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 3 (signed FAR 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 3 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 updated and communicated to team | [ ]  |
| Item 3.4.5 | Preliminary PMP Prepared for Phase 5 | [ ]  |
| Item 3.4.5 | Phase 5 Preliminary PMP endorsed by Approval Authority | [ ]  |
| Item 3.4.9 | Hunter Valley -Preliminary Phase 5 PMP submitted and approved by RCG in accordance with ACCC Hunter Valley Coal Network Access Undertaking | [ ]  |
| **3.5 Scope of Work and Work Breakdown Structure** |
| Item 3.5 | Scope of Work defined as Work Breakdown Structure (WBS) organised by discipline | [ ]  |
| Item 3.5.3 | The WBS has regard for creation of the fixed asset at commissioning or project close. | **[ ]**  |
| **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 identified | Y [ ]  N/A [ ]  |
| **3.8 Cost Management - Budgets and Projected Cash Flows** |
| Item 3.8.1 | Phase 3 budget established at commencement of the Phase and includes any costs incurred to date plus forecasts for remaining Phases | [ ]  |
| Item 3.8.1 | Phase 3 budget includes all discipline costs ie ARTC staff, consultants, property, materials, contractors etc | [ ]  |
| Item 2.8.2 | 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 3 budget includes risk and opportunity provision and contingency agreed by Approval Authority | [ ]  |
| Item 3.8.5 | Change management procedure exists in PMP | [ ]  |
| Item 3.8.6 | Costs tracked against budget, minimum monthly | [ ]  |
| Item 3.8.8 | Project budget updated for Phase 5 works | [ ]  |
| Item 3.8.7 | Phase 5 budget includes property acquisition costs, if required | Y [ ]  N/A [ ]  |
| Item 3.8.7 | Phase 5 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 3 | [ ]  |
| 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 register reviewed and updated (Based on outcomes from Phase 2) | [ ]  |
| Item 3.10.2 | Risk workshop held and risk register updated considering activities for Phase 3 and beyond | [ ]  |
| Item 3.10.3 | Risk and Opportunity Costs considered for Phase 5 | [ ]  |
| Item 3.10.4 | Risks identified that could impact on the project viability and are beyond the control of ARTC. Ie property, environmental, utilities etc | [ ]  |
| Item 3.10.5 | Risk register up to date and included in PMP at end of Phase | [ ]  |
| Item 3.10.6 | 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 3 | [ ]  |
| 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 | Determine and document that appropriate rail safety accreditation is held for the work being carried out and agree and document safety management system arrangements.  | Y [ ]  N/A [ ]  |
| Item 3.12.5 | Determine if the change requires variation to ARTC’s accreditation and prepare AVA if required or if the change needs be notified to the Rail Safety Regulator and prepare a NoC if required. | Y [ ]  N/A [ ]  |
| 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 | Y [ ]  N/A [ ]  |
| **3.14 Environmental Management** |
| Item 3.14.1 | Environmental protection measures included in PMP for Phase 3 (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 reviewed and updated | [ ]  |
| **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 PAR) | [ ]  |
| Item 3.17.3 | Contract Manager appointed to Support Team | [ ]  |
| 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 3 PMP | [ ]  |
| Item 3.18.3 | NAN and CCL Updated and communicated to Stakeholders | [ ]  |
| Item 3.18.5 | If required, prepare the Rail Safety Regulator AVA / Notification of Change (ref ARTC SMS ‘Manage Accreditation – Variation and Change) | Y [ ]  N/A [ ]  |
| **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 3 Project Management Plan completed at start of Phase 3 | [ ]  |
| Item 3.20.1 | Phase 3 Technical Reports Complete | [ ]  |
| Item 3.20.1 | Phase 3 Project Assessment Report (PAR) Complete | [ ]  |
| Item 3.20.1 | Preliminary Phase 5 Project Management Plan Completed at end of Phase 3 | [ ]  |
| Item 3.20.1 | Lessons Learnt Report Complete for Phase 3 | [ ]  |
| Item 3.20.1 | Budget Investment Committee Submission Complete for Phase 5 | [ ]  |
| Item 3.20.1 | ARTC Board Submission Complete for Phase 5 (where approval request > $5M) | [ ]  |
| Item 3.20.1 | Third party approval submission complete for Phase 3 ( ie Rail Capacity Group for Hunter Valley works) | Y [ ]  N/A [ ]  |
| **Rail Network Activity Project** |
| **Civil Design** |
| Item 6.3.2 | Conduct a dilapidation survey to determine the condition of existing asset | [ ]  |
| Item 6.3.2 | Phase 3 Topographical survey, inc property boundaries complete | [ ]  |
| Item 6.3.2 | Phase 3 Geotechnical investigations complete | [ ]  |
| Item 6.3.2 | All Utilities and rail services identified and pot holed | [ ]  |
| Item 6.3.2 | Detailed design developed for preferred option | [ ]  |
| Item 6.3.2 | Key technical constraints identified and defined | [ ]  |
| Item 6.3.2 | Civil works cost estimates prepared inc. appropriate risk and opportunity and contingency | [ ]  |
| Item 6.3.2 | Documentation produced for project implementation | [ ]  |
| **Signalling Design** |
| Item 6.3.2 | Operational requirements defined | [ ]  |
| Item 6.3.2 | Obtain master circuit books | [ ]  |
| Item 6.3.2 | Conduct Signal Sighting | [ ]  |
| Item 6.3.2 | Complete signalling detailed design | [ ]  |
| Item 6.3.2 | Complete Speed Board Diagram (Schematic) | [ ]  |
| Item 6.3.2 | Communication System Design | [ ]  |
| Item 6.3.2 | Complete Updated Drivers Diagram | [ ]  |
| Item 6.3.2 | Signalling construction drawings | [ ]  |
| Item 6.3.2 | Signalling construction specification | [ ]  |
| Item 6.3.2 | Detailed cost estimates including risk and opportunity provision and contingency | [ ]  |
| **Environmental Assessment** |
| Item 6.3.2 | Environmental investigations completed | [ ]  |
| Item 6.3.2 | EPBC referral considered and submitted if applicable | Y [ ]  N/A [ ]  |
| Item 6.3.2 | Project Statutory Approval pathway defined | [ ]  |
| Item 6.3.2 | Review of Environmental Factors (REF) / Environmental Impact Statement (EIS) Complete | [ ]  |
| Item 6.3.2 | Third party approvals submitted ie roads authority, utility relocations | [ ]  |
| Item 6.3.2 | Community consultation progressed | [ ]  |
| **Property Acquisition** |
| Item 6.3.2 | Property acquisition plans produced | [ ]  |
| Item 6.3.2 | Construction access and site compounds identified | [ ]  |
| Item 6.3.2 | Easements for utilities negotiated and agreements drafted | Y [ ]  N/A [ ]  |
| Item 6.3.2 | Negotiated acquisitions progressed. Options placed. | Y [ ]  N/A [ ]  |
| Item 6.3.2 | Negotiations for compulsory acquisitions completed | Y [ ]  N/A [ ]  |
| Item 6.3.2 | Property Acquisition Notices served for compulsory purchases | Y [ ]  N/A [ ]  |
| Item 6.3.2 | Drainage tail out drains considered | [ ]  |
| **Construction** |
| Item 6.3.2 | Draft Construction Environmental Management Plan (CEMP), if required | Y [ ]  N/A [ ]  |
| Item 6.3.2 | Preliminary Phase 5 Project Management Plan | [ ]  |