Management System: Project Management

Subject Area: Project Reporting

Procedure: EM Reporting

1.0 Applicability

This procedure applies to Office of Environmental Management (EM) Federal Project Directors (FPD), Integrated Project Team (IPT) members, and Program Managers that are responsible for the execution of all projects subject to the mandatory project management requirements in U.S. Department of Energy (DOE) O 413.3B (Program and Project Management for the Acquisition of Capital Assets). This procedure also applies to Operations Activity Managers (OAM) and associated IPT members and Program Managers who are responsible for the execution of operations activities that are subject to the requirements in the EM Policy and Protocol for Operations Activities (issued in March 2012).

The Director of the EM Consolidated Business Center (EMCBC) serves as Acquisition Executive (AE) for capital asset projects at the EM Small Sites that have a total project cost (TPC) of less than $100 million. However, the EMCBC Director also serves as line manager for all capital asset projects and operations activities at the Small Sites. As such, this procedure is designed to assist FPD, OAM and EMCBC project management support office (PMSO) personnel with managing recurring EM Headquarters-mandated project performance reports for the entire EM Portfolio. The EM utilizes the Integrated Planning, Accountability and Budgeting System (IPABS) database to record project performance for all elements of the EM Portfolio, and specialized IPABS report templates have been created (e.g., Quarterly Project Review [QPR]) to facilitate FPD and OAM generation of standardized reporting/presentation formats.

2.0 Required Procedure

<table>
<thead>
<tr>
<th>Step 1</th>
<th>Development of Draft Monthly Project Review (MPR) and/or Quarterly Project Review (QPR) Package</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The site Program Analyst (e.g., Project Controls Specialist) obtains project performance data from the EM Contractor’s Monthly Contract Performance</td>
</tr>
</tbody>
</table>
Report (CPR) or similar progress report(s) and assists the Federal Project Director (FPD) or Operations Activity Manager (OAM) with generation of the MPR or QPR presentation package. Refer to Attachment A: QPR Guidance for instructions on MPR/QPR slide content.

The site Program Analyst validates that the information is accurate, and notifies FPD and/or OAM that data has been posted to IPABS.

The site Program Analyst finalizes the IPABS entries with the FPD/OAM, and updates IPABS by Noon of the EM Headquarters-mandated due date. EM Headquarters requirements may include data for monthly project review templates; monthly supplemental slides; project information; explanations for the Project Execution, Milestones and Performance Measures Modules of IPABS; and/or earned value (EV) information and explanation narratives for the DOE Project Assessment and Reporting (PARS) database that is managed by the DOE Office of Acquisition and Project Management (OAPM).

The designated EM Reporting Lead in the EMCBC Office of Cost Estimating and Project Management Support (OCE&PMS) issues an e-mail notification to the site Program Analysts, including a copy of any EM Headquarters guidance for the upcoming review presentations. The same or subsequent e-mails from the EM Reporting Lead in OCE&PMS will establish due dates for the various phases of package preparation and “dry run” presentations.

The MPR or QPR presentation template is provided by EM Headquarters and is pre-populated with the latest monthly data in IPABS. The site Program Analyst reviews this information and advises EM Headquarters of any errors or additions. The site Program Analyst should copy the EM Reporting Lead in OCE&PMS on any communications to EM Headquarters regarding such errors or additions.

The site Program Analyst prepares the following slides for the MPR or QPR, based on the EM Contractor’s CPR or other progress report(s):

- Quarter Accomplishments
- Site Issues
- Contract Status
- Safety Risk/Issues
- Near Term Risks
- Financial Status
- Contract Status
- Use of Management Reserve (MR) and DOE Contingency
- Operations Activities, if applicable
- Milestone Performance Status
- Performance Metrics Status
- Next Quarter Look-Ahead
<table>
<thead>
<tr>
<th>Step 2</th>
<th><strong>Review and Approval of Final MPR or QPR Package</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The draft MPR or QPR Package for each project or operations activity is provided to the appropriate FPD or OAM and the Assistant Director of EMCBC OCE&amp;PMS (or his/her designee) for review and comment prior to the dry run date established by the EM Reporting Lead in OCE&amp;PMS. Copies of MPR or QPR presentations are not submitted to OAPM and/or EM Headquarters until the FPD, OAM and EM Reporting Lead in OCE&amp;PMS have approved the data.</td>
</tr>
<tr>
<td></td>
<td>Comments on the draft MPR or QPR are provided to the appropriate site Program Analyst by the established date, and the site Program Analyst updates the MPR or QPR Package for presentation at the dry run.</td>
</tr>
<tr>
<td></td>
<td>The MPR and/or QPR Package(s) is presented by the FPD or OAM to the EMCBC Director (or his/her designee) and designated EM Headquarters staff (e.g., EM Mission Unit staff) during a dry run. The purpose of the dry run is to identify any additional comments that require resolution prior to finalizing the MPR or QPR and formally providing the final presentations to EM Headquarters.</td>
</tr>
<tr>
<td></td>
<td><strong>NOTE:</strong> In the case of a “Red/Yellow” Project MPR, a formal dry run may not be required. Red/Yellow reporting requirements typically include an explanation of why the project was rated Red or Yellow, and the recovery plan for getting back to “Green” status. Refer to EMCBC procedure SAP-OCE&amp;PMS-413.3B-C-01 (APM Reporting) for a Red/Yellow Project reporting template.</td>
</tr>
<tr>
<td></td>
<td>The site Program Analyst revises the MPR and/or QPR Package(s) based on Feedback from the dry run, and submits the revised MPR or QPR to the appropriate FPD or OAM for final approval.</td>
</tr>
<tr>
<td></td>
<td>The FPD or OAM approves the revised MPR or QPR Package(s) and notifies the site Program Analyst, who then submits the final MPR or QPR to the EM Reporting Lead in OCE&amp;PMS.</td>
</tr>
<tr>
<td></td>
<td>The EMCBC OCE&amp;PMS submits the Final EMCBC Small Sites’ MPR/QPR Packages, as appropriate, to EM Headquarters by no later than Noon of the established due date.</td>
</tr>
<tr>
<td>Step 3</td>
<td><strong>Monthly and Quarterly Reviews</strong></td>
</tr>
</tbody>
</table>
|        | Monthly and quarterly EM Headquarters project reviews are conducted in accordance with requirements issued by EM Headquarters (e.g., via the Office
of Project Assessment [EM-53] and/or the cognizant EM Mission Unit [e.g., EM-31]). The designated FPD or OAM will brief EM Headquarters on the monthly and/or quarterly data, as appropriate.

EMCBC-internal monthly project reviews is conducted by EMCBC PMSO staff and provided to the EMCBC Director and EMCBC senior management team. Refer to EMCBC Procedure SAP-OCE&PMS-413.3B-C-04 (EMCBC Reporting) for further details.

3.0 References – Forms/Attachments/Exhibits

3.1 References

- DOE O 413.3B (Program and Project Management for the Acquisition of Capital Assets)
- EMCBC Procedure SAP-OCE&PMS-413.3B-C-01 (APM Reporting)
- EMCBC Procedure SAP-OCE&PMS-413.3B-C-04 (EMCBC Reporting)

3.2 Attachments

- Attachment A: IPABS Quarterly Project Review (QPR) Guidance
4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the Office of Cost Estimating and Project Management Support (OCE&PMS) in accordance with the EMCBC Organizational File Plan:

<table>
<thead>
<tr>
<th>Records Category Code</th>
<th>Records Title</th>
<th>Responsible Organization</th>
<th>QA Classification (Lifetime, Non-Permanent, or Not Applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADM 16-05</td>
<td>ADMINISTRATIVE MANAGEMENT RECORDS, Project Control Files</td>
<td>Office of Cost Estimating and Project Management Support</td>
<td>Not Applicable</td>
</tr>
<tr>
<td></td>
<td><strong>Examples:</strong> IPABS report (electronic) MPR/QPR presentation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5.0 EMCBC Record of Revision

EMCBC RECORD OF REVISION

DOCUMENT TITLE: Subject Area Procedure: EM Reporting

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

1. Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
2. Placing the words GENERAL REVISION at the beginning of the text.

<table>
<thead>
<tr>
<th>Rev. No.</th>
<th>Description of Changes</th>
<th>Revision on Pages</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Initial issue</td>
<td></td>
<td>12/16/11</td>
</tr>
<tr>
<td>1</td>
<td>GENERAL REVISION</td>
<td></td>
<td>8/1/12</td>
</tr>
<tr>
<td>2</td>
<td>GENERAL REVISION (to meet CBC MS format requirements)</td>
<td></td>
<td>2/26/15</td>
</tr>
</tbody>
</table>
Attachment A

Integrated Planning, Accountability and Budgeting System (IPABS)

Quarterly Project Review (QPR) Guidance

(9 page document)
QPR Guidance

Table of Contents
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1 QPR Generation

The Quarterly Project Reviews (QPRs) are used to regularly review the status of EM projects. The QPRs are delivered quarterly to Headquarters' Senior Management by Federal Project Directors (FPDs). These packages review areas of importance in assessing the overall state of the Project: Lifecycle Cost, Risks and Mitigation Strategy, Safety of the Project, Financial Status, Performance Metric Status, and Contract Management data. An overall assessment (red, yellow, or green) is assigned to the Project by the FPD. During the presentation, the FPD must explain the assessment of the Project based on key data reported in the QPR package.

To Generate a QPR package for a site:

Step 1: Login to IPABS

Step 2: Select "General Information" from the Modular drop down list

Step 3: Select "QPR" from the Sub-modular drop down list

Step 4: Select the desired site from the Navigation Tree

Note: QPR packages can only be generated at the site level.

Step 5: Click the "Generate Document" button in the bottom right corner of the QPR screen to produce the site-specific QPR package. This button is highlighted in Figure 1.
QPR Guidance

Once the button is selected, the QPR package will be generated as a PowerPoint document. Approved Milestones and Performance Measures data will be pulled directly from IPABS. All slides in the QPR package are fully editable.
2 Milestones QPR Slide Guidance

The Milestone Performance Status slides will display milestones for the site’s QPR projects. These slides will be included in the site’s overall QPR package that will be reviewed by senior management to assess the overall state of the projects.

The first set of Milestone Performance Status slides will display Regulatory Compliance (RC) milestones (Enforceable Agreement (EA) and Planned EA). After these milestones, there will be a slide for the EA Milestones Compliance Narrative, where the sites can manually enter their desired text. After this slide, the non-RC milestones will be displayed. Following this slide will be a Narrative slide for the non-RC milestones where the sites can manually enter their desired text.

Two slides will be generated for EA Milestones and for Non-RC Milestones. The first slide will contain all of the milestones for the site. The second slide can be used as a template for the site to copy and paste as additional slides, as needed. If there are more milestones for the site than will fit on the slide, the site will need to manually copy and paste Milestones from the first slide onto the next slide(s). If the milestones all fit on the first slide and the site does not need the use of additional slides, they can delete the second slide from the package.

Below are examples of what the slides will look like, in the order they are presented in the QPR package:

![Figure 2: EA Milestones Slide Example](image-url)
QPR Guidance

Brookhaven National Laboratory - Milestone Performance Status

Detail on Enforceable Agreement Milestones

Compliance Narrative

Enter text here . . .

Figure 3: EA Milestones Narrative Slide Example

Brookhaven National Laboratory - Milestone Performance Status

Detail on Other (Non-Regulatory) Milestones

<table>
<thead>
<tr>
<th>Project Code</th>
<th>Milestone Name</th>
<th>Baseline Completion Date</th>
<th>Forecast Date</th>
<th>Enforceable Date</th>
<th>Actual Date</th>
<th>Flags</th>
</tr>
</thead>
<tbody>
<tr>
<td>BRNL-0040.D1.01</td>
<td>Overdue Non-RC</td>
<td>06/30/2011</td>
<td>04/30/2012</td>
<td></td>
<td></td>
<td>PK</td>
</tr>
<tr>
<td>BRNL-0040.D1.01</td>
<td>Forecast Delay Non-RC</td>
<td>02/01/2013</td>
<td>03/01/2013</td>
<td></td>
<td></td>
<td>PK</td>
</tr>
<tr>
<td>BRNL-0040.D1.01</td>
<td>Completed Late Non-RC</td>
<td>12/10/2013</td>
<td>12/10/2012</td>
<td>12/26/2012</td>
<td></td>
<td>PK,CT,SC</td>
</tr>
<tr>
<td>BRNL-0040.D1.01</td>
<td>Completed Late Non-RC</td>
<td>10/23/2012</td>
<td>10/23/2012</td>
<td>11/30/2012</td>
<td></td>
<td>SC</td>
</tr>
<tr>
<td>BRNL-0040.D1.01</td>
<td>Forecast On-Time Completion Non-RC</td>
<td>02/21/2013</td>
<td>02/21/2013</td>
<td>12/31/2012</td>
<td></td>
<td>SC</td>
</tr>
<tr>
<td>BRNL-0040.D1.01</td>
<td>Completed On Time Non-RC</td>
<td>12/31/2012</td>
<td>12/31/2012</td>
<td>12/31/2012</td>
<td></td>
<td>PK</td>
</tr>
</tbody>
</table>

Figure 4: Non-RC Milestones Slide Example

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SAP: EM Reporting

SAP-OCE&PMS-413.3B-C-02
2.1 Milestones Slide Data Components

Milestones included on the slides shown in Figures 1 and 3 will display the following data components:

1.1 Project Code: This column will be populated with the Entity Field Code for each milestone
1.2 Milestone Name: This column will be populated with the Milestone Name for each milestone
1.3 Baseline Completion (BLC) Date: This column will be populated with the BLC Date for each milestone
1.4 Forecast Date: This column will be populated with the Forecast Date for each milestone
1.5 Enforceable Date: This column will be populated with the Enforceable Date for each milestone. This date will only exist for RC milestones.
1.6 Actual Date: This column will be populated with the Actual Date (if one has been entered in IPABB) for each milestone
1.7 Flags: This column will populate with the acronym of each Category, for which flags have been selected, that applies to each milestone. The following are the Milestone Categories and the Milestone Types that make up each of the Categories:
   1.7.1 Budget (B)
      1.7.1.1 Site Narrative
      1.7.1.2 Progress
   1.7.2 Regulatory/Compliance (RC)
      1.7.2.1 Enforceable
      1.7.2.2 Planned Enforceable
   1.7.3 Site Completion (SC)
QPR Guidance

1.7.3.1 Physical Completion
1.7.3.2 Regulatory Closeout
1.7.3.3 Transfer Date
1.7.4 Contract (CT)
1.7.4.1 GFSI
1.7.4.2 Contractor
1.7.5 Procurement (P)
1.7.5.1 Procurement
1.7.6 Project Key (PK)
1.7.6.1 Project Start
1.7.6.2 Project End
1.7.6.3 Baseline Approval Date
1.7.6.4 OECM Designated
1.7.6.5 Independent Project Review
1.7.6.6 Key Safety Deliverables
1.7.6.7 Other EM Configuration Control
1.7.6.8 Major Project Accomplishment
1.7.6.9 Critical Decisions

2.2 Milestones to be Displayed in the QPR

The slides will only display milestones that are:

- Created under projects that are flagged as QPR
- Have been Accepted by Headquarters, and
- Fall into one of the following status types:

1.1 **Overdue**: Milestones that do not have an actual date and the EA/BLC Date is less than or equal to the last day of the reporting quarter for the current QPR.
1.2 **Forecast Delay**: Milestones whose EA/BLC Date is in the next reporting quarter AND Forecast Date is greater than the EA/BLC Date
1.3 **Completed Late**: Milestones whose EA/BLC Date is in the current reporting quarter AND have an Actual Date that is greater than the EA/BLC Date
1.4 **Forecast On-Time Completion**: Milestones whose EA/BLC Date is in the next reporting quarter AND Forecast Date is less than or equal to the EA/BLC Date
1.5 **Completed on Time**: Milestones whose EA/BLC Date is in the current reporting quarter AND have an Actual Date that is less than or equal to the EA/BLC Date

**Note**: If an EA Date is present, it will always trump BLC Date.

A legend will display at the bottom of each slide and will display each status type, its color code, and a count of milestones that applies to each status:

<table>
<thead>
<tr>
<th>Status Type</th>
<th>Legend</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed On Time</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Forecast On-Time Completion</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Forecast Delay</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Completed Late</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Overdue</td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

**Figure 6: Milestone Legend**
3 Performance Metrics Slide Guidance

The Performance Metrics Status slide(s) will display Performance Measures for the site's QPR projects that meet various criteria. These slides will be included in the overall QPR package that will be reviewed by senior management to assess the overall state of the projects.

Below are examples of what the slides will look like, in the order they are presented in the QPR package:

---

![Performance Metrics Slide Example](image)

**Figure 7: Performance Metrics Slide Example**
3.1 Performance Metrics Slide Data Components

Performance Measures (PMs) included in the slide(s), shown in Figure 5, will display the following data components:

1.1 Project/Measure: This column will be populated with the sub-project Field Code, PM Short Name, and Unit of Measure for each PM

1.2 Index (XY): This column will populate with the PM Index (PMI) calculation (Actuals to Date/ Targets to Date) and will be color coded based on the following:
   1.2.1 Green: PMI ≥ 0.9
   1.2.2 Yellow: PMI ≥ 0.85 < 0.9
   1.2.3 Red: PMI < 0.85

1.3 FY Actuals to Date (X): This column will be populated with the Actuals from the beginning of the Fiscal Year through the last month of the reporting quarter for each PM

1.4 FY Targets to Date (Y): This column will be populated with the Targets from the beginning of the Fiscal Year through the last month of the reporting quarter for each PM

1.5 FY Total Targets: This column will be populated with the Total Targets of the Fiscal Year for each PM

1.6 Bar Chart: This column will be populated with a bar chart for each PM. The bar chart will display the following data and color codes:
   1.6.1 Actuals to Date (Blue)
   1.6.2 Targets to Date (Orange)
   1.6.3 Total Target (Purple)
QPR Guidance

A legend will display at the bottom of each slide and will display the three PMI areas (red, yellow, green), their color codes, and a count of PMs that applies to each PMI area:

<table>
<thead>
<tr>
<th>Metric Index Key</th>
</tr>
</thead>
<tbody>
<tr>
<td>Green (1)</td>
</tr>
<tr>
<td>Yellow (1)</td>
</tr>
<tr>
<td>Red (1)</td>
</tr>
<tr>
<td>≥ 0.9</td>
</tr>
<tr>
<td>≥ .85 &lt; 0.9</td>
</tr>
<tr>
<td>&lt; 0.85</td>
</tr>
</tbody>
</table>

Figure 9: PM Legend

- The slides will only display PMs for projects that are flagged as QPR.
- If a PM has null or zero entered for Total Targets, or null or zero Targets to Date, the PM will NOT display.
- Two slides will be generated for PMs:
  - The first slide will contain all of the PM’s for the site
  - The second slide can be used as a template for the site to copy and paste as additional slides, as needed
- The site will need to manually copy and paste PMs from the first slide onto the next slide(s) if there are more metrics than can fit on the first slide. If a site does not need the use of additional slides, they can delete the second slide from the package.