

EIR Report Template

An EIR typically results in both a Draft and Final EIR Report. Where follow-up actions are required, a Corrective Action Plan (CAP) Review Report and Addendum to the Final EIR Report is also generated.

The EIR Report shall be organized into the following sections:

Acronyms

Key Definitions

Executive Summary

- 1.0 Cost
- 2.0 Schedule
- 3.0 Scope
- 4.0 Risk
- 5.0 Management (Contract and Project)
- 6.0 ES&H, QA, Safety

Report Appendices:

- A. EIR Team Members, Assignments, and Biographical Sketches
- B. Detailed Comments on Project Execution Plan (*if applicable*)
- C. Detailed Comments on Other Documents (*if applicable*)
- D. Corrective Action Plan (CAP) Recommendations

OECM and the EIR Contractor may mutually agree to add or delete particular sections, based upon the scope of the final EIR Review Plan. The EIR Report shall indicate that all lines of inquiry suggested in the references herein have been considered, although not all such lines of inquiry necessarily warrant the same level of incorporation and investigation.

The Executive Summary of the EIR Report **shall include** the EIR Team's overall assessment and shall convey a clear recommendation using the "i", "ii" or "iii" options and associated wording described below:

- i. The overall assessment of the EIR Team is that the Total Project Cost (TPC) and Project Completion Date for the project scope are reasonable, and that the project as planned and managed can be successfully executed. Accordingly, the EIR Team recommends that OECM validate the Performance Baseline (or verify the Project is ready to proceed to construction). The baseline recommended for validation is defined by: Total Project Cost \$ _____, Project Completion Date (CD-4) _____, and Technical Scope/Key Performance Parameters listed below that define project completion.
- ii. The overall assessment of the EIR team is that there are deficiencies in the cost and schedule estimates and/or the project as planned and managed cannot be successfully executed. Accordingly, the EIR Team recommends that the baseline not be validated until these deficiencies are corrected.

- iii. The overall assessment is that there is insufficient information to assess the Performance Baseline (or Construction Readiness). The EIR Team recommends that the Performance Baseline not be validated. The following information needs to be provided ... (*information should reference the various review elements*).

Major findings will be summarized in an appropriate form depending upon the number of major findings. For purposes of the EIR Report, the following definitions will be followed:

A **Major Finding** is any deficiency, condition, shortcoming, error, or omission that affects the project mission, the proposed performance baseline scope (Key Performance Parameters), TPC, and/or CD-4 schedule, or in the professional judgment of the EIR team, is of such significance that safety, quality, risk management, planning, funding, other documented basis, or the ability of the project team to successfully execute the baseline is jeopardized. Major Findings can also include Critical Decision or baseline change prerequisites.

A **Finding** is any lesser deficiency, condition, shortcoming, error, or omission, which does not impact the project mission, scope, KPPs, TPC, or CD-4 schedule, but in the professional judgment of the EIR team, could diminish safety, quality, risk management, planning, funding, other documented basis, or the ability of the project team to successfully execute the proposed performance baseline, unless corrected

An **Observation** is not a finding, but a comment on a project aspect that was evaluated by the EIR team. Observations may be positive, neutral, or negative. Negative Observations typically identify actual or potential project management issues (not considered Findings). The EIR team will provide a recommendation for negative Observations that the project team should consider for improving project planning, management, or performance. Positive Observations give credit for project management measures taken by the project team that merit recognition and may serve as a “lessons learned” for other project teams. Neutral Observations, while neither negative nor positive, are included in the EIR report to show that an area was, in fact, reviewed by the EIR team. Negative Observations of a prevalent or systemic nature will result in a Finding with an associated recommendation.

The EIR Team will review the Corrective Action Plan and updated documentation after it is submitted by the Project Team to ensure all Major Findings are properly closed or have an approved/acceptable path to resolution. A CAP Review Report shall be submitted to OECM following this effort documenting the EIR Team’s updated assessment and recommendation.

The EIR report **shall include** a summary tabulation of the costs and schedules (using the tables provided below) for the baselines, and identify any major findings, findings, and observations as defined in the OECM EIR SOP. The report will also identify the team’s overall assessment of the baseline, and provide a clear recommendation regarding validation of the baseline. The EIR report narrative should discuss the relative value and percent Management Reserve (MR) expected to be held by the Contractor for the project and relate these values to what would be expected for a similar project. Additional tables

include, if applicable, the Project Definition Rating Index (PDRI) and the Technology Readiness Assessment (TRA) summary tables.

Specifically, the Cost section of the EIR Report **shall indicate** that the cost estimating methodology was reviewed utilizing best practices, specifically reference (d), the GAO *Cost Estimating and Assessment Guide*, and shall identify any significant deviations from GAO guidelines. The EIR Report **shall also present Project cost information in the following tables** (with the Fiscal Year columns adjusted as appropriate to fit the project schedule and funding profile). Additional information pertaining to these tables is provided in reference (a).

It is expected that the EIR team will also complete a Project Definition Rating Index (PDRI) assessment for projects with a TPC of \$100M or greater and a Technology Readiness Assessment (TRA) for Major System Projects. PDRI and Technology Readiness Level (TRL) summary scoring tables are expected in the final EIR report. Also, **a Project staffing comparison table should be included in the EIR report.**

Table 1 – Budget Cost Breakdown – Funding Source Specific (future and sunk)

Description	FY06	FY07	FY08	FY09	FY10	FY11	FY12	Total
PED								
Construction								
TEC (contingency)								
OPC (contingency)								
TPC								

Table 2– Project Data Sheet Cost Breakdown – Funding Source Specific

Description	Costs to Date (as of _____)	Costs to Go	Total
PED			
Construction			
TEC			
OPC			
TPC			

Table 3 – Earned Value Management System Breakdown – Funding Source Neutral

Description	FY06	FY07	FY08	FY09	FY10	FY11	FY12	Total
*Contract Budget Base								
Fee/Profit								
Other DOE Direct Costs								
Contingency								
Performance baseline (TPC)								

* Contract Budget Base is inclusive of the Performance Measurement Baseline, any Undistributed Budget, and, Management Reserve.

Table 4– Earned Value Management System Breakdown – Funding Source Neutral

Description	Costs to Date (as of _____)	Costs to Go	Total
*Contract Budget Base			
Fee/Profit			
Other DOE Direct Costs			
Contingency			
Performance baseline (TPC)			

* Contract Budget Base is inclusive of the Performance Measurement Baseline, any Undistributed Budget, and, Management Reserve.

Table 5 -Comparison of EIR Team and Project Team TRLs of new or newly applied technologies

New or newly applied technologies	EIR Team assessed TRLs	Project Team assessed TRLs
New Technology A	TRL X	TRL Y
New Technology B		

Table 6 - Comparison of EIR Team and Project Team PDRI Scores

	EIR Team Scores	Project Team Scores
Cost		
Schedule		
Scope/Technical		
Management Planning and Control		
Safety		

Table 7, Comparison of EIR Team and Project recommended staffing level

	EIR Team recommended staffing level (DOE G 413.3-19, <i>Staffing Guide for Project Management</i>)	Project recommended staffing level	Current Project Team staffing level (at the time of the EIR)
Integrated Project Team*			

* Table should decompose Integrated Project Team (IPT) in terms of the number of personnel and skill set, as appropriate, and differentiate between full and part-time IPT members.

Project Documentation CDs or DVDs: The EIR final report should be available to the OECM EIR Team Lead, in a format that enables the report to be uploaded into PARS II. In addition, all project documentation gathered during the review should be indexed and provided to OECM in a consolidated set of CDs or DVDs. **All findings should be input into an MS Excel spreadsheet** and also provided to OECM at the submittal of the EIR final report.

References

- (a) External Independent Review (EIR) Standard Operating Procedure (Draft), DOE Office of Engineering and Construction Management, July 2010
 - (b) Department of Energy (DOE) Order 413.3A, *Program and Project Management for the Acquisition of Capital Assets*
 - (c) DOE Guide 413.3-9, *Project Review Guide for Capital Asset Projects*
 - (d) U.S. General Accountability Office, *GAO Cost Estimating and Assessment Guide*, GAO-09-3SP, March 2009.
- (Additional documentation that may be applicable)*

