# **EFCOG Best Practice #259**

**Best Practice Title:** Washington River Protection Solutions (WRPS) Capital Asset Preplanning CRC Checklist.

Facility: Tank Operations Contractor Washington River Protection Solutions (WRPS), Hanford Site, Richland Washington

**Point of Contact:** Tony Spillman, Manager, Project Management Programs, WRPS Hanford 509-372-9986, <u>Anthony W Spillman@rl.gov</u>

**Brief Description of Best Practice:** This best practice is based on the Department of Energy (DOE) DOE O 413.3B (current version), Program and Project Management for the Acquisition of Capital Assets, CD Gate Process.

While most are aware of the prescribed process for "Initiation, Definition, Execution, and Closeout" phases of the "DOE Acquisition Management System", typical compliance review findings indicate many do not employ the required approach.

The "Purpose of the 413.3B approach is:

"To provide the Department of Energy (DOE) Elements, including the National Nuclear Security Administration (NNSA), with program and project management direction for the acquisition of capital assets with the goal of <u>delivering projects within the original performance baseline (PB),</u> <u>cost and schedule, and fully capable of meeting mission performance, safeguards and security,</u> <u>and environmental, safety, and health requirements</u> unless impacted by a directed change."

"Applicability" of the order states:

"Departmental Applicability.

The requirements identified in this Order are mandatory for all DOE Elements (unless identified in Paragraph 3.c., Equivalencies/Exemptions) for all capital asset projects having a Total Project Cost (TPC) greater than \$50M, except that during the project development phase, Under Secretaries may reduce the threshold to \$10M for nuclear projects or complex first-of-a-kind projects. Any reference to a Program Secretarial Officer (PSO) in this Order is also applicable to the Deputy Administrator/Associate Administrators for the NNSA."

"The principles (see Appendix C, Paragraph 1.a.-l.) as set forth in this Order apply to all capital asset projects. They also apply to General Plant Projects (GPPs) for which the approved total estimated cost does not exceed the minor construction threshold, using a tailored approach."

"All projects with a TPC greater than \$50M are required to report progress and provide documentation in the Project Assessment and Reporting System (PARS II) at Critical Decision (CD)-0 and thereafter, in accord with Appendix C. After CD-2 is approved for projects with a TPC greater than \$50M, earned value reporting shall apply."

"Additionally, for all projects with a TPC greater than \$50M, all approved CD or equivalent documents and performance baseline changes shall be submitted to the Office of Project Management Oversight and Assessments (PM)."

Use of this *"Capital Asset Preplanning CRC Checklist"* best practice, places emphasis on the most critical component of project success, upfront planning. In an oversimplification of the typical planning process, discussions are held, decisions are made, and charge codes are issued. Much or most of the actions taken on the project are based on verbal discussions, and typically not traceable back to those with the authority and responsibility to make informed decisions.

With the CRC Checklist approach the project team (DOE Field Office/DOE Headquarters/DOE Contractor) collaberatively reach upfront agreement on implementation for each CD Gate task/activity via completion of the CRC Checklist form, which identifies:

- Applicability of training and CD Gate tasks/activities for the project
- A "Narrative Justification" for any and all CD Gate tasks/activities identified as "No" or not applicable
- The appropriate training and reference material that the project team will be required to take. This is best accomplished as required reading with signature to validate the training was completed.
- Assignment Responsibility name of the project individual responsible for a particular task/activity
- Activity Forecast Dates "Start" and "Finish" to facilitate a project management schedule which will then be integrated with the technical scope schedule.

Consistent with all project documents, this document must be under configuration control through a formal document control revision process, and should be updated to reflect any changes from previous decisions made by the project team.

**Expected Benefits of this Best Practice:** Routine use of this checklist will improve the project team knowledge of the compliant approach prescribed by DOE in the "Initiation, Definition, Execution, and Closeout" phases of capital and GPP projects.

Benefits will also be realized in gaining upfront implementation of the 413 preplanning approach in flushing out differing and often incorrect interpretations of the order and its applicability. With agreement upfront, project stakeholders will be on the same page with a common understanding of how the project will proceed, allowing the project team to focus their collective energy on problem solving for the challenges that will be encountered during the "Execution" phase. This should represent a welcome change from the typical "blame game" encountered when "anyone" involved blames "everyone" else for the preplanning "nobody" did.

Please see the "413 Project Management CRC Checklist" below.

Project Manager 413 Capital Asset Planning Compliance Review Checklist (CRC) for: Applicability Determinition		Applic	ability	Narrative Justification if "No"	Training Required?		Assignment Responsibility	Activity Forecast Dates	
Training Completed /Assignment Responsibility / Review Completion and Sign-off		Yes	No		Yes	No	Name	Start	Finish
CD Gate Activities	Reference Material	V				<u> </u>			
Click the "EFCOG PDWG Training Express" Link to Access the Training Material DOE O 413.3B Program and Project Management for the Acquisition of Capital Assets	Reference material			Γ	I		1	1	
DOE G 413 3-1 MD&C Using System Engineering	1	-							
DOE G 413 3-5A Performance Baseline Guide	1	-							
DOE G 413 3-7A Risk Management Guide									
DOE G 413 3-9A Project Reviews for CAP Assets									
DOE G 413 3-12 Chg. 1 PDRI Guide	1								
DOE G 413.3-13 Acquisition Strategy	EFCOG PDWG Training								
DOE G 413.3-15A Project Execution Plans	Express								
DOE G 413.3-17 Mission Need Statement									
DOE G 413.3-18A Integrated Project Team									
DOE G 413.3-20 Change Control Management									
DOE G 413.3-21A Cost Estimating Guide									
DOE G 413.3-22 Analysis of Alternatives Guide									
DOE G 413.3-24 Planning and Scheduling									
Other 413.3 Reference Material									
(In Order of Appearance) DOE-STD-1189-2016 Integration of Safety into the Design Process	DOE-STD-1189-2016				1				
DOE 0 361.1C Acquisition Career Management Program	DOE 0 361.1C	-							
DOE 0 436.1 Departmental Sustainability	DOE 0 436.1								
DOE G 413.3-6A High Performance Sustainable Building	DOE G 413.3-6								
DOE G 413.3-22, Analysis of Alternatives Guide (Reference GAO 16-22)	DOE G 413.3-22	-							
DOE G 450.4-1C Integrated Safety Management System Guide	DOE G 450.4-1C	-							
DOE 0 414.1D Quality Assurance	DOE 0 414.1D								
DOE G 413.3-2 Quality Assurance Guide for Project Management	DOE G 413.3-2								
DOE 0 470.4B Safeguards and Security Program	DOE 0 470.4B	-							
DOE G 413.3-3A Safeguards and Security for Program and Project Management	DOE G 413.3-3A	-							
DOE 0 451.18 National Environmental Policy Act Compliance Program	DOE 0 451.1B	-							
DOE G 413.3-4A Technology Readiness Assessment Guide	DOE G 413.3-4A								
DOE G 413.3-10B Integrated Project Management Using the Earned Value Management System	DOE G 413.3-10B								
DOE G 413.3-2 Quality Assurance Guide for Project Management	DOE G 413.3-2								
DOE P 451.1 National Environmental Policy Act Compliance Program	DOE P 451.1								
DOE G 413.3-16A Project Completion/Closeout Guide	DOE G 413.3-16A								
DOE 0 425.1D Verification of Readiness to Start Up or Restart Nuclear Facilities	DOE 0 425.1D								
DOE O 430.1C Real Property Asset Management	DOE O 430.1C								
DOE 413.3B CD Gate Tables - Check Marks below Indicate Requirements or Need to Analyze if Applicable	0000400120		II			I			
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Prior to CD-0									
Perform Pre-Conceptual Planning activities that focus on the Program Offices' strategic goals and objectives,									
safety planning, design, development of capability gaps, high-level project parameters, a ROM cost range, and									
schedule estimates.									
Perform a Mission Validation Independent Review on all Major System Projects. (Refer to DOE G 413.3-9.)									
Approve a Mission Need Statement Document with recommendation from PM for projects with a TPC $\geq$	1	<u> </u>			1				
\$100M. (Refer to DOE G 413.3-17.)									
Independent Cost Review (ICR).		<u> </u>			1				
For Major System Projects, or for projects as designated by the CE, PM will conduct an ICR									
For Major System Projects , the Project Management Risk Committee (PMRC) will review and analyze the CD	1				1				
and make recommendations to the ESAAB, CE, or PME, as applicable, before approval.									
<b>Program Requirements Document</b> , For NNSA only, defines the ultimate goals which the project must satisfy.		<u> </u>							
(Refer to NNSA Business and Operating Policy.)									
DOE-STD-1189-2016					1			1	1
For Hazard Category 1, 2, and 3 nuclear facilities, and to the specificity possible, document DOE expectations									
for Safety-in-Design									
Post CD-0 Approval	<u>CD-0</u>						1		1
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	GAO-16-22.)									

Project Manager 413 Capital Asset Planning Compliance Review Checklist (CRC) for: Applicability Determin	ition / Justification /	Applio	ability	Narrative Justification if "No"	Training Required?		Assignment Responsibility	Activity Forecast Dates	
Training Completed /Assignment Responsibility / Review Completion and Sign-off		Yes	No		Yes	No	Name	Start	Finish
Technology Readiness Assessment and develop a Technology Maturation Plan		V	V		V	V			
For Major System Projects, or first-of-a-kind engineering endeavors, conduct a Technology Readiness									
Assessment and develop a Technology Maturation Plan, as appropriate. At this stage, each critical technology									
item or system shall achieve a Technology Readiness Level-4 (TRL-4). (Refer to DOE G 413.3-4A.)									
Provincian II and Analysis Descent (DIAD)									
Preliminary Hazard Analysis Report (PHAR)									
Prepare a Preliminary Hazard Analysis Report (PHAR) for facilities that are below the Hazard Category 3									
nuclear facility threshold as defined in 10 CFR Part 830, Subpart B.		L							
Integrated Safety Management Plan									
Develop and implement an Integrated Safety Management Plan into management and work process planning									
at all levels per DOE G 450.4-1C.	<u>CD-1</u>								
Quality Assurance Program (QAP).									
Establish a Quality Assurance Program (QAP). (Refer to 10 CFR Part 830, Subpart A, DOE O 414.1D, and DOE									
G 413.3-2.) For nuclear facilities, the applicable national consensus standard shall be NQA-1-2008 (Edition)									
and NQA-1a-2009 (Addenda).									
Safeguards and Security									
Identify general Safeguards and Security requirements for the recommended alternative. (Refer to DOE O		1			1				
470.4B and DOE G 413.3-3A.)									
National Environmental Policy Act (NEPA) Strategy					1	1			
Complete a National Environmental Policy Act (NEPA) Strategy by issuing a determination (e.g., Environmental									
Assessment), as required by <b>DOE O 451.1B.</b> Prepare an Environmental Compliance Strategy, to include a									
schedule for timely acquisition of required permits and licenses.									
Update Project Data Sheet									
Update Project Data Sheet, or other funding documents for MIE and OE projects, and A-11 Business Case, if									
applicable. This must contain an estimate of the required amount of PED funds to execute the planning and									
design portion of a project (period from CD-1 to completion of the project's design). (Refer to DOE CFO									
Budget Call for PDS and Business Case Template.)		<u> </u>							
Preliminary Security Vulnerability Assessment									
Conduct a Preliminary Security Vulnerability Assessment, if necessary. (Refer to DOE O 470.4B and DOE G									
413.3-3A.)		L							
Safety Design Strategy									
For Hazard Category 1, 2, and 3 nuclear facilities, prepare a Safety Design Strategy (SDS) to guide the									
development of the conceptual design, with the concurrence of the CNS or with written advice of the CDNS,									
as appropriate, for projects subject to DOE-STD-1189-2016.									
Independent Project Review (IPR)									
For Hazard Category 1, 2, and 3 nuclear facilities, conduct an Independent Project Review (IPR) to ensure early									
integration of safety into the design process. (Refer to DOE G 413.3-9 and DOE-STD-1189-2016.)									
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Conceptual Safety Design Report (CSDR) <sup>4</sup>									
Prepare a Conceptual Safety Design Report (CSDR)4 for Hazard Category 1, 2, and 3 nuclear facilities, including		1			1				
preliminary hazard analysis. For a project involving a major modification of an existing facility, the SDS must									
address the need for a CSDR, as well as the required PDSA. (Refer to DOE-STD-1189-2016.)									
address the need for a coord, as well as the required room. (Nerel to DOE-STD-1105-2010.)									
Safety Review Letter					1				
Prepare a Safety Review Letter, with concurrence from the FPD, on the DOE review of the CSDR for Hazard		1			1				
Category 1, 2, and 3 nuclear facilities. (Refer to DOE-STD-1189-2016 and DOE-STD-1104-2016.)									
Post CD-1 Approval				<u> </u>	1	L	<u> </u>		l
Begin expenditure of PED, MIE, or OE funds for the project design.						1			
Develop an Acquisition Plan, if applicable.		<u> </u>							
Continue monthly PARS II Reporting (excluding earned value). FPD, Program Manager and PM will provide		F		1		-			
monthly assessments, as appropriate.									
Annually conduct Project Peer Reviews of active projects when the top-end range is \$100M or greater.									
Continue QPRs with the PME of their designee									

Project Manager 413 Capital Asset Planning Compliance Review Checklist (CRC) for: Applicability Determinition / Justification /		Applicability			Training Required?		Assignment	Activity Forecast Dates	
Training Completed /Assignment Responsibility / Review Completion and Sign-off	,	Yes	No	Narrative Justification if "No"	Yes	No	Responsibility Name	Start	Finish
For Nuclear Facilities, develop a Checkout, Testing and Commissioning Plan in preparation for acceptance		V	V		V	V			
and turnover of the structures, systems and components at CD-4. (Refer to DOE-STD-1189-2016.)									
Prior to CD-2									
Approve an updated Acquisition Strategy, if there are any major changes to the acquisition approach. Obtain endorsement from PM for Major System Projects. (Refer to DOE G 413.3-13.)									
Establish a Performance Baseline, reflective of identified and assessed risks and uncertainties, to include									
scope, TPC, CD-4 date, and minimum KPPs (if applicable). The key project milestones and completion dates shall be stated no less specific than month and year. The scope will be stated in quantity, size and other									
parameters that give shape and form to the project. The funding assumptions upon which the PB is									
predicated will be clearly documented and approved. (Refer to DOE G 413.3-5A.)									
Approve updated Project Execution Plan. (Refer to DOE G 413.3-15.)									
Prepare a Funding Profile to support the execution of the PB and reflect in the budget document. The									
funding profile may be included in the PEP.									
Approve Long-Lead Item Procurements, if necessary. Approval may be concurrent with (or prior to) CD-2									
approval. (Long-lead item procurement approval will be designated as CD-3A.)5									
Develop a Project Management Plan , if applicable. (Refer to Attachment 1.) Perform a Performance Baseline External Independent Review (EIR) or an Independent Project Review									
(IPR). PM will conduct EIRs to validate the PB for projects with a TPC $\geq$ \$100M. PM must issue a Performance									
Baseline Validation Letter to the PSO that describes the cost, schedule, and scope being validated. PMSO will									
conduct IPRs to validate the PB for projects with a TPC < \$100M. (Refer to DOE G 413.3-9)									
For projects with a TPC $\geq$ \$100M, <b>PM will develop an Independent Cost Estimate (ICE)</b> . The ICE will support									
validation of the PB.									
Complete a Preliminary and/or Final Design. Hazard Category 1, 2, and 3 nuclear facilities shall achieve at									
least 90% design completion prior to CD-2 approval. Non-nuclear project designs shall be sufficiently mature									
to prepare a project baseline with 80-90% confidence prior to CD-2 approval. (See Appendix C, Paragraph 6a									
for definition of 90% design complete.) Incorporate the Guiding Principles for Federal Leadership in High Performance and Sustainable Buildings per									
EO 13693, Section 3(h), sustainability requirements per DOE O 436.1, and/or other sustainability									
considerations into the preliminary design and design review. (Refer to DOE G 413.3-6A.)									
Conduct a Design Review of the preliminary and final designs.									
For Hazard Category 1, 2, and 3 nuclear facilities, design reviews should include a focus on safety and									
security systems. Additionally, the Code of Record shall be placed under configuration control during									
preliminary design. It is controlled during final design and construction with a process for reviewing and									
evaluating new and revised requirements. New or modified requirements are implemented if technical									
evaluations determine that there is a substantial increase in the overall protection of the worker, public or environment, and that the direct and indirect costs of implementation are justified in view of this increased									
protection.									
Complete a Preliminary Design Report.							İ		
For projects with a TPC $\geq$ \$100M, the <b>PMRC will review and analyze the CD and make recommendations to</b>							1		
the ESAAB, CE, or PME, as applicable, before approval.									
Conduct a Project Definition Rating Index Analysis, as appropriate , for projects with a TPC ≥ \$100M. PM will review as part of the EIR. (Refer to DOE G 413.3-12.)									
For Major System Projects, or first-of-a-kind engineering endeavors, conduct a Technology Readiness									
Assessment and develop a Technology Maturation Plan, as appropriate. At this stage, each critical									
technology item or system shall achieve a Technology Readiness Level-7 (TRL-7). (Refer to DOE G 413.3-4A.)	<u>CD-2</u>								
Employ an Earned Value Management System compliant with EIA-748C, or as required by the contract. This is performed by the contractor. (Refer to DOE G 413.3-10A.)									
Prepare a Hazard Analysis Report for facilities that are below the Hazard Category 3 nuclear facility					1				1
threshold as defined in 10 CFR Part 830, Subpart B by updating the PHAR based on new hazards and design									
information.									

) / Justification /	Yes √	No v	Narrative Justification if "No"	Yes	ired?	Responsibility		
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CHE Pare BL, Spencie A, Section 104, This plan must be input a univer anding concernent activities:	Prior to start of construction prepare a Construction Project Safety and Health Plan <sup>4</sup> in accordance with 10	<u></u>								
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Post CD-4 Approval         Finalize PARS II reporting (including reporting earned value data through completion of the PMB).         Within 90 days, submit Lessons Learned regarding project execution and facility start-up to PSO and PM.         Within 90 days, submit an Initial Project Closeout Report.	contractor to the decommissioning phase contractor; and when a change in contractor occurs during any									
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Finalize PARS II reporting (including reporting earned value data through completion of the PMB).       Image: Completion of the PMB).       Image: Completion of the PMB).         Within 90 days, submit Lessons Learned regarding project execution and facility start-up to PSO and PM.       Image: Completion of the PMB).       Image: Completio			<u> </u>	<u> </u>	I	<u> </u>	<u> </u>			
Within 90 days, submit Lessons Learned regarding project execution and facility start-up to PSO and PM.       Image: Construction and						1				
Within 90 days, submit an Initial Project Closeout Report.	Finalize PAKS II reporting (including reporting earned value data through completion of the PMB).									
Within 90 days, submit an Initial Project Closeout Report.	Within 90 days, submit Lessons Learned regarding project execution and facility start-up to PSO and PM					<u> </u>				
	security of any of summer costons connear egarating project execution and judity start-up to F30 and FM.									
	Within 90 days, submit an Initial Project Closeout Report.									
	Prior to Project Closeout									

Project Manager 413 Capital Asset Planning Compliance Review Checklist (CRC) for: Applicability Determinition / Justification / Training Completed /Assignment Responsibility / Review Completion and Sign-off		Applicability		Narrative Justification if "No"	Training Required?		Assignment Responsibility	Activity Forecast Dates	
		Yes √	No √		Yes √	No √	Name	Start	Finish
Establish and/or update the property record in the Facilities Information Management System (FIMS) for all construction of or modifications to real property. (Refer to DOE O 430.1C.)	Project Closeout								