

# Reclamation Manual

Directives and Standards

## **TEMPORARY RELEASE**

*(Expires 07/01/2017)*

<b>Subject:</b>	Project Management
<b>Purpose:</b>	To establish procedures for standardized project management use, monitoring and reporting, training, and certification within the Bureau of Reclamation. The benefits to Reclamation are improved decision-making processes to maximize accountability, transparency, timeliness, and cost containment, and to reduce project risks for decision makers and stakeholders.
<b>Authority:</b>	Reclamation Act of 1902 and amendments (43 U.S.C. 372 et seq.); Clinger-Cohen Act of 1996 (40 U.S.C. 11311 et seq.); Office of Management and Budget (OMB) Circular, A-11, <i>Preparation, Submission, and Execution of the Budget</i> , and supplements to the Circular; OMB Circular A-130, <i>Management of Federal Information Resources</i> ; OMB Policy Memorandum <i>Federal Acquisition Certification for Program and Project Managers</i> , April 25, 2007; OMB Policy Memorandum Revisions to the Federal Acquisition Certification for Program and Project Managers, December 16, 2013; Secretarial Order No. 3244, <i>Standardization of Information Technology Functions and Establishment of Funding Authorities</i> , November 12, 2002; Department of the Interior, Office of the Chief Information Officer, Directive 2004-19, <i>Project Management Certification Requirements for Managing Information Technology Investments</i> , June 23, 2004; Acquisition Policy Release (DIAPR) 2009-13, <i>Federal Acquisition Certification for Program and Project Managers (FAC-P/PM)</i>
<b>Approving Official:</b>	Deputy Commissioner, Operations, 96-00000
<b>Contact:</b>	Policy and Administration, Asset Management Division (84-57000)

1. **Introduction.** This Directive and Standard (D&S) establishes required practices and processes necessary to ensure that projects are managed effectively and in accordance with OMB and Department of the Interior policies. It includes requirements for training, certification, and assignment of project managers. It also includes requirements for establishing, using, and overseeing project management practices and results-based assessments of project management performance related to meeting business objectives. Reclamation Policy for project management is found in Reclamation Manual (RM) Policy, *Project Management* (CMP TRMR-71). Additional guidance is provided in Reclamation's [Project Management Framework](#).

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2. **Applicability.** This D&S applies to all Reclamation employees and does not supersede any existing Department, OMB, or other legal requirements regarding project management. All Reclamation actions that meet the definition of a project in Paragraph 3.F. require formal, standardized project management as set forth in DIAPR 2009-13 and this document.
3. **Definitions.**
  - A. **Active Project.** Any project that is funded in fiscal year (FY) 2016, has been classified into the four project types, and has an assigned project manager.
  - B. **Authorized Project.** A statutorily authorized project consisting of an assembly of chief features and supporting assets required to provide the benefit(s) authorized into law by Congress.
  - C. **Capital Assets.** Land, structures, buildings equipment, intellectual property (e.g., software), and information technology (IT), for which the Federal Government holds title, uses and have an estimated useful life of 2 years or more. Capital assets include not only the assets as initially acquired but also costs meeting the criteria for classification as additions, betterments, and replacements. Capital assets do not include facilities for which Reclamation has transferred title to a non-Federal entity.
  - D. **Construction Activity.** Any activity to develop new features or assets, or rehabilitate, renovate, or replace existing assets greater than \$100,000 or 10 percent of the annual operations and maintenance budget for the facility. This definition does not determine if the cost of the effort is capitalized.
  - E. **Major Acquisition.** Reclamation uses the definition of major acquisition in OMB Circular A-11, Part 7, and the supplemental Capital Programming Guide: “. . . major acquisitions are capital assets that require special management attention because of their importance to the agency mission; high development, operating, or maintenance costs; high risk; high return; or their significant role in the administration of agency programs, finances, property, or other resources.”
  - F. **Project.** A temporary endeavor undertaken to create a unique product, service, or result.<sup>1</sup> A project has a discrete and definable commencement and conclusion. A project has a unique deliverable in that there may not be a preexisting blueprint for the project’s execution and there may not be a need to repeat the project once it has been completed.

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<sup>1</sup>Project Management Institute. *A Guide to the Project Management Body of Knowledge: PMBOK® Guide*, 5<sup>th</sup> Edition, Newtown Square, PA: Project Management Institute, 2013, p. 3.

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- G. **Project Management.** The application of knowledge, skills, tools, and techniques to project activities to meet project requirements. Project management is accomplished through the appropriate application and integration of the 47 logically grouped project management processes, which are categorized into five Process Groups. These five Process Groups are: initiating, planning, executing, monitoring and controlling, and closing.<sup>2</sup>
- H. **Project Management Plan.** A formal, approved document that defines how the project is executed, monitored, and controlled. It may be a summary or detailed and may be composed of one or more subsidiary management plans and other planning documents.<sup>2</sup> For projects that include construction activities, the project management plan shall address the details the transfer of operation and maintenance (O&M) responsibilities per RM D&S, *Transfer of Operation and Maintenance (O&M) Responsibility of Project Works* (FAC TRMR-90).
- I. **Project Manager.** The person assigned by the regional director (RD) to achieve the objectives of an activity, including construction activities, to ensure completion of the activity on-schedule, within budget, and to the appropriate scope.
- J. **Responsible Charge.** The overall control, guidance, and oversight of a project's initiation, planning, execution, monitoring and controlling, and closing project management process groups.
- K. **Substantial Completion.** When a determination has been made that the key elements of a project or a designated portion of the project that is sufficiently complete, in accordance with the criteria in the project management plan, so that Reclamation may use, operate, or occupy the key elements of the project or designated portion thereof for the intended purpose.
4. **Responsibilities.**
- A. **Directors.** Directors are responsible for:
- (1) implementing this D&S within their offices;
  - (2) establishing the procedures and structures necessary to ensure that projects are managed using appropriate project management tools, practices, and processes; assigning projects to one of the four categories of project management described in Paragraph 6.B., below;

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<sup>2</sup> *PMBOK® Guide*, 5<sup>th</sup> Edition, p. 5.

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- (3) monitoring and reporting on project performance; reporting annually to the Deputy Commissioner, Operations, on standardized performance metrics for projects;
- (4) evaluating and adjusting as necessary the project management practices within their offices;
- (5) ensuring that all projects are classified into one of four types;
- (6) assigning project managers to projects; and
- (7) ensuring that program and project managers within their directorates possess the training and, as appropriate, the level of certification, required for the acquisitions, projects, or programs that they are to manage.

**B. Deputy Director, Information Resources (DDIR).** In addition to other responsibilities as a director, the DDIR is responsible for:

- (1) determining the applicability and level of project management for all IT projects; and
- (2) ensuring IT program and project managers possess the appropriate level of certification for acquisitions, projects, or programs that they are to manage.

**C. Project Managers.** Project managers are responsible for:

- (1) initiating work on a project;
- (2) identifying service providers;
- (3) working with service providers to determine scope of work;
- (4) coordinating and monitoring work through project completion, and closing out the project;
- (5) implementing the project management tools, practices, and processes to manage projects, monitor and report to the respective directors on project performance;
- (6) coordinating among internal and external stakeholders and facilitating effective communications between service providers and the program office including monitoring and controlling a project's scope, schedule, budget, quality, risk;

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- (7) continually monitoring activities, including construction activities, and identifying significant barriers such as financial, technical, legal, political, etc., that prevent the completion of a construction activity;
  - (8) ensuring the completion of key elements of a project to meet the project objectives and to deliver the project on-schedule, within budget, and to the appropriate scope;
  - (9) recommending suspension of an activity when the construction activity is not able to proceed due to financial, technical, legal, political, or other reasons;
  - (10) developing, implementing, monitoring, and updating a project management plan that includes a description of the key elements of the project including the criteria for when key elements of the project are substantially complete, interdependency of the key elements, appropriate steps involved in transferring to O&M status, the criteria when the entire project is considered substantially complete, and the level of complexity of the project;
  - (11) providing periodic status assessments and ensuring complete documentation of the status;
  - (12) periodic evaluation of the status of the key elements and the project using the criteria for substantially complete; and,
  - (13) ensuring full accounting of all project costs and coordinating and documenting all transfer to O&M activities, if appropriate for the type of project.
5. **Project Management of Construction Activities.** In addition to the requirements of this D&S, project management of all Reclamation construction activities, including actions taken under the Reclamation Safety of Dams Act of 1978 (Pub. L. 95-578, as amended), will comply with the formal, standardized project management practices and processes described in RM D&S, *Construction Activities* (FAC 03-02).
6. **Project Management Practices.** Directors will establish administrative procedures and governance structures necessary for implementing the practice of project management processes. Directors will ensure the use of project management tools, practices, and processes to manage projects, monitor and report on their projects' performance, and evaluate and adjust as necessary the project management practices within their offices using the *Project Management Framework* as support and guidance in these efforts.

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- A. The director will appoint a project manager with the appropriate level of certification for the type of project to be responsible for the overall coordination of the project and development of the project management plan.
- B. All projects in Reclamation will be identified as one of four types – Basic, Standard, Complex, or Complex with OMB Business Case – based on the size, sensitivity, scope, and complexity of the project. The category into which the project falls affects the scale of project management practices; project manager training and certification needs; the roles, responsibilities, and authorities of the project manager; and the project management metrics tracked and reported. Reclamation’s *Project Management Framework* provides additional guidance for identifying and managing projects in each of the four categories and recommends the corresponding training that is appropriate for project managers.
- C. If necessary, multiple Complex with OMB Business Case projects will be placed under the responsible charge of a project manager who has received the appropriate level of FAC-P/PM certification, with other certified or non-certified project managers assigned as necessary to manage day-to-day activities.
- D. Project managers will implement the project management tools, practices, and processes to manage projects, monitor and report on their projects’ performance developed by the directors.
- E. All project management plans shall contain, in addition to the *Project Management Framework* elements:
  - (1) the criteria for determining when the construction activity or any portion thereof is substantially completion; and
  - (2) a description of any interdependent assets that would affect the substantially complete determination.
- F. RD will develop the necessary regional procedures to implement this D&S within 90 days of the approval date
- G. Project management plans for any construction activity in progress as of the approval date of this D&S will be modified, at a minimum, to include the criteria for substantially complete including any asset interdependencies within 9 months or prior to the project closeout, whichever comes first.

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7. **Project Documentation.** The project manager assigned to a construction activity will:
- A. Develop a project management plan for all project types that defines the objectives of the project, the key elements of the project, any interdependency of the key elements, milestones for the key elements, cost structures, performance monitoring metrics, communication plans, criteria for determining when the project is considered substantially complete, and completing project closeout activities, including the appropriate O&M transfer tasks and documentation.
  - B. Prepare the documentation needed to meet established OMB, Department, or RM requirements for the type of construction activity assigned.
  - C. Review progress relative to completing project key elements within the milestones dates and identifying progress impediments due to financial, technical, legal, political, or other reasons. In cases where the milestone dates for key elements are not met, the project manager will coordinate with the servicing office or stake holders depending on the nature of the delay to resolve the delay and either restore the schedule or document the basis for the delay and revise the milestone schedule.
  - D. Develop documentation for recommending suspension of an activity when the construction activity is not able to proceed due to financial, technical, legal, political, or other reasons.
  - E. Initiate closeout activities as defined in FAC TRMR-90 once the criteria for project substantial completion is met.
8. **Active Projects Prior to FY 2017.** All active project types will follow the transfer to O&M process defined in FAC TRMR-90.
- A. For any Complex or Complex with OMB 300 projects that are scheduled to be completed within FY 2016, the project management plan will be updated by the project manager to include criteria for determining when a project is substantially complete. The criteria will be consistent with the definition of substantial completion, and will account for the interdependency of key project elements that impact the overall determination of substantial completion.
  - B. For any Complex or Complex with OMB 300 projects that are scheduled to be completed after FY 2016, the project management plan will be updated to include:

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- (1) Criteria for determining when a project is substantially complete. The criteria will be consistent with the definition of substantial completion and will account for the interdependency of key project elements that impact the overall determination of substantial completion.
  - (2) Steps to complete the transfer to O&M inspection process, as defined in FAC TRMR-90.
9. **Project Management Performance Metrics.** Directors will establish administrative procedures for monitoring, tracking, and reporting on standardized performance metrics for projects as identified in the *Project Management Framework*. Performance metrics are subject to periodic revision to promote continued efficiency in workload accomplishment and business practices.
10. **Project Manager Training and Certification.** Training in project management principles and practices will follow the standards adopted by Reclamation in CMP TRMR-71 and the *Project Management Framework*, including the terminology, principles, and practices as presented in the current edition of the Project Management Institute's Project Management Body of Knowledge (PMBOK©) and the American National Standards Institute (ANSI) standard (ANSI/PMI 99-001).
- A. **Certification Requirements.** Any Reclamation employee assigned responsible charge of a Complex with OMB Business Case project must meet the training and certification requirements for major acquisitions (the appropriate level of FAC-P/PM certification) as described in OMB Policy Memorandum *Federal Acquisition Certification for Program and Project Managers* and DIAPR 2009-13.
  - B. **Thresholds for Minimum Certification Level.** The certification requirements of DIAPR 2009-13 apply only to project managers with responsible charge of Complex with OMB Business Case projects. For projects that are not classified as Complex with OMB Business Case, directors shall require appropriate training/certification following the principles articulated in Reclamation's *Project Management Framework*.
  - C. **Meeting FAC-P/PM Competency Requirements.** FAC-P/PM describes core, minimum competencies. Certification under FAC-P/PM is based on attaining those competencies.
    - (1) **FAC-P/PM Certification.** Reclamation will seek the appropriate level of FAC-P/PM certification for each project manager, consistent with Department requirements and procedures.



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- (2) **Necessary Training, Experience, and Skills.** Directors shall apply Department requirements for attaining FAC-P/PM certification.
  - (3) **Completion Date.** A project manager assigned to a Complex with OMB Business Case project must satisfy FAC-P/PM competency requirements within 1 year of the date of assignment.
11. **Engineering and Other Technical Services.** When a project involves engineering or other technical services work from designated service providers, project managers shall follow the specific requirements for advance planning, statements of work, service agreements, project management plans, and completion reports found in RM Policy, *Bureau of Reclamation's Business Model for Managing Technical Services* (CMP P10), and RM D&Ss, *Advance Planning for Technical Services Work* (CMP 10-01), and *Fee-for-Service Business Practices for Technical Services Work* (CMP 10-02).

## RECLAMATION MANUAL TRANSMITTAL SHEET

Effective Date: \_\_\_\_\_

Release No. \_\_\_\_\_

Ensure all employees needing this information are provided a copy of this release.

### Reclamation Manual Release Number and Subject

### Summary of Changes

NOTE: This Reclamation Manual release applies to all Reclamation employees. When an exclusive bargaining unit exists, changes to this release may be subject to the provisions of collective bargaining agreements.

### Filing instructions

Remove Sheets

Insert Sheets

All Reclamation Manual releases are available at <http://www.usbr.gov/recman/>

Filed by: \_\_\_\_\_

Date: \_\_\_\_\_