

Management System: [Project Management](#)

Subject Area: [Project Delivery](#)

Procedure: **Managing the Project Transition/Closeout Phase**

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1.0 Applicability

This procedure applies to Office of Environmental Management (EM) Federal Project Directors (FPDs), Integrated Project Team (IPT) Members, and EMCBC Line Management responsible for the execution of all projects subject to the mandatory project management requirements in [U.S. Department of Energy \(DOE\) Order 413.3B, Program and Project Management for the Acquisition of Capital Assets](#). This procedure specifically pertains to the Transition/Closeout phase of EM projects. Planning for this project phase should begin well before Critical Decision 3 (CD-3, Approve Start of Construction) and will be completed well after Critical Decision 4 (CD-4, Approve Start of Operations or Project Completion). Planning for project transition/closeout should include consideration of applicable “site transition” planning requirements and must be accomplished well in advance of the planned date for [EM Completion](#). Site transition planning is critical to a seamless transfer of any [long term response actions \(LTRA\)](#) at, or associated with, the site post-EM exit. The EM site transition planning process (which applies to both capital asset projects and operations activities) is separate from, but happens in parallel with, the DOE project management process for capital asset projects.

Specific site transition requirements for non-mission/closure sites are defined in a February 2005 [agreement between EM and the DOE Office of Legacy Management \(LM\)](#). Site transition requirements for ongoing mission sites operated by the DOE [Office of Science \(SC\)](#) or the [National Nuclear Security Administration \(NNSA\)](#) are defined in separate agreements with EM dated February 2006 and September 2006, respectively. EM Headquarters has yet to negotiate a site transition agreement with the Office of Nuclear Energy (NE). For additional information on site transition planning requirements that precede EM Completion, refer to the EMCBC Management System Description ([MSD](#)) “Site Transition” and the associated “Essential Steps to Site Transition” procedure.

2.0 Required Procedure

In accordance with DOE O 413.3B, after a project is complete (CD-4) the next step is project closeout. Major post-CD-4 deliverables include an Initial and/or Final Project Closeout Report and a Lessons Learned Report. Refer to DOE O 413.3B, Appendix A, Tables 2.4 and 2.5 for the

complete list of all Post-CD-4 Approval and Project Closeout requirements, respectively. General guidance for planning and execution of the project transition/closeout phase is contained in [DOE Guide 413.3-16A](#), *Project Completion/Closeout Guide*. DOE G 413.3-16A also provides non-mandatory approaches for planning and achievement of project completion requirements that will precede the project closeout phase.

The following steps are not necessarily performed sequentially.

Step 1	The FPD updates the IPT membership, as necessary, to address activities performed during the project transition/closeout phase. Any changes in the composition of the IPT should be reflected in an update to the IPT Charter.
Step 2	The FPD, with support from the IPT, ensures that final updates to Safety Analysis Documentation are made (if needed).
Step 3	The FPD, with support from the IPT, ensures that final updates to required permitting documentation are made (if needed) (e.g. termination or transfer of RCRA or NPDES Permits).
Step 4	<p>The FPD, with support from the IPT, ensures that any necessary updates to the Quality Assurance (QA) Program are made, in order to address all applicable QA Criteria defined in DOE O 414.1D, <i>Quality Assurance</i>.</p> <p>NOTE: QA Program requirements for an active EM project may be different than QA Program requirements for LTRA activities that the DOE recipient office will perform upon EM’s exit from the site.</p>
Step 5	<p>The FPD, with support from the IPT, ensures the preparation of the Project Transition to Operations Plan (or equivalent document), if needed. Such planning ensures a phased, systematic approach to preparing a facility for the conclusion of its Fabrication/Construction or Remediation Phase and the beginning of its Operating, Surveillance and Maintenance (S&M) or Long Term Stewardship (LTS) Phase.</p> <p>NOTE: Although DOE O 413.3B states that a Transition to Operations Plan (TOP) is not applicable to environmental cleanup-up projects, other documentation prepared by EM may serve a similar purpose as the TOP. Upon completion of the EM mission at a site, and depending upon the requirements of the DOE recipient office, the Site Transition Plan (STP) utilized by EM, LM and SC - or the Project Closeout and Transition Plan (PCTP) utilized by EM and NNSA - will likely include many of the planning elements typically included in a TOP. Refer to DOE G 413.3-16A, Section 5.0, for elements to consider including in a TOP. Also refer to the aforementioned EMCBC Management System Description (MSD) and associated Procedure for the “site transition” process, which includes recommendations for development of STPs and PCTPs (both of which may discuss, at a minimum: maintenance of the environmental remedy; management of natural, historical and cultural resources; real</p>

	property management; records management; budget and funding; human resources and staffing; training and certification; and safety/emergency management/security planning).
Step 6	The FPD, with support from the IPT, ensures the completion of all project-required documentation and actions (e.g., DOE O 413.3B deliverables, CERCLA decision documents, LTRA budget requests and supporting bases of estimate, records management transition plans and associated turn-over of records to the DOE recipient office).
Step 7	<p>If required, the FPD, with support from the IPT, ensures the performance of an Operational Readiness Assessment (ORA) or an Operational Readiness Review (ORR), depending on the nature and complexity of the project. An ORA or an ORR is performed to ensure that Operations and Maintenance Staff are properly trained and qualified to operate and maintain the equipment, systems, facilities, and facility components being turned over. See DOE O 425.1D, “Verification of Readiness to Start Up or Restart Nuclear Facilities” and associated guidance documents for further information on ORAs and ORRs.</p> <p>NOTE: At a minimum, EM and the DOE recipient office typically perform a joint site transition readiness review, just before EM achievement of Physical Completion. The purpose of the review is to verify completion of action items defined in the STP or PCTP, and any other applicable requirements documents. The level of rigor for performance of this review and issuance of a report on same are at the discretion of EM and the DOE recipient office. Typically, performance of the site transition readiness review is referenced in the Requirements Checklist for CD-4 Completion (refer to EMCBC Project Management MSD, Subject Area “Critical Decision Management,” Critical Decision 4, Approve Start of Operations or Project Completion).</p>
Step 8	<p>The FPD, with support from the IPT, must submit lessons learned regarding “project execution and facility start-up” (or project completion) to the EM Office of Project Assessment (EM-53) and to the DOE Office of Acquisition and Project Management (OAPM) within 90 days of CD-4 approval. Refer to “Post CD-4 Approval” requirements in DOE O 413.3B, Appendix A, Table 2.4.</p> <p>NOTE: For EM projects, the vehicle for capturing and sharing project management lessons learned (PMLL) throughout the entire project lifecycle is the DOE Corporate Lessons Learned Database, which is maintained by the DOE Office of Health, Safety & Security (HSS). Refer to EM-2 memo “EM Project Management Lessons Learned Guidance” and its attachments for guidance on submission of PMLL to the Project Management module of the HSS database. This EM requirement to report PMLLs to the HSS database pertains to both capital asset projects and operations activities. For capital asset projects, reporting PMLL to the HSS database does <u>not</u> meet the DOE O 413.3B requirement to submit Post-CD-4 (as well as Post-CD-3) Lessons Learned to</p>

	the Program Secretarial Officer (PSO, or EM-53 for EM-1) and OAPM.
Step 9	<p>The FPD, with support from the IPT, must submit an <u>Initial</u> Project Closeout Report (PCR) to EM-53 and OAPM within 90 days of CD-4 approval. Refer to “Post CD-4 Approval” requirements in DOE O 413.3B, Appendix A, Table 2.4. The Initial PCR includes preliminary final cost details, since contract closure may be a lengthy process due to pending contractor requests for equitable adjustment (REA).</p> <p>The <u>Final</u> PCR must be submitted to EM-53 and OAPM once all project costs are incurred and invoiced and all contracts are closed. The Final PCR should include final cost details as required to include claims and claims settlement strategy, where appropriate. Refer to DOE O 413.3B, Appendix A, Table 2.5.</p> <p>NOTE: Guidance on the elements of the Final PCR can be found in DOE G 413.3-16A (Project Completion/Closeout Guide). The guidance can be applied to generation of the Initial PCR as well.</p>
Step 10	The FPD, with support from the IPT, must complete other applicable requirements defined in DOE O 413.3B, Appendix A, Table 2.5 (e.g., update the property record in the FIMS database).

3.0 References

- [DOE O 413.3B](#), *Program and Project Management for the Acquisition of Capital Assets*
- [DOE G 413.3-16A](#), *Project Completion/Closeout Guide*
- [DOE O 425.1D](#), *Verification of Readiness to Start Up or Restart Nuclear Facilities*
- EM-1 memo “[Definition of EM Completion](#),” dated 2/12/03
- EM-1 memo “[Transition of Long-Term Response Action Management Requirements](#),” dated 6/10/03
- EM-2 memo: “[EM Project Management Lessons Learned Guidance](#),” dated 6/03/11
- EM-1/LM-1 memo “[Development of Site Transition Plan, use of the Site Transition Framework, and Terms & Conditions for Site Transition](#),” dated 2/15/05
- EM-1/SC-1 memo “[Terms and Conditions for Site Transition](#),” dated 2/09/06
- EM-1/NNSA-50 memo “[Terms and Conditions for the Transfer of Completed Environmental Projects](#),” dated 9/5/06
- EMCBC Management System Description “[Site Transition](#),” dated 8/22/12
- EMCBC Management System Description “Site Transition,” procedure titled “[Essential Steps to Site Transition](#)” dated 9/5/12.
- EMCBC Management System Description “Project Management,” procedure titled “[Critical Decision-4](#)”