

Management System: Project Management**Subject Area: Project Reporting****Procedure: EMCBC Project Reviews****Issue Date and Revision Number:**

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1.0 Applicability

This procedure describes the requirements and guidance applicable to project reviews such as External Independent Reviews (EIR), Independent Project Reviews (IPR) and Project Peer Reviews (PPR) for the U.S. Department of Energy (DOE), Office of Environmental Management (EM) capital asset projects. Project reviews are important activities that should be planned as an integral part of the project, and should be tailored to project risk, complexity, duration, Total Project Cost (TPC), Critical Decision (CD) or project phase, as appropriate. Requirements for EIR, IPR and PPR are established in DOE O 413.3B (Program and Project Management for the Acquisition of Capital Assets), and guidance for several different types of project reviews is contained in DOE G 413.3-9 (Project Review Guide for Capital Asset Projects).

This procedure pertains to the EM Consolidated Business Center (EMCBC) project review activities for EM Small Sites' capital asset projects and operations activities, where the EMCBC Director serves as line manager. This procedure is consistent with the EM Enterprise Requirements System (EMERS) "Project Reviews" Subject Area under the "Project Management" Functional Area Description. For capital asset projects, the TPC determines the appropriate level of project review and the lead review organization (e.g., Office of Acquisition and Project Management [APM] versus the responsible Project Management Support Office [PMSO]). Operations activities at the Small Sites are subject to the requirements in the EM Policy and Protocol for Operations Activities (issued in March 2012).

For capital asset projects at the EM Small Sites, where the Director of the EMCBC has been delegated authority to serve as the Acquisition Executive (AE), this procedure will be used by the EMCBC Office of Cost Estimating and Project Management Support, which serves as the local PMSO. An IPR of an EM Small Site capital asset project may be conducted by members of the EMCBC, with participation by staff at the responsible Field/Project Office, EM Mission Unit staff and/or staff from the EM Office of Project Assessment (EM-53). Refer to DOE G 413.3-9 for further information on the conduct of an IPR. Also see DOE G 413.3-12 (Project

Definition Rating Index [PDRI] Guide for Traditional Nuclear and Non-Nuclear Construction Projects), which includes lines of inquiry that are designed to improve project success by identifying deficiencies in scope definition early during the front-end planning process. Capital asset projects that are subject to the requirements of DOE O 413.3B must undergo annual PPRs, beginning at CD-2 (Approve Performance Baseline). A PPR is typically chaired by a representative from EM-53, and may include team members from the EMCBC PMSO.

An IPR reduces the risk of project failure by identifying existing and potential problems in a timely manner, making prompt and adequate resolutions possible. These reviews assist with the successful completion of the project, as well as identify areas where EM management needs to focus additional resources to be successful. The Deputy Secretary, in his/her capacity as Secretarial AE (SAE), or the Program Secretarial Officer (PSO [i.e., EM-1]), the Operations/Field Office Manager (the EMCBC Director, in the case of Small Sites), Program Managers and/or the FPD can authorize the conduct of an IPR.

An IPR is conducted on all EM construction and environmental clean-up capital asset projects prior to AE approval of CD-2 for projects with a TPC <\$100 million. An IPR is also conducted prior to AE approval of CD-3 (Approve Start of Construction) for all non-major system projects (i.e., projects with TPC < \$750 million). IPRs of smaller projects may be conducted by video teleconference or conference call, if feasible. An IPR Team will typically conduct evaluation of larger projects via a site visit. The IPR review chairperson is always a DOE Federal employee, usually from the responsible PMSO. The standard deliverables of an IPR or other type of project review include the Review Plan, Closeout Report (exit briefing), and draft and final Review Reports.

This procedure applies to FPDs, Integrated Project Team (IPT) members, and Program Managers who are responsible for the execution of all projects subject to the mandatory project management requirements in DOE O 413.3B. This procedure may also be used (tailored, as appropriate) to support EMCBC project review activities at the Small Sites, where the EMCBC Director serves as line manager for all site activities – including capital asset projects and operations activities.

2.0 Required Procedure

Step 1	Project Review chairperson selects team members. Each review team is configured to satisfy the unique purpose of the review (e.g., EIR, IPR, PPR). It is critical that the individuals selected to perform the reviews be technically qualified/certified, credible and possess integrity and independence. Contractors can be utilized to augment the review team; however, the team should be chaired by a federal employee.
Step 2	Review team requests specific documents from the site/project in advance of the formal review. For example, prior to an IPR to determine a project's readiness for AE approval of CD-2/3 (Approve Performance Baseline/Start of

	Construction), all DOE and DOE Contractor documents required for CD-2/3 should be provided to the review team at least five (5) working days before the formal review.
Step 3	Review team prepares draft Review Plan and submits to the site/project for review and comment.
Step 4	Review team Kick-Off meeting conducted (typically via telecom). Participants include, at a minimum, designated staff from the responsible PMSO and EM Mission Unit, the FPD and the Project Manager from the DOE Contractor organization.
Step 5	EM Program/Project/Site staff provide feedback to review team on review scope, status of requested documents, etc.
Step 6	Review team develops final Review Plan and provides specific review questions to the site/project. Review questions may be specialized questions developed by review team members, or questions included in DOE G 413.3B-12, as appropriate.
Step 7	Site/project reviews team questions and prepares for the formal review.
Step 8	Review team In-Brief meeting on first day of formal review. Presentations typically include review team chairperson's explanation of review scope and expectations for closeout of any team recommendations, and FPD and DOE Contractor Project Manager briefings on such things as project performance to-date, scheduled activities and project challenges.
Step 9	Review team performs formal review; individual team members meet with site/project personnel to discuss project documentation, response to review questions, etc.
Step 10	Review team Out-Brief meeting on last day of formal review. Presentation typically includes summary of any team recommendations that require resolution before the project can proceed (e.g., to AE approval of CD-2/3), the team's schedule for delivery of draft and final reports, team expectations for method of site/project response to review recommendations, etc.
Step 11	Review team chairperson transmits draft Final Report to site/project for factual accuracy review.
Step 12	Site/project submits factual accuracy comments to the review team. Comment resolution conference held, if requested.
Step 13	Site/project develops Corrective Action Plan (CAP), if a CAP is deemed necessary.
Step 14	Review team evaluates the proposed CAP and resolves any outstanding issues with the site/project and EM or DOE Headquarters, as appropriate.
Step 15	Review team develops Final Report and provides to site/project (formal review process is complete; close-out phase begins).
Step 16	If formal CAP was required, and includes team recommendations that require resolution prior to the project proceeding to next CD, the site/project provides

	the review team with status reports on CAP implementation.
Step 17	Review team advises site/project of acceptance of CAP implementation and close-out.

3.0 References – Forms/Attachments/Exhibits

3.1 References

- DOE O 413.3B (Program and Project Management for the Acquisition of Capital Assets)
- DOE G 413.3-9 (Project Review Guide for Capital Asset Projects)
- DOE G 413.3-12 (Project Definition Rating Index [PDRI] Guide for Traditional Nuclear and Non-Nuclear Construction Projects)
- Policy and Protocol for Office of Environmental Management Operations Activities (EM-2 memorandum dated March 15, 2012)
- EMERS Functional Area Description (FAD) for Project Management, including subsidiary Subject Area for Project Reviews and associated procedures

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:

Records Category Code	Records Title	Responsible Organization	QA Classification (Lifetime, Non-Permanent, or Not Applicable)
ADM 16-05	ADMINISTRATIVE MANAGEMENT RECORDS, Project Control Files Examples: EMCBC project reviews (e.g., IPR) and associated Corrective Action Plans	Office of Cost Estimating and Project Management Support	Not Applicable

5.0 EMCBC Record of Revision

EMCBC RECORD OF REVISION

DOCUMENT TITLE: Subject Area Procedure: EMCBC Project Reviews

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

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

<u>Rev. No.</u>	<u>Description of Changes</u>	<u>Revision on Pages</u>	<u>Date</u>
0	Initial issue	N/A	2/26/15