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CYCLE

ASSET

MANAGEMENT

Baseline Change Control

May 28, 1996

Contents

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1. INTRODUCTION

Baselines are considered the controlled elements for each project and are labeled as scope, schedule, or cost baselines. Change is a project occurrence that is directly related to the risks and uncertainties associated with baseline control. To objective of any change control process should be to understand project changes to allow for better mitigation and management, not absolute prevention. For a project manager to manage a project, he/she has to be able to manage change through a dedicated process.   The goals of a baseline change control process are to:

* recognize and predict change;
* control consequences of those changes; and,
* prevent unauthorized or unintended deviations from approved baselines.

Baseline changes should be managed as are other project risks, by establishing a control process for identifying change and responding appropriately. This guide presents principles and steps to consider when establishing a change control process for a DOE project. Although each step in the process is important, not all steps will apply to each type of change. What is important is to consider each step when deciding how best to manage change.

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2. PRINCIPLES AND PROCESSES

2.1   Authority

Responsibilities for change control exist at every management level and are monitored by baseline change control boards (BCC boards) at those levels. The following information describes formation and function of BCC boards, explains control levels, and identifies typical responsibilities for each level.

2.1.1   Baseline Change Control Board

Each organizational level should establish a BCC board for disposition of Baseline Change Proposals (BCPs) within their level of control (see next section). For the Secretary of Energy, the Energy System Acquisition Advisory Board, or ESAAB, acts as the BCC board. A board should include a chairperson, a secretariat, members, and advisors. The chairperson is ultimately responsible for any change decision and as such is typically the one person with approval authority.   Members and advisors sit on the board to advise the chairperson on technical, quality and reliability, financial, schedule, and environmental, safety and health (ES&H) matters. Contractors are not usually members of DOE boards but may participate as advisors. Procedures for establishing a board should be part of a BCC charter.

2.1.2   Control Levels

Three control levels govern baseline change control for DOE projects---Level 0 is for the Secretary of Energy or a Acquisition Executive designee; Level 1, Secretarial Officers with Program Responsibility; and Level 2, DOE field elements. Thresholds limit the control organizational elements have over baseline approval and the change control process. The proposed baselines and thresholds for each project are normally documented in the project planning documentation, and are approved at the Approval of Baseline Critical Decision or equivalent decision point as agreed to by the SOPR and field. Levels and thresholds are as follows.

- Level 0 approvals are made by BCC boards under the Secretary of Energy with endorsement by the SOPRs. The Level 0 thresholds typically restrict approval to any single change that 1) impacts the total estimated cost (TEC) or total project cost (TPC) of a project, **or** 2) exceeds $50 million with no impact to TEC or TPC, **or** 3) impacts the Level 0 scope element, **or** 4) changes a Level 0 milestone by more than 6 months. These thresholds should apply even when project contingency is used to manage the change.

- Level 1 approvals are made by BCC boards under the cognizant SOPRs with endorsement by the affected Operations Offices. The Level 1 threshold allows approval to any change that is not assigned to Level 0.

- Level 2 approvals are made by BCC boards under the cognizant Operations Office as delegated by the cognizant SOPR. The Level 2 threshold restricts authority to Operations Offices that are granted authority by the cognizant SOPR to issue approvals that would otherwise be Level 1.

  Note: Subprojects under a larger DOE project should also apply the same control levels listed above as applicable.

2.1.3 Responsibilities

As noted earlier, responsibilities for change control exist at every management level. The following outline provides a list of typical responsibilities for the respective levels.

Secretary of Energy

- Chairs the Level 0 BCC board.

- Provides disposition of Level 0 BCPs.

- Approves proposed baselines for Strategic Systems.

- Appoints secretariat to Level 0 BCC board.

Secretarial Officers with Program Responsibility

- Develop, approve, and issue Level 1 BCC charters, which include change control processes.

- Establish change control authority at all levels below Level 0 for Strategic Systems.

- Establish, implement, and maintain Level 1 BCC boards.

- Assign chairpersons and secretariats to Level 1 BCC boards.

- Endorse proposed baselines for Strategic Systems at Level 1.

- Notify Level 0 secretariat of pending Level 0 BCPs.

- Forward approved Level l BCPs for Strategic Systems to Level 0 secretariat for information.

- Approve proposed baselines and thresholds for selected projects essential to their programs.

- Establish any necessary concurrence requirements for non-select projects.

- Revise project planning documentation at Level 1 to reflect approved BCPs.

- Oversee change control processes at each respective Operations Office.

- Verify that Operations Offices have approved Level 2 BCC charters.

- Verify that baseline changes are approved at the appropriate management level.

- Review approved Level 2 BCPs for Strategic Systems forwarded by Level 2 secretariats.

Operations Offices

- Negotiate BCC charter agreements with SOPRs to establish authority levels for projects.

- Develop, approve, and issue Level 2 BCC charters for field change control processes.

- Establish, implement, and maintain Level 2 BCC boards.

- Assign chairpersons and secretariats to Level 2 BCC boards.

- Endorse proposed baselines for Strategic Systems and select projects.

- Forward approved Level 2 BCPs for Strategic Systems to Level 1 secretariat for information.

- Approve proposed baselines for projects under their authority.

- Obtain program concurrence as required by SOPRs for non-select projects.

- Oversee Area and Project Office change control processes.

- Update baseline documents for approved BCPs in a timely manner.

- Create and maintain project logs for each project to document the status of BCPs.

- Determine baseline impacts of directed changes.

- Process all directed changes through the change control process.

DOE Project Managers (for assigned projects only)

- Establish baseline change control processes.

- Develop and propose baselines.

- Oversee the daily execution of the change control process.

- Record change control activity in progress reports.

- Manage baseline changes within the approved scope, schedule, and cost limits.

- Submit BCPs in a time frame suitable for practical implementation of approved change.

- Oversee contractor change control processes.

Baseline Change Control Board Chairperson (all levels)

- Assume full disposition authority on all BCPs under their purview.

- Provide disposition of BCPs in an appropriate time frame.

- Schedule board meetings to accommodate timely implementation of approved changes.

- Preside over board meetings.

Baseline Change Control Board Members (all levels)

- Review BCPs and provide formal recommendations to the chairperson regarding disposition.

- Attend board meetings to provide advice, assistance, and guidance.

Baseline Change Control Board Secretariats (all levels)

- Assist lower level secretariats and BCC boards.

- Review proposed BCPs for minimum acceptance requirements.

- Forward BCPs, with applicable meeting minutes and project logs, to the appropriate authorities for review and approval as necessary.

- Maintain secretariat logs to track status of BCPs through the change control process.

- Update the project logs as necessary and forward updates to BCP originators.

- Coordinate and document resolution of BCP issues among staff.

- Brief chairperson and members on BCPs.

- Arrange BCC board meetings.

- Record and distribute minutes from BCC board meetings.

- Maintain board records.

2.2   Principles of Change Management

2.2.1   Types of Baseline Change

Three types of baseline change typically exist in a formal change control process: discretionary, directed, and emergency.

*   **Discretionary Changes**. May be proposed, approved, modified, or rejected within the limitations described in 2.1.2. Discretionary changes are proposed and approved or rejected through a routine approval process at the appropriate control level.

*   **Directed Changes**. Are mandatory and should require priority handling, which includes notification of and acknowledgment by the appropriate chairperson or decision maker. When the directed change affects a baseline, an impact assessment should be prepared at the appropriate control level and submitted to the issuing authority for review prior to implementation. The issuing authority may then, if possible, modify the change to lessen its impact. Implementation of the all directed changes should be incorporated into the project planning documentation, with modifications made as required in contracts and baselines.

*   **Emergency**. Alerts the appropriate chairperson of an action the field office plans to implement to <u>prevent</u> a catastrophic situation from developing. Although prior approval is not always possible because of the urgency of the situation, Operations Offices should attempt to obtain approval from the appropriate chairperson to implement an emergency change when time permits.

2.2.2   Change Control Steps

No matter what type of change occurs in a project, control of the change consists of five general steps. Simpler changes may have two or more steps merging together while more complex changes may involve intermediate steps. The key to good change control is to always consider these general steps and consciously decide how best to accommodate or control each separate change incident. Once practiced at each step, a project manager will not only be able to control the impacts of change better, he/she will be able to foresee changes and trends in time for their prevention or early mitigation. The change control process includes the following steps for each type of change. The intent is to include the chairperson in the decision process before the situation becomes critical.

- **Discretionary Changes**

Step 1 - Identify or propose a necessary change to correct project planning deviations
Step 2 - Evaluate the change with respect to scope, schedule and cost impacts
Step 3 - Approve/Reject the change at the appropriate control level
Step 4 - Incorporate the change into the project planning documentation and contracts
Step 5 - Process a change by assessing actual project impacts resulting from the change.

- **Directed Changes**

Step 1 - Recognize the change as a directed action by the proper authority
Step 2 - Quantify the impending baseline impact for the change
Step 3 - Accept the change at the implementing level with notification of the proper organizational elements that a change has occurred on the project or is imminent
Step 4 - Accommodate the change by making the necessary corrections to the project and updating the project planning documentation accordingly
Step 5 - Process a change by assessing actual project impacts resulting from the change.

- **Emergency Changes**.

The steps for emergency changes may coincide with either a discretionary change or directed change depending on the situation. Operations Office should follow the steps for a discretionary change when time permits to implement a change to <u>prevent</u> a catastrophic or dangerous situation from developing. On the other hand, instances will arise when the Operations Offices have to take quick and immediate action due to an extreme or urgent situation. In such cases, the project manager should assess baseline impact after the fact and process the necessary BCC documentation as a directed change.

2.2.3   BCC Documents

BCC Charter. Each organizational control level should develop, approve, and issue a BCC charter. The charter serves to define BCC procedures, set the level of board control, and provide guidance for implementing lower control thresholds. Level 1 charters should be reviewed and concurred on by the Level 0 BCC board chairperson, and Level 2 charters by the cognizant SOPRs.

Baseline Change Proposal (BCP). The BCP should stand alone on the merit of the proposed change and be independent of any pending BCPs; however, multiple BCPs may be submitted together to expedite processing. To stand alone, the BCP should cover only the baseline changes that result from a single action and should include any attachments

necessary for clarification. Each Operations Office should use a standard format for submitting BCPs to headquarters. Attachment 1 provides a recommended format.

BCC Project Log. Operations Offices should maintain a BCC project log for each project. A copy of the related log should accompany each BCP. Original logs are continually updated based on the disposition of each BCP. Attachment 2 recommends a project log format.

BCC Secretariat Log. Each secretariat should maintain a process log to track the status of individual BCPs. The secretariat should compare the proposed cost baseline of an incoming BCP to the baseline document plus all underlined approved BCPs to check accuracy.

Record of Disposition. The board chairperson should formally sign and date the BCP record of disposition. BCC board members should provide written recommendations and comments when appropriate. The secretariat should retain a copy of the disposition and return the original with the signed BCP to the respective change proponent.

Project Manager's Progress Report (PMPR). The PMPR tracks and communicates problems, issues, and change control activity. When cost and schedule are dependent on changes not fully identified (e.g., NEPA issues, state permits, etc.), a rough order of magnitude for the impact should be continually reported. For Levels 0 and 1 change activity, the report should describe each change, the disposition status, the TEC/TPC change, and the type baseline impacts. The Level 2 report should include the number of changes and a summary of baselines impacts.

2.2.4   Baseline Change Control Approval and Implementation

- **Procedures**

    - **Control**. Because most change management takes place in the field, Operations Offices may have detailed and specific procedures for implementing the change control steps. Headquarters organizations normally have simpler procedures.

    - **Approval**. No discretionary change should be implemented without approval by the appropriate BCC board chairperson. The approval process for directed changes is often just the notification of and acknowledgment by the proper organizational office. For emergency changes, the Operations Office should attempt to obtain approval of emergency changes from the BCC chairperson if possible. As for contractor change control process, each Operations Office

should monitor their contractor's change control processes to ensure change approvals are occurring at the appropriate control level.

- **Implementation**. A directed change gives Operations Offices the authority to implement the change, but before implementation occurs the affected BCC board chairperson should review the potential baseline impacts and apprise the appropriate management levels. When a directed change exceeds the approved baseline limits, the Operations Office should submit an impact assessment to the appropriate secretariat. If the impact cannot be assessed in less than one month of a directed change, the Operations Office should formally notify the issuing authority. The Operations Office should attach a copy of the change order to the impact assessment. Directed changes should not be used as a means to correct cost or schedule variances to keep the project within the planned budget or schedule.

• **Time Frames**. Whenever possible, each BCC board chairperson should provide disposition on BCPs within the following time frames. Disposition includes processing a <u>complete</u> BCP (no revision necessary) from <u>receipt</u> by the secretariat to disposition by the chairperson.

Change Designation	Time Frame
Emergency/Immediate Change	1 day
Directed/Priority Change	10 working days
Discretionary/Routine Change	20 working days

• **Variances**. A variance is a deviation from the approved scope, cost, or schedule baselines that remains within the allowable range of deviation. Variances should be tracked but not processed as a formal change control action. Only changes that exceed the allowable range of deviation (also called baseline limits) require a formal change control proposal.

• **Baseline Limits and Rebaselining**. Based on scope, cost, or schedule variances, the estimate at completion (EAC) may be greater than the TEC/TPC. This alone does not provide justification to rebaseline. Rebaselining should occur <u>only</u> when necessitated by significant unrecoverable project delays or events forcing the difference between EAC and TEC/TPC to be so great that it is no longer feasible to continue under the current baseline. This rule should be the standard for setting all baseline limits or the range of deviation allowed within an approved baseline.

- **Improper Use**. The following illustrate improper uses of change control.

    - Implementing retroactive changes except in the event of errors.

    - Intentionally separating changes to avoid exceeding thresholds.

    - Compensating for variances resulting from poor performance.

- **Problems**. The following problems are commonly found in change control processes.

    - Baselines

        • Inability to document the origin of the baseline.

        • Inability to determine the actual baseline, that is, no formal baseline document.

        • Establishing improper control points.

        • Insufficient definition of the scope.

        • Processing changes without updating baselines or documentation in a timely manner.

    - Thresholds

        • Unclear identification of authority and responsibility.
        • Setting thresholds that place too much authority with Headquarters.

    NOTE: See note about thresholds under 2.1.2.

    - Baseline Change Proposals

        • Recommended changes that do not stand on their own merit.

        • Untimely review and approval cycles that adversely impact a project.

        • Inability to understand pending changes during the review process.

- Excluding relevant information.

- Failure to define contingencies.

- Failure to identify the funding source.

- Failure to use or maintain change control logs.

- Attaching irrelevant information.

- Insufficient cost estimates.

- Baseline Change Control Boards

  - Creating too many review layers.

  - Delegating too little authority.

- Directed Changes

  - Improper identification.

NOTE: Identification of what?

  - Failure to assess or communicate baseline impacts and/or prepare an impact assessment for the issuing authority.

  - Exploiting changes for incorrect use.

  - Improper processing.

- Rebaselining

  - Avoiding variances by continually changing baselines.

  - Insufficient justification.

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3. MEASURING FOR RESULTS

To be determined.

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4. SUGGESTED READING

Good Practice Guides:

- Project Management Overview, GPG-FM-001

- Baseline Development, GPG-FM-016

- Risk Management, GPG-FM-007

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5. DEFINITIONS

Baseline. A quantitative expression of project scope, schedule, and cost elements. Baseline establishment should include technical and other criteria to serve as a standard for measuring the performance of an effort. It is the data against which the status of resources and the progress of a project can be measured.

> **Baseline Change Control Board**. A multi disciplinary group of representatives designated and chartered by the appropriate management level to ensure the proper definition, coordination, evaluation, and disposition of all changes to project baselines within their chartered jurisdiction.

> **Baseline Change Proposal**. A document that provides a complete description of a proposed change to an approved baseline, including the resulting impacts on the project scope, schedule, and cost baselines.

> **Baseline Change Control Project Log**. A summary document prepared and maintained by the Operations Office or project manager for each project under their purview. The log tracks each BCP throughout the BCC board process.

> **Baseline Document**. Project planning documentation that contains the approved scope, schedule, and cost baselines for a project. The congressionally approved Construction Project Data Sheet (CPDS) or the Activity Data Sheet (ADS) should always reconcile with the baseline document.

> **Change Designation**. Denotes the type of change and the response required. Designations are as follows.

> - Emergency/Immediate Change.
> - Directed/Priority Change.
> - Discretionary/Routine Change.

> **Directed Change**. A change imposed on a project with instructions to implement the change. Change authority for directed change may be, but is not limited to, congressional appropriations, Headquarters funding changes, SOPR direction, new or revised policy, and regulatory or statutory requirements.

Disposition Options. Possible actions that the BCC board chairperson provides as part of the decision on a BCP. They include the following.

- Approval: Acceptable as is.
- Conditional Approval: Acceptable after conditions are met.
- Endorsement: Acceptable but referred to higher authority for approval/action.
- Deferment: Decision delayed pending completion of noted action.
- Rejection: Change denied and proposal returned to the field.
- Acknowledgment: Impact of a directed change recognized.

Secretariat. The person or office on a BCC board who/that is responsible for administration, operations, and support of the board process. Reports to the BCC board chairperson.

Thresholds. The limits of authority at each respective control level for approval of proposed baseline changes and controls.

6. ASSISTANCE

Questions concerning this Guide may be referred to the Office of Field Management in Washington, D.C. (202) 586-4041.

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7. RELATED TRAINING

- Project Management Overview Course (PMC-10)

- Best Practices in DOE Course (PMMS-5)

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8. EXAMPLES

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DEPARTMENT OF ENERGY
BASELINE CHANGE PROPOSAL

1) BCP Number:	2) BCP Title:		

3) Line Item Number:

4) Project Title: Category:

Subproject Title and No: Type:

5) Date Received at Secretariat: Level 2 _____ Level 1 _____ Level 0 _____

6) Change Designation:	7) BCP Level:	8) Directed Change:	9) SOPR:
Routine [ ] Priority [ ]* Emergency [ ]* * Justify in Blk. 19	Level-0 [ ] Level-1 [ ] Level-2 [ ]	Yes [ ] No [ ]	
10) BCP Originator:	11) Phone:	12) FAX:	13) Location:
14) DOE Site POC:	15) Phone:	16) FAX:	17) Location:

18) Change Description to Scope, Schedule and Cost (Use continuation sheet if necessary):

19) Change Justification and Impact (If Directed Change, specify authority and attach document):

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DEPARTMENT OF ENERGY
BASELINE CHANGE PROPOSAL

20) BCP Number:

21) Impact on Cost Baseline:	Approved Baseline	Change	Proposed
Total Estimated Cost (TEC):	$	$	$
Total Projected Cost (TPC):	$	$	$
22) Current Contingency:	CPDS	Change	Proposed
	$	$	$

23) Impact on Funding Profile (TEC+OPC=TPC):

Fiscal Year

	Approved CPDS		Proposed Change		Annual Changes *		Proposed Profile	
	Capital	Operating	Capital	Operating	Capital	Operating	Capital	Operating
Prior Years	_____	_____	_____	_____	_____	_____	_____	_____
Current Year ____	_____	_____	_____	_____	_____	_____	_____	_____
Budget Year ____	_____	_____	_____	_____	_____	_____	_____	_____
BY+1	_____	_____	_____	_____	_____	_____	_____	_____
BY+2	_____	_____	_____	_____	_____	_____	_____	_____
BY+3	_____	_____	_____	_____	_____	_____	_____	_____
BY+4	_____	_____	_____	_____	_____	_____	_____	_____
Out Years	_____	_____	_____	_____	_____	_____	_____	_____
Subtotal	_____	_____	_____	_____	_____	_____	_____	_____
Total (TPC)	_____		_____		_____		_____	

* Include the sum of only those changes approved since the last congressionally approved CPDS to show the total impact (shown in last two columns) on the current CPDS.

24) Funding Source for TEC/OPC Increases:

25) Impact on Schedule Baseline:

Milestone	Baseline (Month/Year)	Proposed (Month/Year)	Change

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DEPARTMENT OF ENERGY
BASELINE CHANGE PROPOSAL

26) BCP Number:

27) Impact on Scope Baseline:

Item	Baseline	Revised

28) Other Impacts (Health, Safety, Environment, Tiger Team, DNFSB, etc.):

29) Interim or Corrective Actions:

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Baseline Change Proposal: INSTRUCTIONS

The Baseline Change Proposal (BCP) documents the impact of proposed baseline changes on scope, schedule, and cost baselines. BCPs require disposition from a BCC board and should be used for changes to Strategic Systems and other projects that exceed approved baseline limits. The BCP should be a stand alone document that concisely describes and justifies the change and the resulting impact on baselines. Back-up documentation should be attached except for DOE directives, which may be referenced.

1. **BCP Number**. Assigned by the Operations Office to identify the change proposal. Typically assigned when entered into the field's baseline change control project log.

2. **BCP Title**. A brief descriptive statement identifying the change.

3. **Line Item Number**. The line item project number in the budget.   Example: The line item project number for the combined device assembly facility is 85-D-105.

4. **Project Title**. The project title on the Construction Project Data Sheet (CPDS) or Activity Data Sheet (ADS). Also include the project type (OPEX, GPP, etc.).

    Subproject Number and Title. Where applicable, state the subproject number and title within the project. Example: S-2899 Airborne Radiation Removal. This is a subproject of the Productivity Retention Program.

5. **Date Received at Secretariat**. The date that the completed BCP form was received for processing at each level.

6. **Change Designation**. Either "routine," "priority," or "immediate" processing. Include in block 19 if using a designation other than "routine."

    Immediate Change. Required in emergencies to prevent a life-threatening situation. Alerts the appropriate BCC board chairperson of an action the field office plans to implement to <u>prevent</u> a catastrophic situation from developing.

Priority Change. Required in response to a directed change or to correct any potentially hazardous condition, possible injury of personnel, immediate damage to plant/equipment, or significant cost reductions.

Routine Change. All discretionary changes.

7. **BCP Level**. The highest level of authority required to provide disposition of the change proposal. Approval authority is determined by thresholds established for each project.

8. **Directed Change**. "Yes" if the change <u>is</u> a directed change. "No" if it is <u>not</u> a directed change. Directed changes are imposed on the project with direction to implement, such as changes imposed by budgets, funding, policy, or regulations. The BCC board chairperson may not have the authority to disapprove a directed change but shall review the implementation method and resulting baseline impact.

9. **Secretarial Officer with Program Responsibility**. The Program Office that has project oversight (e.g., Defense Programs, Energy Research, etc.).

10. **BCP Originator**. The individual responsible for preparation of a change proposal.

11. **Phone**. The BCP originator's phone number. Include area code.

12. **FAX**. The BCP originator's FAX number. Include area code.

13. **Location**. The BCP originator's site and office (e.g., SRP/PMD).

14. **Site Point of Contact (POC)**. The contact at the site where the BCP originated. This individual may be contacted to clarify or submit additional information.

15. **Phone**. The site POC's phone number. Include area code.

16. **FAX**. The site POC's FAX number. Include area code.

17. **Location**. The site POC's location, site and office (for example, SR/PMD).

18. **Change Description to Scope, Schedule, and Cost**. A thorough description of the change to scope, schedule, and cost baselines. An attached continuation sheet is acceptable.

19. **Change Justification and Impact**. Reason for change. Describe how the change will meet established requirements, increase capacity, reduce cost, or accelerate

completion. Assess the impact to project safety, scope, schedules, and/or cost. If there is no impact, so state. **For directed changes, specify the change authority and provide a copy of applicable documentation.**

20.   **BCP Number**. Same information as that provided in block number 1.

21.   **Impact on Cost Baseline**. The approved cost baseline[*], the net change in the total estimated cost (TEC) and total project cost (TPC), and the proposed baseline. The baseline change control project log must be attached to the BCP.

	Baseline	**Change**	**Proposed Baseline**
Total Estimated Cost	$104,400,000	-$15,600,000	$ 88,800,000
Total Project Cost	$131,400,000	-$21,700,000	$109,700,000

22.   **Current Contingency**. The approved baseline, the net change from the current contingency, and the proposed baseline.

23.   **Impact on Funding Profile**. The funding profile from the last congressionally approved construction project data sheets, the net proposed change, the total of all approved changes since the last congressionally approved CPDS (referred to as annual changes), and the proposed funding profile in TEC/OPC funding (in millions of dollars) by fiscal year. Show the subtotal for each column and the total TPC for each of the funding profiles.

	Approved CPDS Capital	Approved CPDS Operating	Proposed Change Capital	Proposed Change Operating	Annual Changes[1] Capital	Annual Changes[1] Operating	Proposed Profile Capital	Proposed Profile Operating
Prior Years	$16M	$4M	-$1.6M	-$2M	-$2M	-$1M	$12.4M	$1M
Current Year	$10M	$2M	-$0	-$0	-$0M	-$0M	$10M	$2M
Budget Year	$12.4M	$7M	-$2M	-$.5M	-$4M	-$1.2M	$6.4M	$5.3M
Budget Year +1	$19M	$2M	-$3M	-$.6M	-$4M	-$1M	$12M	$.4M
Budget Year +2	$24M	$8M	-$5M	-$1M	-$5M	-$2M	$14M	$5M
Budget Year +3	$36M	$9M	-$3M	-$1M	-$2M	-$1.1M	$31M	$6.9M
Budget Year +4	$6M	$1.3M	-$1M	-$1M	-$2M	-$0M	$3M	$.3M
Out Year(s)	$0M	$0M	-$0	-$0	-$0M	-$0M	$0	$0
Subtotal	$123.4M	$33.3M	-$15.6M	-$6.1M	-$19M	-$6.3M	$88.8M	$20.9M
Total (TPC)	$156.7M		-$21.7M		-$25.3M		$109.7M	

1.   Include the sum of only those changes approved since the last congressionally approved CPDS to show the total impact (last two columns) on the CPDS. Note: To simplify calculation of the annual changes, subtract the funding profile of the latest CPDS from the funding profile of the approved baseline.

[*]Approved baseline = the cost baseline given in the approved baseline document plus all approved BCPs. The CPDS is not the approved baseline, but it should reconcile with the baseline document and approved BCPs.

The total project cost of the "approved CPDS" plus the "annual changes" should equal the total project cost of the "approved baseline" in block 21. In this example 156.7M + (25.3M) = $131.4M (refer to line 21 above).

In addition, the total project cost for the "proposed change" and the "proposed profile" should correspond to "change" and "proposed" totals in block 21 respectively.

24. **Funding Source for TEC/OPC Increases**. If the change impacts funding, identify potential funding sources. For example, identify the account, type of funds, and how funds may be obtained.

25. **Impact on Schedule Baseline**. List all controlled milestones identified in baseline documents (i.e., project plan or project management plan), which may be affected by the change. Show the baseline date, proposed date, and the net change. Dates should be given in terms of month/year.

Milestone	Baseline	Proposed	Change
Complete Procurement	3/92	8/92	+5 months
Complete Construction	9/92	2/93	+5 months

26. **BCP Number**. Same as block number 1.

27. **Impact on Scope Baseline**. List the technical baselines identified in the CDR, both functional and design, impacted by change proposal. Specify impact in quantifiable terms, such as square footage, flow rate, etc.

Item	Baseline	Proposed
Security	2,00 sq ft	1,500 sq ft
Waste Water	30 liters/min	35 liters/min

28. **Other Impacts**. Any other significant impacts, such as environment, safety, or health, that should be considered.

29. **Interim or Corrective Actions**. Actions necessary to mitigate major problems or concerns until the change proposal is approved and implemented. An example would be the temporary closing of a facility to all personnel until safety improvements were completed.

PROJECT LOG

PROJECT TITLE	SUBPROJECT TITLE	BASELINE DOCUMENT	DATE
LINE ITEM NO.	SUBPROJECT NO.	TPC	TEC
LOG DATE:			

BCP NO.	DESCRIPTION OF CHANGE	DISPOSITION DATE / RESULT			BASELINE CHANGES				CON	REFERENCE: CPDS OR ADS			FY	FN
		LEVEL 2	LEVEL 1	LEVEL 0	TPC	TEC	SCH	SCP		TPC	TEC	CON		

DISPOSITION CODES:
AP - Approved   CA - Conditionally Approved
DF - Deferred   EN - Endorsed
RJ - Rejected   AK - Acknowledged

DOE CURRENT
APPROVED BASELINE

Footnotes:

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Baseline Change Control Project Log: INSTRUCTIONS

Project Title. The project title found on the Construction Project Data Sheet (CPDS) or Activity Data Sheet (ADS).

Line Item No. The budget Line Item No. found on the CPDS or ADS.

Date. The date of the first entry is made to the log in the format of month/day/year.

Subproject Title. The subproject title found on the CPDS or ADS. If the line item has no subprojects, enter NONE.

Subproject No. The subproject number assigned. If the line item has no subprojects, enter NONE.

Baseline. The name of the approved baseline document from which the project baselines are obtained.

Baseline Document Date. The date the baseline document was approved.

Baseline TEC. The dollar value of the Total Estimated Cost (TEC) taken from the approved baseline document.

Baseline TPC. The dollar value of the Total Project Cost (TPC) taken from the approved baseline document.

BCP Number. The baseline change proposal number (assigned by the Operations Office), which includes a project designator in the number.

Description of Change. A short description of the change not to exceed two lines and written to fit into the space provided.

Date of BCC Board Decision. Determine the highest approval level based on the thresholds as defined in the project planning documentation. Based on the approval level, place "NR" in the blocks for which no board action is required. For example, if the BCP requires a Level 2 board, place an "NR" in the columns for Level 0 and 1.

When the required BCC board meeting is held, put the date in the upper half of the box in the format month/date/year.

After disposition by the chairperson, place the appropriate result code found at the bottom of the log in the lower half of the block. Codes are as follows.

"AP"   Approved (can only be used by the highest level BCC board for the BCP).

"CA"   Conditionally approved (this will require a footnote and an explanation at the bottom of the log).

"DF"   Deferred (this will require a footnote and an explanation at the bottom of the log).

"EN"   Endorsed (approved for submission to a higher level BCC board).

"RJ"   Rejected (this will require a footnote and an explanation at the bottom of the log).

When a BCP is rejected and subsequently resubmitted, it should be entered on a new line using the same BCP number with a sequential revision letter to indicate a resubmission.

"AK"   For acknowledged (impact of directed change recognized).

Baseline Changes. In the case of TPC or TEC, place the value of the <u>change</u> (not the resulting total of TPC and TEC) in the appropriate column.

To indicate schedule (SCH) or scope (SCP) changes, input "yes" or "no" in the appropriate column. To find out the exact changes in the schedule or scope, refer to the applicable BCP form.

Contingency. "Yes" if contingency will be used for the change and "no" if the change does not impact contingency.

Current Approved Baseline. The sum of the cost baseline given in the approved baseline document (shown at the top of this form) plus all <u>approved</u> BCPs. The CPDS is not the approved baseline, but it should reconcile with the baseline document and approved BCPs.

Reference: CPDS or ADS Fiscal Year (FY). This will be the current CPDS or ADS approved by Congress.

CPDS or ADS TPC. The numerical value of the Total Project Cost (TPC) taken from item 6 of the referenced CPDS or ADS.

CPDS or ADS TEC. The numerical value of the Total Estimated Cost (TEC) taken from item 6 of the referenced CPDS or ADS. This may be called TECC on some CPDS.

CPDS or ADS Contingency. The numerical value taken from item 10 of the referenced CPDS or ADS. If the line item consists of several subprojects, the contingency listed in item 10 will be the sum of all the individual subproject contingencies. In this case, the subproject contingency should be entered.

Footnotes (FN). Indicate in this column a lower case letter to indicate footnotes at the bottom of the log. A footnote is required to explain why a BCP is rejected or conditionally approved.