Completion of this checklist with suitable evidence for each item can be used to satisfy the Project Authority that a project Phase is complete.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Project Manager: |  | Project Name: |  | Project Number: |  | Close-out Signature |  |

| **EGW 20-01 Ref.Item** | **Complex Project Minimum Requirements** | **Status** |
| --- | --- | --- |
| **3.2 Establish the Project and the Project Team** | | |
| Item 3.2.1 | Approval Authority to endorse commencement of Phase 1 (ref FIN-PR-039) |  |
| Item 3.2.2 | Project Manager endorsed by Approval Authority |  |
| Item 3.2.3 | Steering Committee endorsed by Approval Authority |  |
| Item 3.2.4 | Project Manager to provide Divisional Management Accountant with Budget and expenditure profile |  |
| Item 3.2.5 | Create project number in Ci Financials and activity codes where applicable |  |
| **3.3 Understanding the Project Inputs and Outputs** | | |
| Item 3.3.1 | Project objectives defined |  |
| Item 3.3.1 | Business outcomes defined |  |
| Item 3.3.1 | Inputs / tasks needed to achieve the outcome listed |  |
| **3.4 Project Management Plan** | | |
| Item 3.4 | Preliminary Project Management Plan (PMP) in place at start of Phase 1 | Y N/A |
| Item 3.4.5 | Preliminary PMP prepared for Phase 2 by the end of Phase 1 |  |
| Item 3.4.5 | Phase 2 PMP endorsed by Approval Authority (The Approval Authority may delegate this responsibility to the Project Director) |  |
| **3.5 Scope of Work and Work Breakdown Structure** | | |
| Item 3.5 | Phase 1 Scope of Work defined as Work Breakdown Structure (WBS) organised by discipline |  |
| **3.6 Project Interfaces and Constraints** | | |
| Item 3.6.1 | Inter-discipline interfaces documented (links in program) | Y N/A |
| Item 3.6.1 | Stakeholder interfaces considered | Y N/A |
| Item 3.6.1 | List key project constraints |  |
| Item 3.6.1 | Document how key constraints will be managed ie links in program, matrix, GIS |  |
| **3.7 Project Delivery Strategy** | | |
| Item 3.7.1 | Work packages to be outsourced in each Phase identified. Ie. Designs, environmental, survey, geotechnical, construction etc | Y N/A |
| Item 3.7.1 | Form of contract for project implementation identified. Ie. Alliance, Construct from Design, Design and Construct etc. | Y N/A |
| **3.8 - Cost Management - Budgets and Projected Cash Flows** | | |
| Item 3.8.1 | Phase 1 budget established at commencement of the Phase and includes any costs incurred to date plus forecasts for remaining Phases |  |
| Item 3.8.1 | Phase 1 budget includes all discipline costs ie ARTC staff, consultants, property, materials, contractors etc |  |
| Item 3.8.2 | The budget has regard for accounting treatment and tax issues if applicable. |  |
| Item 3.8.3 | Work Breakdown Structure (WBS) and Cost Breakdown Structure (CBS) aligned. Forecast budget consistent with program |  |
| Item 3.8.4 | Phase 1 budget includes contingency agreed by Approval Authority (ref FIN-PR-039 approval) |  |
| Item 3.8.5 | Change management procedure exists in PMP | Y N/A |
| Item 3.8.6 | Costs tracked against budget, minimum monthly | Y N/A |
| Item 3.8.8 | Project budget updated for Phase 2 |  |
| **3.9 - Program Management** | | |
| Item 3.9.1 | Activities on WBS scheduled in MS Project or P6 |  |
| Item 3.9.3 | Program includes all disciplines |  |
| Item 3.9.4 | Links established between key interfaces |  |
| Item 3.9.5 | Key activities defined by milestone completion dates |  |
| Item 3.9.6 | Possession dates and Approval Authority meetings and review periods shown | Y N/A |
| Item 3.9.8 | Baseline established at start of Phase 1 |  |
| Item 3.9.9 | Progress tracked, minimum monthly |  |
| Item 3.9.10 | Change management procedure followed (budget and program) |  |
| Item 3.9.11 | Impacts of changes planned and incorporated into Program | Y N/A |
| **3.10 Risk Management** | | |
| Item 3.10.1 | Project Risk Management Plan development commenced |  |
| Item 3.10.2 | Project specific risk matrix developed |  |
| Item 3.10.3 | Risk register established in the Enterprise Risk Management System (ERMS) |  |
| Item 3.10.4 | Risk workshop held and risk register updated |  |
| Item 3.10.5 | Risk and Opportunity Costs considered for Phase 2 |  |
| Item 3.10.6 | Risks identified that could impact on the project viability and are beyond the control of ARTC. i.e. property, environmental, utilities etc |  |
| Item 3.10.7 | Risk register up to date and included in PMP at end of Phase |  |
| **3.11 Change Management** | | |
| Item 3.11.1 | Changes to scope, budget or program managed in accordance with the PMP. |  |
| Item 3.11.2 | Changes notified to Project Director, accountant and scheduler within 10 days of occurrence |  |
| **3.12 Safety Management** | | |
| Item 3.12.1 | Safety Management Plan prepared for Phase 1 if site inspections / work required | Y N/A |
| Item 3.12.2 | Safety responsibilities defined in the Safety Management Plan | Y N/A |
| Item 3.12.3 | Rail Safety Worker competencies verified, where appropriate | Y N/A |
| Item 3.12.4 | Rail safety accreditation requirements and safety management system arrangements considered. | Y N/A |
| Item 3.12.5 | Application for Variation of Accreditation and Notification of Change requirements considered. | Y N/A |
| Item 3.12.4 | Safety risk assessment held | Y N/A |
| Item 3.12.5 | Safe work method statements in place, where required | Y N/A |
| **3.13 Quality Management** | | |
| Item 3.13.1 | Project assurance requirements nominated by Approval Authority |  |
| Item 3.13.2 | Quality reviews scheduled in PMP | Y N/A |
| Item 3.13.4 | Documents transmitted using Data Transmittal Form |  |
| **3.15 – Human Resources Management** | | |
| Item 3.15.1 | Project organisation chart in PMP | Y N/A |
| Item 3.15.2 | Roles and responsibilities defined inc. rail safe worker competencies |  |
| Item 3.15.4 | Resources identified for the project are available |  |
| **3.16 - Communications Management** | | |
| Item 3.16.2 | Schedule of meetings and communications protocols defined in PMP | Y N/A |
| Item 3.16.3 | Stakeholders identified inc. ARTC internal stakeholders, utilities, environmental groups, government departments, authorities etc |  |
| **3.17 - Procurement Management** | | |
| Item 3.17.1 | Third party services and materials to be procured and method of procurement identified |  |
| Item 3.17.2 | Procurement methodology endorsed by Approval Authority (signed CAR) |  |
| Item 3.17.4 | Procurement methodology in accordance with FCO-PR-022 |  |
| **3.18 - Configuration Management (EGP-03-01)** | | |
| Item 3.18.1 | Configuration Management Plan contained in Preliminary Phase 2 PMP |  |
| **3.19 - Reporting** | | |
| Item 3.19.1 | Reporting schedule in place for progress, program, cost, risk, safety, quality and configuration management. |  |
| Item 3.19.2 | Reports reviewed by Project Director and presented to Approval Authority, where applicable |  |
| **3.20 - Phase Approvals** | | |
| Item 3.20.1 | Phase 1 Technical Reports Complete |  |
| Item 3.20.1 | Phase 1 Concept Assessment Report (CAR) Complete |  |
| Item 3.20.1 | Preliminary Phase 2 Project Management Plan Complete |  |
| Item 3.20.1 | Lessons Learnt Report Complete for Phase 1 |  |
| Item 3.20.1 | Budget Investment Committee Submission Complete for Phase 2 |  |
| Item 3.20.1 | ARTC Board Submission Complete for Phase 2 (where approval request > $5M) | Y N/A |
| Item 3.20.1 | Third party approval submission complete for Phase 2 ( ie Rail Capacity Group for Hunter Valley works) | Y N/A |
| **Rail Network Activity Project** | | |
| **Civil Design** | | |
| Item 4.3.1 | Desk top review of existing survey | Y N/A |
| Item 4.3.1 | Desk top review of existing geotechnical data | Y N/A |
| Item 4.3.1 | Utilities identification - Dial Before You Dig |  |
| Item 4.3.1 | Track and civil options identified | Y N/A |
| Item 4.3.1 | Key technical constraints identified and defined | Y N/A |
| Item 4.3.1 | Guide cost estimates for options | Y N/A |
| Item 4.3.1 | Options evaluated | Y N/A |
| Item 4.3.1 | Preferred option or options recommended | Y N/A |
| **Signalling Design** | | |
| Item 4.3.1 | Operational modelling complete |  |
| Item 4.3.1 | Desk top review of existing signalling data |  |
| Item 4.3.1 | Preliminary signalling layouts | Y N/A |
| Item 4.3.1 | Identify signalling constraints | Y N/A |
| Item 4.3.1 | Guide cost estimate for signalling works | Y N/A |
| Item 4.3.1 | Options evaluated | Y N/A |
| Item 4.3.1 | Preferred option or options recommended | Y N/A |
| **Environmental Assessment** | | |
| Item 4.3.1 | Preliminary assessment of impacts | Y N/A |
| Item 4.3.1 | Designated protected areas identified | Y N/A |
| Item 4.3.1 | Site inspection undertaken | Y N/A |
| Item 4.3.1 | Summary of approvals strategy | Y N/A |
| **Property Acquisition** | | |
| Item 4.3.1 | Preliminary Property Strategy | Y N/A |
| Item 4.3.1 | Property constraints identified | Y N/A |