that an Environmental Assessment(EA), similar to that done for NSTX, will be prepared for DOE-PAO approval shortly after the CDRThe EA is then expected to be approved by completion of CD-2. The Safety Assessment Document (SAD) will be prepared and approved by PPPL prior to the start of operations.

15.0 INTEGRATED SAFETY MANAGEMENT PLAN

PPPL follows the institutional Integrated Safety Management Plan (ISM) that has been approved by DOE. The NCSX Project intends to follow that ISM and to adopt this plan as its own for the conduct NCSX work performed at PPPL. ORNL and subcontactors/vendors are responsible for safety at their respective sites.

The Integrated Safety Management (ISM) at PPPL is comprised of:

- The governing policy that safety be integrated into work management and work practices at all levels.
- The distinct policies, programs, procedures, and cultural beliefs that PPPL has developed as the structure that PPPL workers utilize in fulfilling PPPL's environmental, safety, and health responsibilities.

The NCSX project will incorporate ISM into its management approach as follows:

- By accepting responsibility for safety as a line management responsibility. The project manager is responsible for safe execution of the project.
- By following PPPL procedures for work planning (e.g., ENG-032, etc.), where applicable. These procedures incorporate the ISM core functions of folding safety into the work planning, establishing appropriate controls, operating within established parameters, feedback. The "core functions" of ISM include the following 5 step process:
  - Defining the scope of work;
  - Analyzing the hazard;
  - Developing and implement hazard controls;
  - Performing the work within these controls; and
  - Providing feedback and continuous improvement to this process.

  Where project-specific procedures must be developed, ISM principles will be incorporated into them.

16.0 REVISIONS TO THE PROJECT EXECUTION PLAN

This plan, when adopted and approved following completion of the CDR, will remain in effect until the completion of the NCSX fabrication project. An annual review of the NCSX Project Execution Plan will be conducted, jointly by the PPPL Advanced Projects Department Head, the NCSX Project Manager, and the NCSX Engineering Manager to determine possible recommendations for update and/or revision. Revision and/or changes to this document will require approval of all the original signers of this document or their successors.

Annex I

NCSX SCOPE DEFINITION

NCSX Scope

WBS			NCSX Scope at First Plasma (Notes 1 & 2)
1	**Stellarator Core Systems**		
	11	Plasma Facing Components	Limiters for Ohmic Operation
	12	Vacuum Vessel	Complete
	13	TF Coils	Complete
	14	PF Coils	Complete
	15	Cryostat	Complete
	16	Machine Structure	Complete
	17	Modular Coils	Complete
	18	Trim Coils	External Trim Coils
2	**Auxiliary Systems**		
	21	Plasma Facing Components	
	211	Gas Fueling Systems	Complete
	212	Pellet Injector Systems	Designed to Accommodate
	22	Vacuum Pumping Systems	Complete
	23	Wall Conditioning Systems	Glow Discharge Cleaning
	24	RF Heating Systems	Designed to Accommodate
	25	Neutral Beams	2 Beamlines Installed and Tested at Subsystem Level
3	**Diagnostic Systems**		
	31	Magnetic Diagnostics	Phase I & II
	32	Fast Particle Diagnostics	Designed to Accommodate
	33	Impurity Diagnostics	Designed to Accommodate
	34	MHD Diagnostics	Designed to Accommodate
	35	Profile Diagnostics	Phase I & II
	36	Edge & Divertor Diagnostics	Phase I & II
	37	Turbulence Diagnostics	Designed to Accommodate
	38	Electron Beam Mapping	Complete
	39	Diagnostics Integration	Complete
4	**Power Systems**		System for Initial Ohmic Scenario
5	**Central I&C and Data Acquisition**		
	51	TCP/IP Network Infrastructure	Complete
	52	Central Facilities I&C	As Needed for In-Scope Systems
	53	Data Acquisition & Facility Computing	As Needed for In-Scope Systems
	54	Facility Timing & Synchronization	Complete
	55	Real Time Control Systems	Complete
	56	Central Safety Interlock Systems	Complete
	57	Control Room Design	Complete

NCSX Scope

WBS			NCSX Scope at First Plasma (Notes 1 & 2)
6	**Site and Facilities**		
	61	Facilities Mods & Site Prep	Complete
	62	Water Cooling Systems	Complete
	63	Cryogenics Systems (LN2 & He)	Complete
	64	Utility Systems	Complete
	65	VV & PFC Bakeout System	150 C VV Bakeout
	66	Facility Systems Integration	Complete
7	**Machine Assembly**		Complete
8	**Project Oversight & Support**		Complete
9	**Preparations for Operations**		Complete

Notes:

(1) Costs included in the MIE Project Scope

(2) "Complete": Full Capability Available at First Plasma

"Designed to Accommodate": Design Accommodates as a Future Upgrade

Other Categories: Self-explanatory

Annex II

NCSX Contingency Guidelines

NCSX Contingency Guidelines

Cost Contingency Overview

Contingency is the amount of additional money, above and beyond the base cost, that is required to ensure the project's success from a cost perspective. Section 11.0 of the Project Execution Plan (PEP) addresses contingency as part of the overall Risk Management approach utilized on the NCSX Project. The following guidelines provide a standardized basis for arriving at the appropriate contingency value. This approach is patterned after that used on the recent fusion projects and has been accepted by DOE.

Contingency Estimating Procedure

The contingency estimate is developed by assessing risk and weighting factors in three areas; technical, schedule, and cost. Although the suggested procedure for determining the appropriate percentage of contingency is outlined below, each WBS Manager has the option to modify it as appropriate to reach a more appropriate level of contingency for his sub-system. The following procedure should be utilized as a starting point in determining your contingency:

- Compare the conceptual state of the subsystem with the descriptions contained in **Table 2-1**. There are three factors to consider:
- A Technical Risk Factor is assigned based on the current state and level of the design;
- A Schedule Risk Factor is identified based on that subsystem's criticality to the overall schedule;
- A Cost Risk Factor is assigned based on the overall estimating methodology used to arrive at the cost estimate for that subsystem.

- Compare the potential risk within a subsystem with **Table 2-2** to determine the appropriate weighting factor. A Technical Weight Factor is assigned based on the overall level of engineering and manufacturing difficulty for the subsystem. Often times it is not known if a certain design will be feasible, but is simple to manufacture. Conversely, an item/subsystem may be engineered quite easily, but has never been built. Some items/subsystems may even be pushing the state-of-the-art with uncertainty in the producibility of the design. Depending on the scenario between engineering and manufacturing, different Technical Weighting Factors may be applied.

  A **standardized** Schedule Weighting Factor of 1% has been assigned for the NCSX pre-conceptual Cost Estimate.

  Cost Weighting Factors are assigned based on whether that subsystem is primarily composed of assembly items, therefore having only possible labor rate impacts, or if material costs are also included meaning raw material prices, vendor estimates, and labor rates may affect the estimate, thus requiring a larger Cost Weighting Factor.

- Once the Risk Factor and Weighting Factor is determined for each of the three areas (technical, schedule, and cost), multiply the individual risk factors by the appropriate weighting factors and then sum to determine the contingency percentage for each area.

  Example: If the technical risk factor is 4 and the technical weighting factor is 4%, the total technical contingency component would be 4 x 4% = 16%. If the schedule risk factor is 4 and the schedule weighting factor is 1%

(Standardized), the total schedule contingency component would be 4 x 1% = 4%. If the cost risk factor is 3 and the cost weighting factor is 2%, then the total cost contingency component would be 3 x 2% = 6%. The total calculated contingency would thus be 16% + 4% + 6% = 26%.

- Sum the contingency percentages for each area to arrive at a composite contingency percentage. The dollar amount of contingency will be determined by the NCSX Project Costing Team at PPPL by multiplying the base estimate (MIE + OPEX) by the calculated composite contingency percentage.

NCSX Contingency Guidelines

Table 2-1
Technical, Schedule, & Cost Risk Factors

Risk Factor	*Technical*	*Schedule*	*Cost*
1	Existing Design and O the Shelf H/W	*Not Used*	Off the Shelf or Catalog Item
2	Minor Modifications t an Existing design	No Schedule Impact c Any Other Subsysten	Vendor Quote from Established Drawings
3	Extensive Modificatior to an Existing Design	*Not Used*	Vendor Quote with Some Sketches
4	New Design, but Nothing Exotic	Delays Completion of Non-Critical Path Subsystem Activity	In-House Estimate Based on Previous Similar Experience
6	New Design, Different from Established Desi or Existing Technolog	*Not Used*	In-House Estimate witl Minimal Experience, but Related to Existing Capabilities
8	New Design that Requires Some manufacturing Development, but Does Not Advance the State-of-the Art	Delays Completion of Critical Subsystem Activity	In-House Estimate witl Minimal Experience ar In-House Capabilities
10	New Design Development of New Technology which Advances the State-of-the Art	*Not Used*	Top-down Estimate Based on Experience from Analogous Programs
15	New Design, Way Beyond the Current State-of-the-Art	*Not Used*	Engineering Judgment

NCSX Contingency Guidelines

Table 2-2
Technical, Schedule & Cost Weighting Factors

Area	Condition	Risk %
Technical	Design OR Manufacturing Uncertainties	2%
	Design AND Manufacturing Uncertainties	4%
Schedule	Same for All Cases	1%
Cost	Material Cost OR Labor Rate Uncertainties	1%
	Material Cost AND Labor Ra Uncertainties	2%

NCSX Contingency Guidelines

Contingency Specification Rationale Worksheet

WBS Level 4 Identifier:		**Title:**		
Originator:		**Date:**		
	Technical	**Schedule**	**Cost**	**Total**
Risk Factor (Table 2-1):				
Weighting Factor (Table 2-2):				
Percent				

Recommended Contingency Allowance (%):

Rationale for Selection of Contingency Allowance: