



Midwest Project Controls Major Projects Processes

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Revision History

Revision #	Date	Reason for Revision	Revised By
1.0	Date	Document Creation	Name

Process Phases

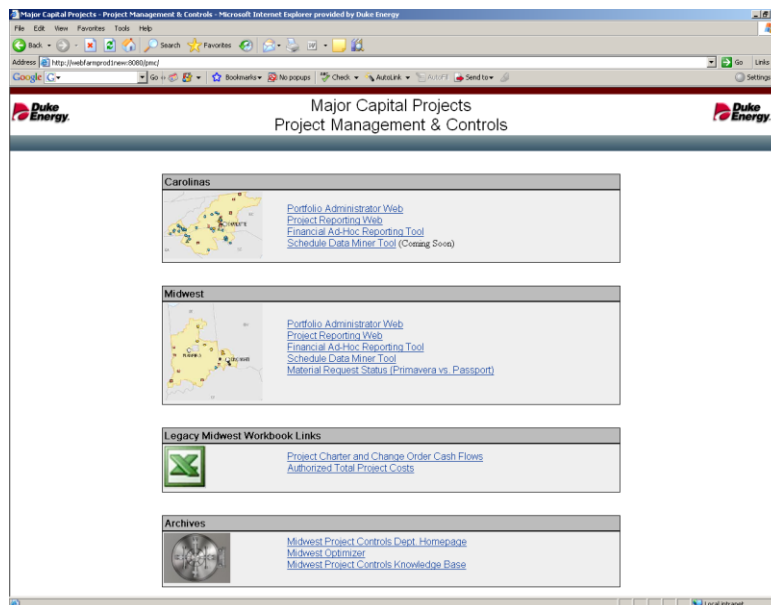
1. Overview of Process

The development and implementation of a Duke Energy Power Delivery Major Project is organized in the following phases: initiation, authorization, execution, and closeout. The processes in each phase are discussed in this document.

This document is intended to be an overview of Major Projects processes. Associated work practice documents are referenced throughout and may be used for more detailed information.

2. Project Initiation Phase

The Project Initiation phase includes the generation and assessment of project ideas, the development of project estimates and the setup of projects for authorization.



Major Capital Projects Website

2.1. Assessment Process

2.1.1. Roles and Responsibilities

Role	Responsibility
System Protection, Field Operations, Customers	Identify needs and requirements
Asset Management Management and Planners	Identify needs and requirements, reviews Load Studies, completes and submits applicable forms to SD&E
Scope Development and Estimating (SD&E) Management and Estimators	Develops solution(s)

2.1.2. Associated Work Practices and Deliverables

Project Needs and Request (PNR) Online Form
Project Assessment Form (PAF)

2.1.3. Process Description

Power Delivery (PD) projects are initiated by:

- Customers, Field Operations or System Protection groups identifying needs and requirements in the course of their daily jobs (i.e., “break/fix” critical needs such as equipment failures, equipment in danger of failure due to age or wear, etc.).
- Asset Management identifying capacity needs and critical operational issues from analysis of Load Studies
- Asset Management identifying **Program** needs that involve a broad scope of work and cross multiple sites and years, such as replacement of over-duty breakers
- Operations groups identifying Reliability and Integrity (R&I) issues (i.e., non-critical needs such as line clearance variances, minor code violations, substation equipment upgrades, routine maintenance, etc.)
- Other groups identifying other needs and requirements (i.e., needs in non-PD groups such as SmartGrid)

All requests for projects from groups outside of Asset Management are submitted online via Project Needs and Request (PNR) Forms to the appropriate Asset Management group. The type of project determines what Planning team receives the request:

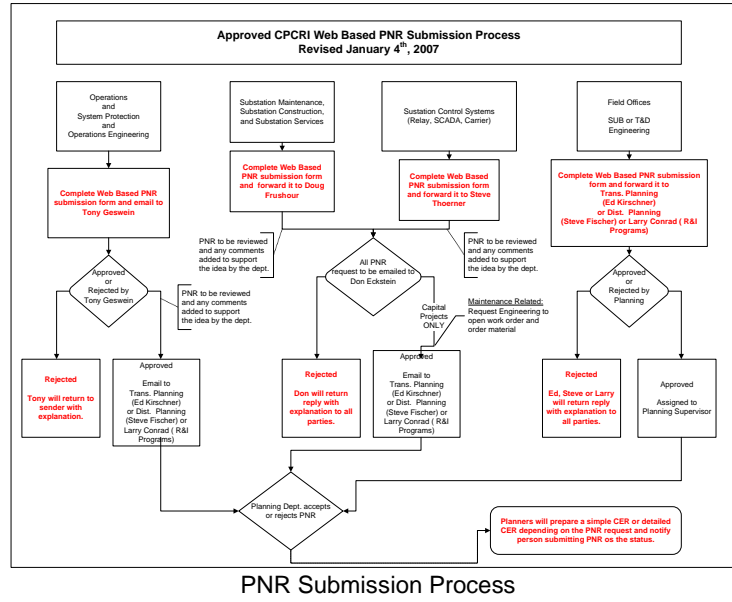
<u>Type of Project</u>	<u>Asset Management Team Assigned</u>
Distribution	→ Distribution Planners
Transmission	→ Transmission Planners
Reliability and Integrity	→ Reliability and Integrity Planners

An online PNR Form is shown here:

A request within Asset Management as a result of a Load Study is discussed with the SD&E group to determine the best solution for the project. A Project Assessment Form as shown here is used in this process (these two groups may also use a Simple Cost Estimate Request (SCER), but it is an internal form not recognized in this process phase):

Project Assessment Form

A flowchart diagramming this process in more detail is shown here:



Once the Asset Management assessment has been made and a solution selected, the Asset Management Planner assigned to the project requests a Funding Project Number (FPN) as described in the next section.

2.2. Funding Project Number (FPN) Request Process

2.2.1. Roles and Responsibilities

Role	Responsibility
Asset Management Planner	Completes and submits applicable forms to Performance Support
Performance Support Strategic Business Specialist	Sets up accounting for project

2.2.2. Associated Work Practices and Deliverables

Funding Project Setup Request Form - Part A
FPN in PowerPlant

2.2.3. Process Description

The Asset Management Planner assigned to the project completes Part A of the Funding Project Setup Request Form. The FPN field is left blank as the Planner, once completed, sends this form (following all naming convention rules (available on the PA Website)) to the Performance Support group to enter the project information in the PowerPlant application. PowerPlant assigns an FPN to the project. The form with the completed FPN is returned to the Planner to continue with the Project Setup Process as described in the next section.

FUNDING PROJECT REQUEST FORM - MIDWEST
 Instructions: The person requesting a Funding Project will need to complete the fields that are shaded light green & bold boxes.
 Field Ops Performance Support will respond with the Funding Project Number.

FUNDING PROJECT INITIATION REQUEST
 The information in this section is required when requesting a Funding Project

Part A.

Mark with an "X"
 Original
 Revision

Set up an existing Funding Project: if Yes, enter existing number below.

Funding Project Number:

Funding Project Type:

Resp. Center:

Description (35 chars max):

Long Description (100 chars max):

Notes (optional):

FUNDING PROJECT APPROVAL REQUEST
 This section is required before Detail Project(s) can be assigned

Part B.

Est. Start Date:

Est. Complete Date:

Est. In Service Date:

Blanket or Specific:

Project Manager:

Engineer:

Approve Funding Project for: \$

DOA Approval Person:

Documentation (electronic or hardcopy) must be supplied to Field Ops Perf. Support by the appropriate DOA person.

2.3. Funding Project Setup Process (DCER/Workbook)

2.3.1. Roles and Responsibilities

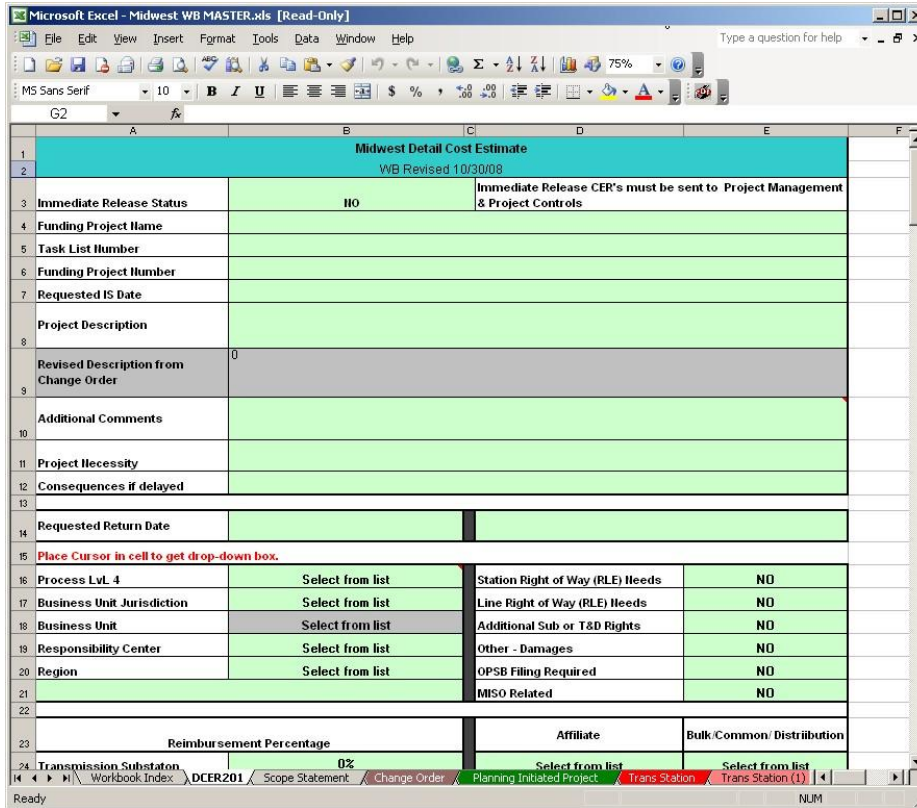
Role	Responsibility
Asset Management Planner	Creates DCER/Workbook and submits to Asset Management Technical Assistant
Asset Management Management	Approves DCER/Workbook
Asset Management Technical Assistant	Updates tracking lists and submits DCER/Workbook to SD&E
Scope Development and Estimating (SD&E) Estimator	Updates DCER/Workbook and submits to Project Controls Senior Specialists
Project Manager	Completes estimate/dollar information in Immediate Release project DCER/Workbooks

2.3.2. Associated Work Practices and Deliverables

Detailed Cost Estimate Request (DCER/Workbook)
Task List

2.3.3. Process Description

The Asset Management Planner uses the FPN and starts a new Detailed Cost Estimate Request (DCER/Workbook).



The Planner completes informational fields (headers on most tabs) and sends to his management and the Asset Management Technical Assistant (TA). The TA adds the new project to a comprehensive Task List and sends the DCER/Workbook to the SD&E Estimator for input. Details about completing a DCER/Workbook can be found in the Midwest Workbook Job Aid.

The Estimator then completes estimate details and returns the DCER/Workbook to the Planner and the TA. The TA notes the completed estimate in the Task List.

The DCER/Workbook is also sent to all of the Project Controls Senior Specialists for setup in Primavera as described in the next section.

Immediate Release and Program Projects are handled a little differently and described as follows:

Immediate Release Projects

Projects requiring faster turnaround time are called **Immediate Release** projects. Their DCER/Workbooks are not sent to SD&E for estimating. The Planner completes the DCER/Workbook as thoroughly as possible (but without dollars), gets approval from the Asset Management Management (Planning Initiates Project (PIP) approval), and then forwards the DCER/Workbook directly to the Project Manager for completion of the estimate and dollar information.

Program Projects

Projects with a broad scope of work that often involves multiple sites and years are called **Programs**. Current DCER/Workbooks are being used to handle these types of projects, one DCER/Workbook for each year of the Program project. A new DCER/Workbooks is being developed that will include a Summary Sheet for the Lump Sum Estimate of total Labor and Material dollars and individual sheets for each site's Labor and Material cost information.

The Planner completes the Program DCER/Workbook as thoroughly as possible and sends it to the SD&E Estimator to complete the Lump Sum Estimate. Once completed, the updated DCER/Workbook is sent to Project Controls to setup in Primavera.

2.4. Funding Project Setup Process (Primavera Schedule)

2.4.1. Roles and Responsibilities

Role	Responsibility
Project Controls Senior Specialist or Coordinator	Creates project schedule in Primavera

2.4.2. Associated Work Practices and Deliverables

Primavera schedule
"Bogus" Detailed Project Numbers (DPN or DPID)

2.4.3. Process Description

The Project Controls Senior Specialist or Coordinator assigned to the project enters information from the DCER/Workbook into Primavera to create the Project Schedule.

Because official Detailed Project Numbers (DPNs) will be assigned by PowerPlant later in the process, Project Controls uses "bogus" numbers (following all naming convention rules (available on the PA Website)) at this time.

The project is considered an **estimated** project until it goes through the Planning Initiates Project (PIP) process as described in the next section.

Immediate Release
projects are set up in Primavera but without any dollar information. They are entered as **authorized** projects.

2.5. Change Orders (unauthorized projects)

2.5.1. Roles and Responsibilities

Role	Responsibility
Asset Management Planner	Initiates a Change Order on non-authorized projects
Asset Management Management	Approves or rejects Change Orders
SD&E Estimator	Updates scope/cost changes in DCER/Workbook Change Order tab
Project Controls Manager	Authorizes changes to be made in Primavera for both Scope/Cost and In-service Date Changes,
Project Controls Senior Specialist or Coordinator	Updates Primavera to reflect change
Project Control Administrative Specialist	Receives copies of all email communication and updates network files as Change Order goes through approval process
Asset Management Technical Assistant	Receives copies of all email communication and updates network files as Change Order goes through approval process

2.5.2. Associated Work Practices and Deliverables

DCER/Workbook (Change Order tab and other pertinent tabs)
Primavera Schedule Updates to Scope/Cost or In-Service Dates

2.5.3. Process Description

At this stage of the process, a project is still **estimated** (not authorized) in Primavera.

The Change Order is initiated by the Asset Management Planner by creating a Change Order tab/worksheet in the DCER/Workbook and updating all pertinent information in other tabs/worksheets.

The revised DCER/Workbook is then routed to the appropriate Asset Management Manager (dependent on dollar level and type of project) for approval or rejection.

Changes to scope or cost require a revised estimate from the SD&E Estimator. **Changes to in-service dates** do not require a revised estimate from the SD&E Estimator.

When approved, the DCER/Workbook (referred to as a Change Order) for a **change to scope or cost** is sent to the Project Controls Administrative Specialist and the Asset Management Technical Assistant for electronic filing and forwarding to the SD&E Estimator for revisions. The SD&E Estimator then sends the Change Order to the Asset Management Planner, the Project Controls Manager (who notifies the Project Controls Senior Specialist and/or Coordinator to update Primavera), and the Project Controls Administrative Specialist and the Asset Management Technical Assistant for electronic filing.

When approved, the DCER/Workbook (referred to as a Change Order) for a **change to in-service date** is sent to the Project Controls Manager to notify the Project Controls Senior Specialist and/or Coordinator to update Primavera and to the Project Controls Administrative Specialist and the Asset Management Technical Assistant for electronic filing. The Project Controls Administrative Specialist then sends the DCER/Workbook (Change Order) to the Project Manager and Project Team

2.6. Planning Initiates Project (PIP) Process

2.6.1. Roles and Responsibilities

Role	Responsibility
Project Controls Senior Specialist	Requests Planning Initiates Project (PIP) notice from Asset Management
Asset Management Planner	Updates DCER/Workbook
Asset Management Technical Assistant	Updates tracking lists and submits Planning Initiates Project (PIP) notice to Project Manager and Project Controls Senior Specialist

2.6.2. Associated Work Practices and Deliverables

Monthly Report of estimated projects
Planning Initiates Project (PIP) Request
Updated DCER/Workbook
Planning Initiates Project (PIP) Notice

2.6.3. Process Description

The Project Controls Senior Specialist submits a list of estimated projects to Asset Management each month.

If a project is ready to be initiated, the Asset Management Planner completes the Planning Initiates Project (PIP) tab in the DCER/Workbook and submits it to the Asset Management Technical Assistant.

The Technical Assistant updates any associated tracking lists and sends a Planning Initiates Project (PIP) Notice to the Project Manager and Project Controls Group letting them know that the project is released.

The project is now ready to authorize and go through the Project Management review process as described in the next section.

3. Project Authorization Phase

The Project Authorization phase includes the project's review and approval processes.

3.1. Project Review Process

3.1.1. Roles and Responsibilities

Role	Responsibility
Project Controls Senior Specialist or Coordinator	Updates project status in Primavera
Project Manager	Conducts Planning Initiates Project (PIP) meeting and prepares meeting minutes, works with SD&E Estimator on any revisions needed, reviews Funding and Detailed Project Request Forms
SD&E Estimator	Updates DCER/Workbook estimate, if needed
Project Controls Analyst	Updates and submits Funding Request Forms to Project Manager for review

3.1.2. Associated Work Practices and Deliverables

- Primavera status update
- Planning Initiates Project (PIP) meeting minutes
- Updated DCER/Workbook, if necessary
- Funding Project Setup Request Form - Part B (FPA status)
- Detailed Project Setup Request Form - Part A and B (FPA status)

3.1.3. Process Description

Upon receipt of the PIP Notice, the Project Controls Coordinator updates the project status in Primavera from **estimated** to **authorized**.

Within 45 days, the Project Manager organizes and conducts a Planning Initiates Project (PIP) meeting with Engineering, Right-of-Way, Relay, SCADA, Telecom, Supervisors, the assigned Project Controls Coordinator, etc., to review the scope, schedule, and cost of the project and prepares meeting minutes.

If any revisions to the project are required, the Project Manager submits a request to the SD&E Estimator for an updated estimate. The Estimator updates the Workbook/DCER accordingly and returns it to the Project Manager. The Project Manager then forwards the updated DCER/Workbook to the Project Controls Analyst for completion of the Funding Project Setup Request Form (Part B) and the Detailed Project Setup Request Form (Parts A and B).

Note: The Detailed Project Setup Request Form will not contain Detailed Project Numbers (DPNs) yet as they are assigned in the Accounting Setup process described in a subsequent section.)

Note: The name of the Excel file is updated from “FPR” to “FPA” to indicate that the project now has moved from a “Funding Project Request” to a “Funding Project Approval”.

The screenshot displays a Microsoft Excel spreadsheet titled "FUNDING PROJECT REQUEST FORM - MIDWEST". The spreadsheet is divided into two main sections: "Part A" and "Part B".

Part A: FUNDING PROJECT INITIATION REQUEST
This section is titled "The information in this section is required when requesting a Funding Project". It includes a "Mark with an 'X'" checkbox for "Original" and "Revision". Below this, there are fields for "Set up an existing Funding Project" (with a "Pick one..." dropdown), "Funding Project Number", "Funding Project Type" (with a "Pick one from the drop-down list" dropdown), "Resp. Center" (with a "Pick one..." dropdown), "Description (35 chars max)", "Long Description (100 chars max)", and "Notes (optional)".

Part B: FUNDING PROJECT APPROVAL REQUEST
This section is titled "This section is required before Detail Project(s) can be assigned". It includes fields for "Est. Start Date", "Est. Complete Date", "Est. In Service Date", "Blanket or Specific", "Project Manager", and "Engineer". At the bottom, there is a field for "Approve Funding Project for: \$" and a note: "DOA Approval Person: [] Documentation (electronic or hardcopy) must be supplied to Field Ops Perf. Support by the appropriate DOA person."

The "Part B" section is highlighted with a red border in the screenshot. The Duke Energy logo is visible in the top right corner of the spreadsheet area.

The Project Manager reviews the Request Forms and the updated DCER/Workbook and requests Delegation of Authority (DOA) approval from Asset Management as described in the next section.

3.2. Delegation of Authority (DOA) Process

3.2.1. Roles and Responsibilities

Role	Responsibility
Project Manager	Submits DCER/Workbook to Asset Management Management for Delegation of Authority (DOA) approval For Program projects, conducts DOA meetings to work with Project Teams, Asset Management and SD&E to complete individual site estimates.
Asset Management Technical Assistant	Receives copies of all email communication and updates network files as they go through approval process
Project Controls Administrative Specialist	Receives copies of all email communication and updates network files as they go through approval process
Asset Management Management (Director level)	Approves and electronically signs DCER/Workbook and both Funding Project and Detailed Project Setup Request Forms
SD&E Estimator	For Program projects, submits DCER/Workbook with

Role	Responsibility
	Lump Sum Estimate to Project Manager. Works with Project Manager to complete individual site estimates.

3.2.2. Associated Work Practices and Deliverables

Signed DCER/Workbook
Signed Funding Project Setup Request Form
Signed Detailed Project Setup Request Form

3.2.3. Process Description

The Project Manager sends the DCER/Workbook, Funding Project Setup Request Form, and Detailed Project Setup Request Form to appropriate Asset Management Management (level of approval is dependent on project's dollar level) for review, approval, and electronic signature.

Once signed, the Asset Management Director or Manager sends a Delegation of Authority (DOA) approval email communication to a large distribution list of everyone involved with the project making them aware of the project's approval.

Upon this notification, the accounting setup process begins as described in the next section.

Program Projects

When the Project Manager (PM) receives the DCER/Workbook with the Lump Sum Estimate from the SD&E Estimator, the PM conducts DOA Meetings with Project Teams, Planners, and Estimators to complete the individual site estimates (tabs) in the DCER/Workbook.

Once those are completed, DOA approvals are obtained and the accounting setup process begins.

3.3. Accounting Setup Process

3.3.1. Roles and Responsibilities

Role	Responsibility
Performance Support Strategic Business Specialist	Assigns Detailed Project Numbers (DPNs) in PowerPlant, enters Numbers on Detailed Project Setup Request Form
Transmission and Engineering Technical Assistant	Assigns a Job Tracking Number in Passport for distribution and transmission line jobs
Project Controls Analyst	Sets up Work Management Numbers in Passport for distribution and transmission substation jobs
Project Controls Administrative Specialist	Receives copies of all email communication and updates network files as they go through approval process Sends Funding Project Approval (FPA) Notice that work may be charged to project
Asset Management Technical Assistant	Receives copies of all email communication and

Role	Responsibility
	updates network files as they go through approval process

3.3.2. Associated Work Practices and Deliverables

Detailed Project Numbers (DPNs) in PowerPlant
Job Tracking Number in Passport
Work Management Numbers in Passport
Funding Project Approval (FPA) Notice

3.3.3. Process Description

The Performance Support Strategic Business Specialist receives notice of the Delegation of Authority (DOA) approval and sets up Detailed Project Numbers in PowerPlant.

The Detailed Project Setup Request Form and DCER/Workbook are updated with the assigned numbers and sent to the Project Controls Analyst.

The Transmission and Engineering Technical Assistant sets up a Job Tracking Number for distribution and transmission line jobs. The Project Controls Analyst sets up a Work Management Number in Passport for distribution and transmission substation jobs. The Project Controls Analyst updates the Detailed Project Setup Request Form with the applicable number(s) and notifies Engineering, Project Management, and the Project Controls Group that the accounting has been set up and the project is ready to be updated in Primavera.

The Project Controls Administrative Specialist emails a Funding Project Approval (FPA) Notice to the entire project team that the project can accept direct charges and is ready for execution as described in the next section.

4. Project Execution Phase

The Project Execution phase includes an authorized project's monthly updates and associated reporting.

4.1. Update Cycle and Reporting of Schedule and Cost Data

4.1.1. Roles and Responsibilities

Role	Responsibility
Project Control Coordinator	Run and publish Primavera reports, update Primavera as needed
Project Control Senior Specialist	Run and publish Primavera reports, update Primavera as needed
Project Control Senior Specialist (Lead)	Run reports according to Update Cycle schedule
Project Manager	Complete and submit change orders, participate in update meetings

Role	Responsibility
Project Teams (Engineering, SCADA, Relay, Construction, Telecom, etc.)	Participate in update meetings

4.1.2. Associated Work Practices and Deliverables

Meetings (a complete list may be found at the PA Website)
Reports (a complete list may be found at the PA Website)
Primavera data downloads

4.1.3. Process Description

Each month, projects go through Project Controls update cycles that require communication about and gathering of updates from Project Managers to accurately update Primavera costs and scheduling data.

The Project Controls process starts on the first working day of each month when the Project Controls Senior Specialist (Lead) “schedules the data” to be published in the Milestone Report and the Total Float Report. These reports are sent to the Project Managers for initial verification of scheduling information currently in Primavera. When feedback is provided to the Project Controls Senior Specialists and Coordinators, they analyze and update the projects in Primavera as needed.

On the fourth working day of each month, the first “interim download” is run that combines the actual and updated schedule data. Material and contractor cost reports are sent to the Project Controls Senior Specialists and Coordinators to update Primavera as needed.

On the sixth working day of each month, a second “interim download is run to compare to the first interim download data. This day is also the deadline for Accounting updates from Asset Management.

On the seventh working day of each month, the update cycle is closed. Project Controls Reporting for that cycle will reflect data as of this day.

On the tenth working day of each month, a third and final “interim download” is made for material and contractor costs. The Project Controls Senior Specialists and Coordinators run reports from Primavera and publish to the P6 and Fihub section to the Portfolio Administrator Website and the Project Controls Senior Specialist (Lead) runs back-end (internal support and projection) reports and publishes to the Department Update Reports section of the Portfolio Administrator Website. The Project Managers are notified that new reports for the current update cycle are available.

During the next week, meetings are scheduled and attended by Project Controls, Project Managers and the Project Teams to review each project’s scheduling data.

A Health of Portfolio (HoP) Report review meeting occurs each month when the Cash Flow Report is published. This report forecasts the cash flow of projects scheduled and being executed for the next 18- to 24-months.

4.2. Change Orders (authorized projects)

4.2.1. Roles and Responsibilities

Role	Responsibility
Project Manager	Initiates a Change Order on authorized projects
Asset Management Management	Approves or rejects Change Orders
SD&E Estimator	Updates scope/cost changes in DCER/Workbook Change Order tab
Project Controls Manager	Authorizes changes to be made in Primavera for both Scope/Cost and In-service Date Changes,
Project Controls Senior Specialist or Coordinator	Updates Primavera to reflect change
Project Control Administrative Specialist	Receives copies of all email communication and updates network files as Change Order goes through approval process
Asset Management Technical Assistant	Receives copies of all email communication and updates network files as Change Order goes through approval process

4.2.2. Associated Work Practices and Deliverables

DCER/Workbook (Change Order tab and other pertinent tabs)
Primavera Schedule Updates to Scope/Cost or In-Service Dates

4.2.3. Process Description

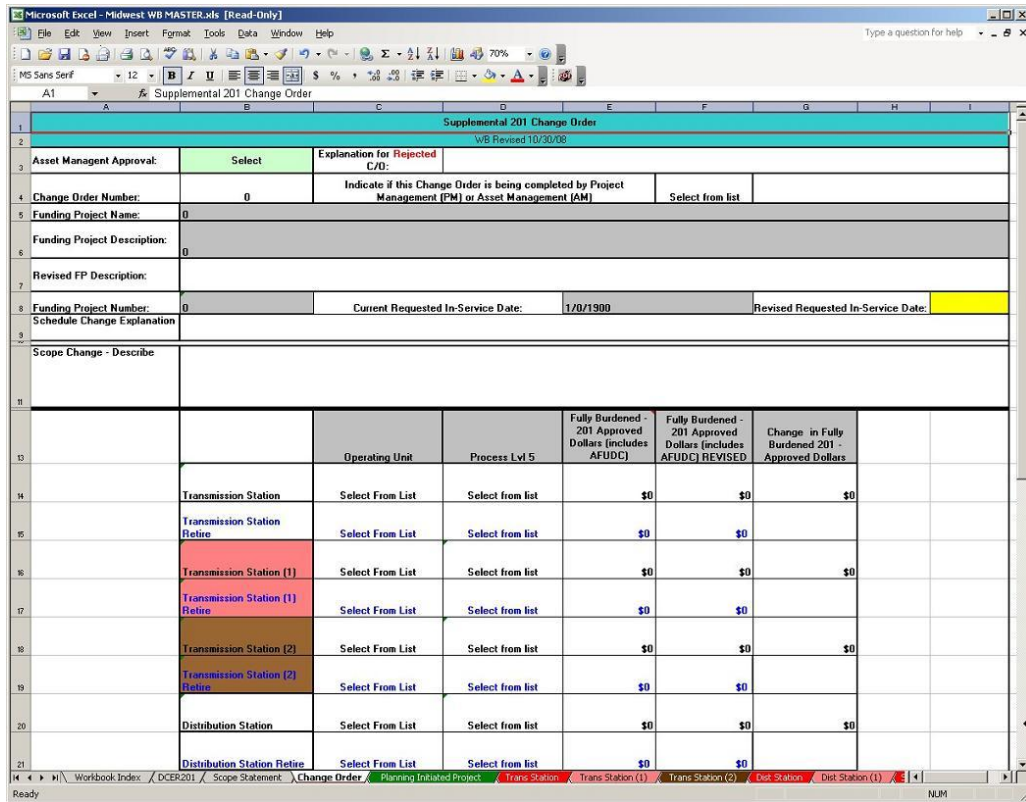
For changes affecting the scope, cost and/or in-service date of an authorized project, a Change Order is initiated by the Project Manager by creating a Change Order tab/worksheet in the DCER/Workbook and updating all pertinent information in other tabs/worksheets.

Changes to scope or cost require a revised estimate from SD&E. **Changes to in-service dates** do not require a revised estimate from SD&E.

The revised DCER/Workbook is then routed to the appropriate Asset Management Manager (dependent on dollar level and type of project) for approval or rejection.

When approved, the DCER/Workbook (referred to as a Change Order) is sent to the Project Controls Administrative Specialist and the Asset Management Technical Assistant for electronic filing, to the Project Controls Manager to notify the Project Controls Senior Specialist and/or Coordinator. The Project Controls Administrative Specialist then sends the DCER/Workbook (Change Order) to the Project Manager and Project Team.

Note: Changes to the scope or cost of **Program** projects that could involve multiple sites and/or years are handled at the Funding Project level. In other words, the Lump Sum Estimate in the DCER/Workbook becomes the Change Order.



5. Project Closeout Phase

The Project Closeout phase includes the closing of a project upon its completion.

5.1. Process

5.1.1. Roles and Responsibilities

Role	Responsibility
Project Controls Analyst	Closes project and sends to Finance and Accounting (FAA)
Project Manager	Confirms that all project work has concluded
Project Controls Senior Specialist	Publishes Specific Capital Project Web report to Portfolio Administrator (PA) Website
Project Controls Administrative Specialist	Moves all related project files to Finance and Accounting (FAA) folder on network

5.1.2. Associated Work Practices and Deliverables

Specific Capital Project Web Report
Capital Accounting Completion Report (used to be Work Auth tab in DCER)
Retirement/Transfer Fixed Asset Form
Install Station Equipment Fixed Asset Form
Variance Report
All files related to project

5.1.3. Process Description

The Project Controls Senior Specialist publishes a Specific Capital Project Web report on the Portfolio Administrator (PA) Website each month during the Update Cycle. This report lists all projects with In-Service dates in Primavera six months prior to the date the report is run. (The six-month period is significant for Sarbanes-Oxley auditing requirements. Any project put in service should be closed out within six months.)

The Project Controls Analysts use this report to create a report of projects in their geographical area. They check for any work or changes in PowerPlant. They discuss the project's status with the Project Manager to see if work should be concluded. If the Project Manager wants to keep a project open past the six-month requirements, he must send an email to the Project Controls Analysts as a documented explanation for the exception. The email is stored with all other related project files.

If the Project Manager gives the approval to close out the project, the Project Controls Analysts complete the Retirement/Transfer Fixed Asset Form and the Install Station Equipment Fixed Asset Form (there two forms are not required on Transmission and Distribution Line projects) confirming that all major equipment has been retired or installed all that associated serial numbers are entered and accurate. The Analysts complete and electronically sign the Capital Accounting Completion Report which is retained for auditing purposes.

The Project Controls Analysts then move the Workbook with the most recent Change Order (most recent cost estimate information) and all related project files to a folder on the network called, "Sent to FAA". They send an email that the project is now complete.

?? A Variance Report is run to compare the latest cost estimate to the actual dollars spent on the project. Any variance of 10% (+ or -) from the estimate requires an explanation to the Project Controls Manager and Project Controls Management and Controls Director by the Project Manager.