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 2 (signed CAR and approved PMP) | **[ ]**  |
| 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 | Activate Phase 2 Project Number and create activity codes for in Ci Financials, 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 | Project Management Plan developed and communicated to team | **[ ]**  |
| Item 3.4.5 | Preliminary PMP prepared for Phase 3 | **[ ]**  |
| Item 3.4.5 | Phase 3 PMP endorsed by Approval Authority | **[ ]**  |
| **3.5 Scope of Work and Work Breakdown Structure** |
| Item 3.5 | 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) | **[ ]**  |
| Item 3.6.1 | Consider stakeholder interfaces | **[ ]**  |
| 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 | **[ ]**  |
| Item 3.7.1 | Form of contract for project implementation identified | **[ ]**  |
| **3.8 Cost Management - Budgets and Projected Cash Flows** |
| Item 3.8.1 | Phase 2 budget established at commencement of the Phase and includes any costs incurred to date plus forecasts for remaining Phases | **[ ]**  |
| Item 3.8.1 | Phase 2 budget includes all discipline costs ie ARTC staff, consultants, property, materials, contractors etc | **[ ]**  |
| Item 3.8.2 | Work Breakdown Structure (WBS) and Cost Breakdown Structure (CBS) aligned. Forecast budget consistent with program | **[ ]**  |
| Item 3.8.3 | Phase 2 budget includes risk and opportunity provision and contingency agreed by Approval Authority | **[ ]**  |
| Item 3.8.4 | Change management procedure exists in PMP | **[ ]**  |
| Item 3.8.5 | Costs tracked against budget, minimum monthly | **[ ]**  |
| Item 3.8.7 | Project budget updated for Phase 3 | **[ ]**  |
| Item 3.8.7 | Phase 3 budget includes property acquisition costs, if required | Y **[ ]** N/A **[ ]**  |
| Item 3.8.7 | Phase 3 budget includes long lead item costs, if required | Y **[ ]** N/A **[ ]**  |
| **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 | **[ ]**  |
| Item 3.9.8 | Baseline established at start of Phase 2 | **[ ]**  |
| 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 | **[ ]**  |
| **3.10 Risk Management** |
| Item 3.10.1 | Project Risk Management Plan developed | **[ ]**  |
| Item 3.10.2 | Project specific risk matrix approved | **[ ]**  |
| Item 3.10.3 | Project Risk register reviewed and updated (Based on outcomes from Phase 1) | **[ ]**  |
| Item 3.10.4 | Risk workshop held and risk register updated considering activities for Phase 2 and beyond | **[ ]**  |
| Item 3.10.5 | Risk and Opportunity Costs considered for Phase 3 | **[ ]**  |
| 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 | **[ ]**  |
| Item 3.10.4 | Operational risks considered - access, egress, maintenance etc | **[ ]**  |
| **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 2 | **[ ]**  |
| Item 3.12.2 | Safety responsibilities defined in the Safety Management Plan | **[ ]**  |
| Item 3.12.3 | Rail Safety Worker competencies verified | **[ ]**  |
| Item 3.12.4 | Safety risk assessment held | **[ ]**  |
| Item 3.12.5 | Safe work method statements in place | **[ ]**  |
| **3.13 Quality Management** |
| Item 3.13.1 | Project assurance requirements nominated by Approval Authority | **[ ]**  |
| Item 3.13.2 | Quality reviews scheduled in PMP | **[ ]**  |
| Item 3.13.4 | Documents transmitted using Data Transmittal Form | **[ ]**  |
| Item 3.13.6 | Third party verification certificate provided, where required ie track design | **[ ]**  |
| **3.14 Environmental Management** |
| Item 3.14.1 | Environmental protection measures included in PMP for Phase 2 (where site investigations required) | **[ ]**  |
| Item 3.14.2 | Task based Environmental Impact Statements completed prior to site works being undertaken | **[ ]**  |
| **3.15 Human Resources Management** |
| Item 3.15.1 | Project organisation chart in PMP | **[ ]**  |
| 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 | **[ ]**  |
| Item 3.16.3 | Stakeholders identified | **[ ]**  |
| Item 3.16.4 | Stakeholder management plan developed | **[ ]**  |
| **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 FAR) | **[ ]**  |
| Item 3.17.4 | Procurement in accordance with FCO-PR-022 | **[ ]**  |
| **3.18 Configuration Management (EGP-03-01)** |
| Item 3.18.1 | Configuration Management Plan updated in Phase 2 PMP | **[ ]**  |
| Item 3.18.2 | NAN raised and Engineering Job Number issued | **[ ]**  |
| **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 | Updated Phase 2 Project Management Plan completed at start of Phase 2 | **[ ]**  |
| Item 3.20.1 | Phase 2 Technical Reports Complete | **[ ]**  |
| Item 3.20.1 | Phase 2 Feasibility Assessment Report (FAR) Complete | **[ ]**  |
| Item 3.20.1 | Preliminary Phase 3 Project Management Plan Completed at end of Phase 2 | **[ ]**  |
| Item 3.20.1 | Lessons Learnt Report Complete for Phase 2 | **[ ]**  |
| Item 3.20.1 | Budget Investment Committee Submission Complete for Phase 3 | **[ ]**  |
| Item 3.20.1 | ARTC Board Submission Complete for Phase 3 (where approval request > $5M) | **[ ]**  |
| 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 5.3.3 | Conduct a dilapidation survey to determine the condition of existing asset | **[ ]**  |
| Item 5.3.3 | Phase 2 Topographical survey undertaken | **[ ]**  |
| Item 5.3.3 | Phase 2 Geotechnical investigations undertaken | **[ ]**  |
| Item 5.3.3 | Utilities and rail services identified (Dial before you dig and potholing at critical locations) | **[ ]**  |
| Item 5.3.3 | Options identified and evaluated using Multicriteria Analysis (MCA) or similar | **[ ]**  |
| Item 5.3.3 | Feasibility design developed for preferred option (or options) | **[ ]**  |
| Item 5.3.3 | Key technical constraints identified and defined | **[ ]**  |
| Item 5.3.3 | Civil works cost estimates prepared inc. appropriate risk and opportunity and contingency | **[ ]**  |
| Item 5.3.3 | Preferred option(s) recommended | **[ ]**  |
| **Signalling Design** |
| Item 5.3.3 | Operational requirements defined | **[ ]**  |
| Item 5.3.3 | Create NAN ready for when drawings need to be requested for update (ref EGP-03-01) | **[ ]**  |
| Item 5.3.3 | Operational Specification completed | **[ ]**  |
| Item 5.3.3 | Functional Specification completed | **[ ]**  |
| Item 5.3.3 | Confirm interlocking | **[ ]**  |
| Item 5.3.3 | Preliminary Signalling scheme plan (internally approved) | **[ ]**  |
| Item 5.3.3 | Locations of signalling infrastructure identified | **[ ]**  |
| Item 5.3.3 | Routes for power and communications identified | **[ ]**  |
| Item 5.3.3 | Signalling cost estimates prepared, inc appropriate contingency | **[ ]**  |
| **Environmental Assessment** |
| Item 5.3.3 | Environmental investigations commenced | **[ ]**  |
| Item 5.3.3 | Environmental Protection and Biodiversity Conservation (EPBC) Act referral considered | **[ ]**  |
| Item 5.3.3 | Approval pathway defined | **[ ]**  |
| **Property Acquisition** |
| Item 5.3.3 | Outline property impact plan showing potential acquisitions, leases and easements | **[ ]**  |
| Item 5.3.3 | Construction access and site compounds considered | **[ ]**  |
| Item 5.3.3 | Easements for utilities considered | **[ ]**  |
| Item 5.3.3 | Potential compulsory acquisitions identified | **[ ]**  |
| Item 5.3.3 | Property consultations considered | **[ ]**  |