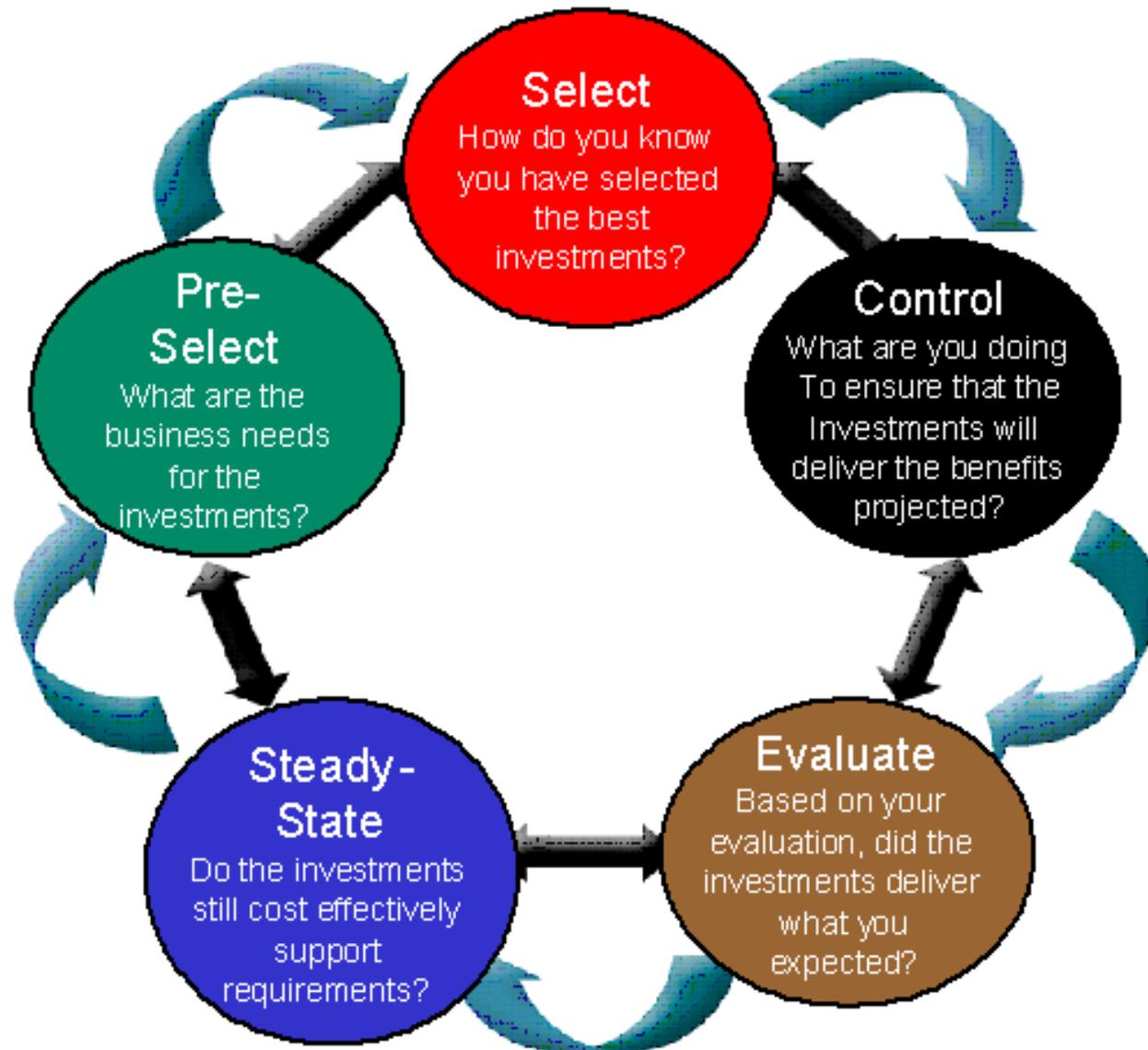
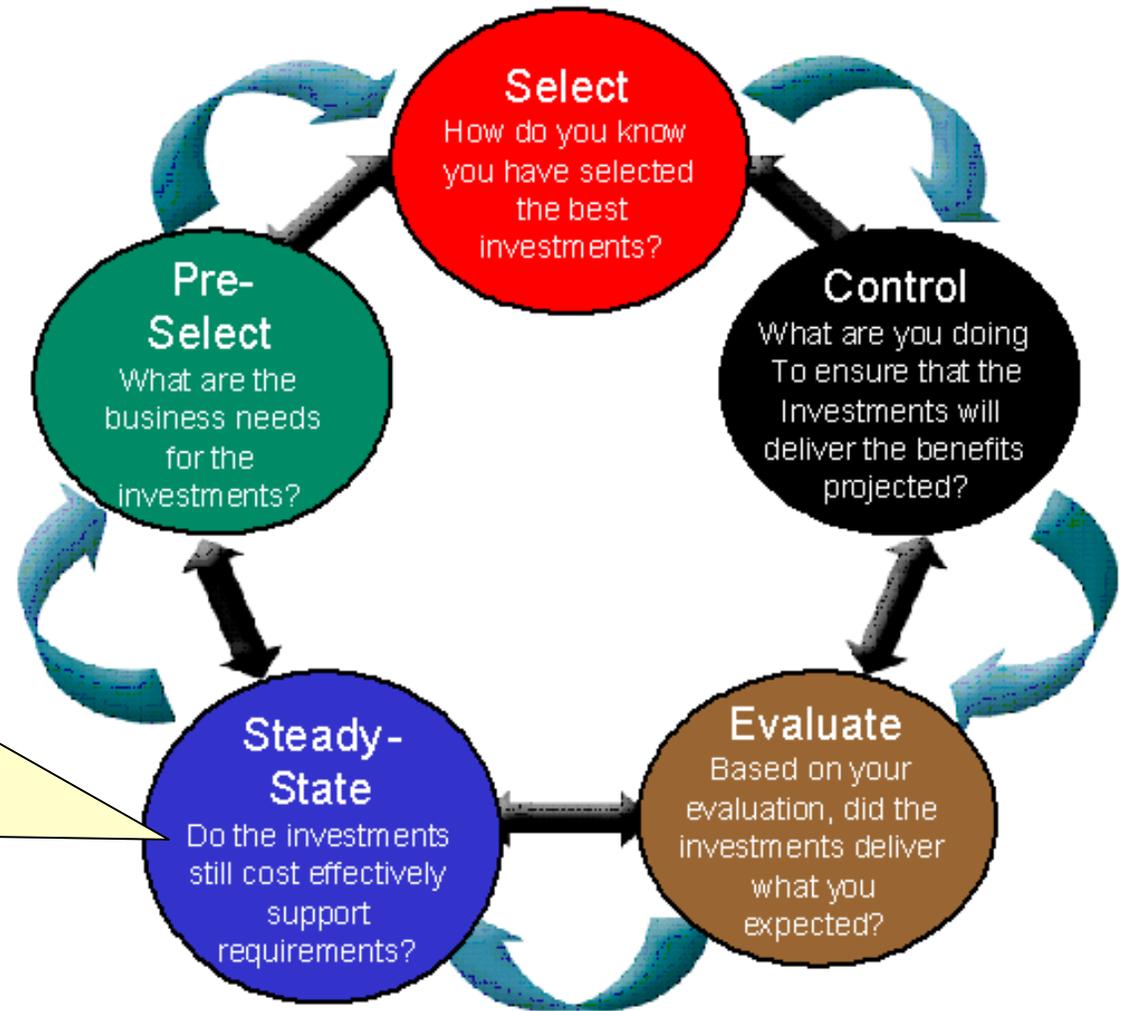


Capital Planning and Investment Control Guide



Capital Planning and Investment Control Guide

1
Day-to-day
use and
maintenance
of a project



What does DOI mean by “steady-state”?

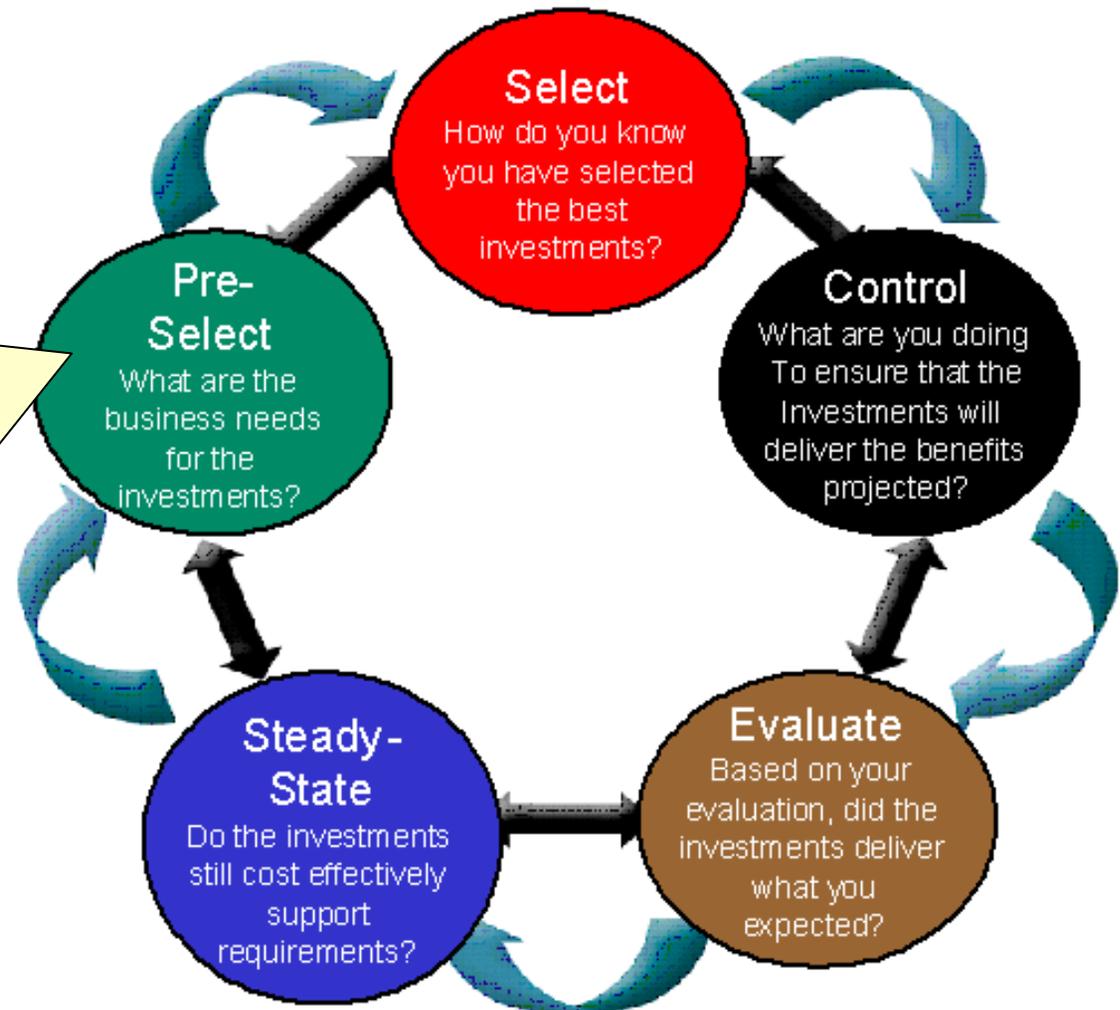
Steady-state phase means the maintenance of the facility throughout its life

CPIC PROCESS STEPS	NPS APPLICATION
<ol style="list-style-type: none">1. Prepare maintenance plan2. Evaluate operations against plan3. Identify facility deficiencies and needs4. Quantify needs & prepare initial project description & justification	<ol style="list-style-type: none">1. Prepare facility maintenance plan2. Evaluate operations against plan3. Identify facility deficiencies and needs4. Quantify needs & prepare initial project description & justification

Capital Planning and Investment Control Guide

2

Development
of the 5-year
plan



What does “pre-select” mean?

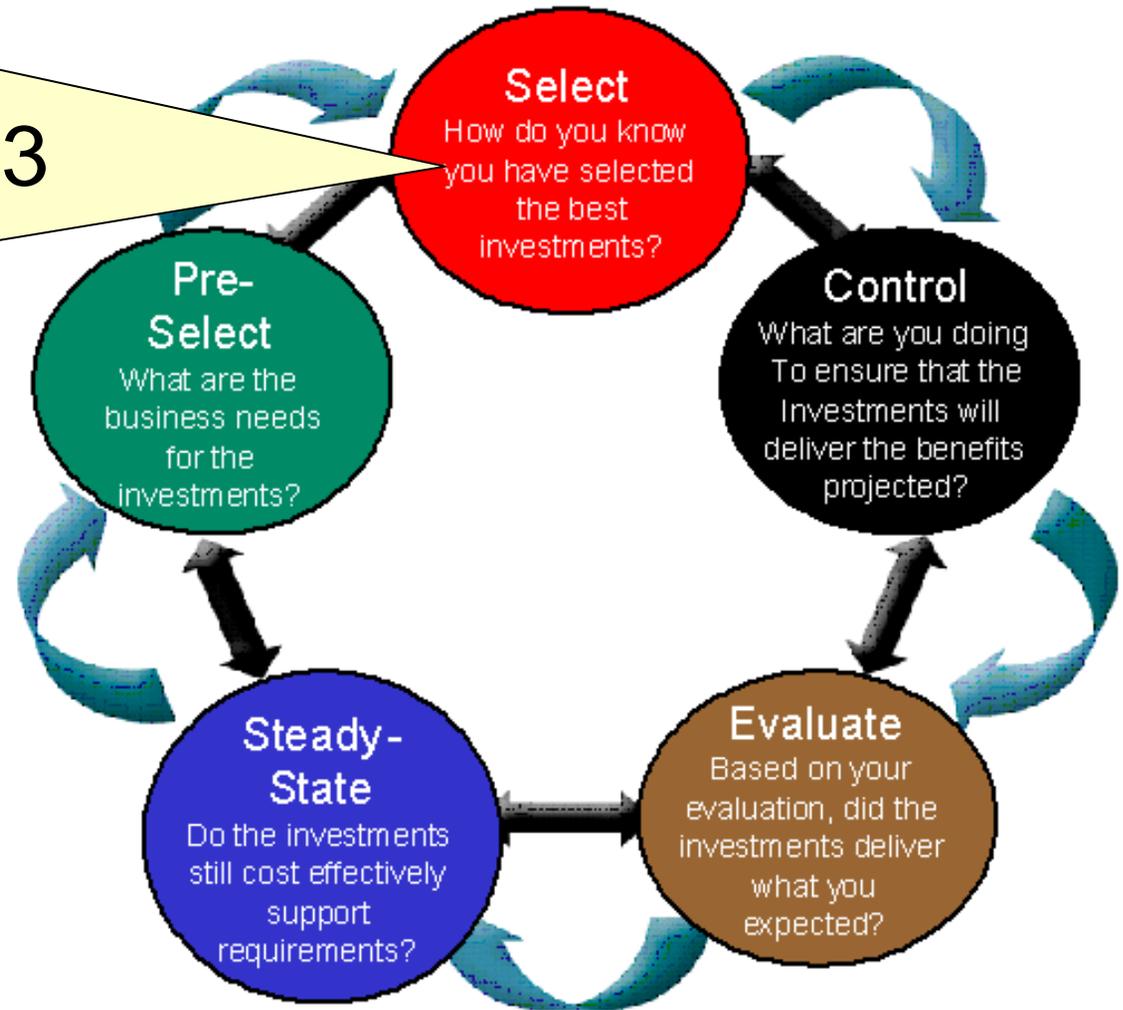
Pre-select involves development of the 5-Year Plan for Construction—business needs for investment.

CPIC PROCESS STEPS	NPS APPLICATION
<ol style="list-style-type: none">1. Identify project sponsor2. Prepare needs assessment & project data sheets3. Evaluate & rank proposed project requests4. Evaluate draft 5-year plans5. Revise, prepare final 5-year plan6. Review, approve 5-year plan	<ol style="list-style-type: none">1. Identify Park Superintendent as sponsor2. Enter needs assessment & data sheets into PMIS3. Rank projects by multi-disciplined team, prepare 5-year draft plan4. Review draft 5-year plan by NPS Investment Review Board5. Prepare revised 5-year plan6. Send approved 5-year plan to DOI

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Selection and approval of an individual project for submission into the NPS Budget, or Greenbook

3



What is the “select” phase?

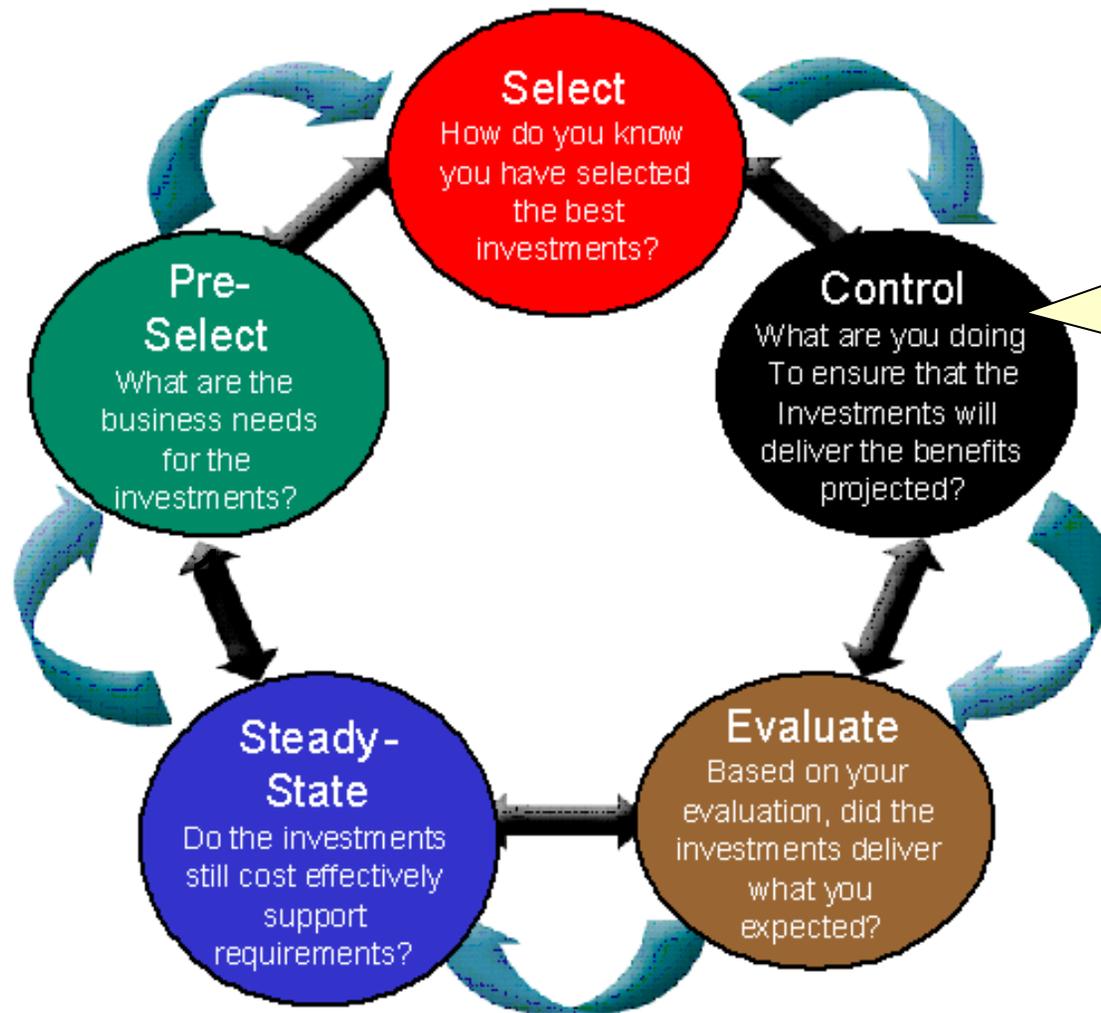
Select the best investments for entering into the NPS budget, or “Greenbook”

CPIC PROCESS STEPS	NPS APPLICATION
<ol style="list-style-type: none">1. Develop Integrated Project Team (IPT) & validate project scope2. Identify & secure project development funding3. Initiate project development4. Finalize Capital Asset Plan & Justification (CAP)5. Review & approve CAP6. Review & validate project Recommendation7. Approve Bureau CAP & submit to OMB	<ol style="list-style-type: none">1. Evaluate project by NPS IPT & validate scope (approximately 3 years before construction)2. Prepare project agreement and financial spending plan3. Prepare CAP as project development begins4. Submit draft CAP to Construction Program Management Office through Region Coordinator5. Obtain approval of WASO CPM6. Send approved CAP to DOI

Where does responsibility lie during “Selection”?

	PROCESS STEP	RESPONSIBILITY
1	Develop Integrated Project Team (IPT) and validate project scope	Project Manager
2	Identify and Secure Project Development Funding	Program Manager (Region or CPM)
3	Initiate Project Development (Scoping trip)	Project Manager
4	Prepare Capital Asset Plan and Justification (CAP)	Project Sponsor
5	Review and Approve CAP	Bureau Investment Review Board/ Bureau Head
6	Review Bureau CAP and Scope/Recommend Appropriate Action	Executive CPIC and MIT
7	Review and Validate Project Recommendation	MEC
8	Approve Bureau CAP and Submit to OMB	Secretary

Capital Planning and Investment Control Guide



4

Pre-Design
through
Construction

What is the “control” phase?

Insures the investment delivers its projected benefits during design and construction.

CPIC PROCESS STEPS

1. Develop project assessment procedures & operating principles
2. Assess performance against CAP baselines
3. Prepare & submit quarterly progress CAPs
4. Review Bureau progress CAPs & recommend appropriate action
5. Review & evaluate projects with variances of 5% or more
6. Approve Bureau Cap
7. Submit Completion CAP to OMB

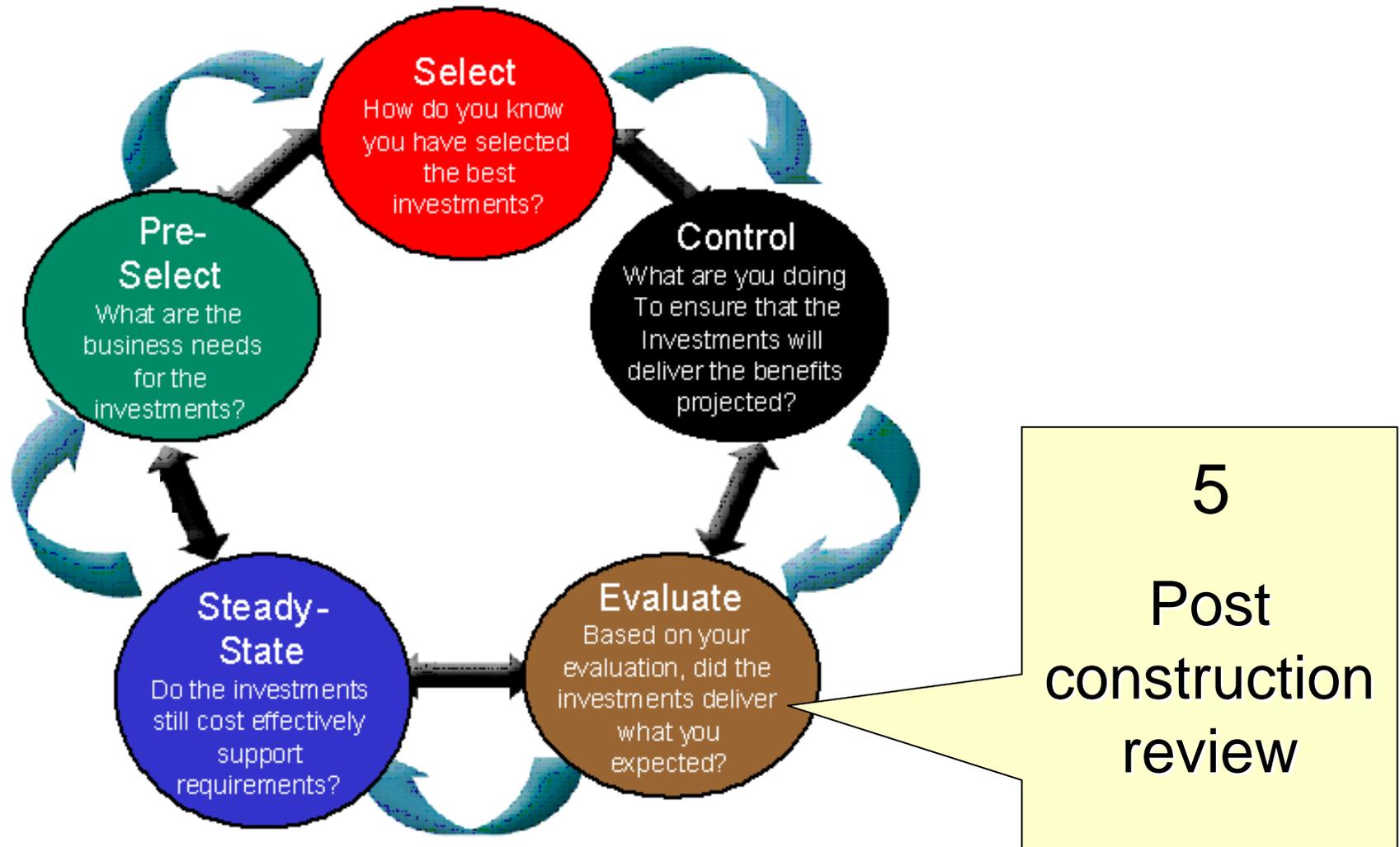
NPS APPLICATION

1. Finalize project agreement
2. Develop design alternatives & evaluate using Value Analysis
3. Evaluate project performance at Development Advisory Board
4. Prepare quarterly CAPs
5. Review CAPs through Investment Review Board staff
6. Propose corrections for variances
7. Obtain NPS CAP approval
8. Submit progress & completion CAPs to DOI

Where does responsibility lie during “Control”?

	PROCESS STEP	RESPONSIBILITY
1	Develop Project Assessment Procedures and Operating Principles	Project Sponsor
2	Assess Project Performance Against CAP Baselines	Project Sponsor
3	Prepare and Submit Quarterly Progress CAPs	Project Manager
4	Review and Approve Progress CAPs	Bureau Investment Review Board/ Bureau Head
5	Review Bureau Progress CAPs and Recommend Appropriate Action	Executive CPIC
6	Review and Evaluate (Projects with Variance Issues)	MIT
7	Approve Bureau CAP	MEC and the Secretary
8	Prepare and Submit Completion CAP	Project Sponsor /Bureau Head
9	Submit Completion CAP to OMB (Project Close Out)	Secretary

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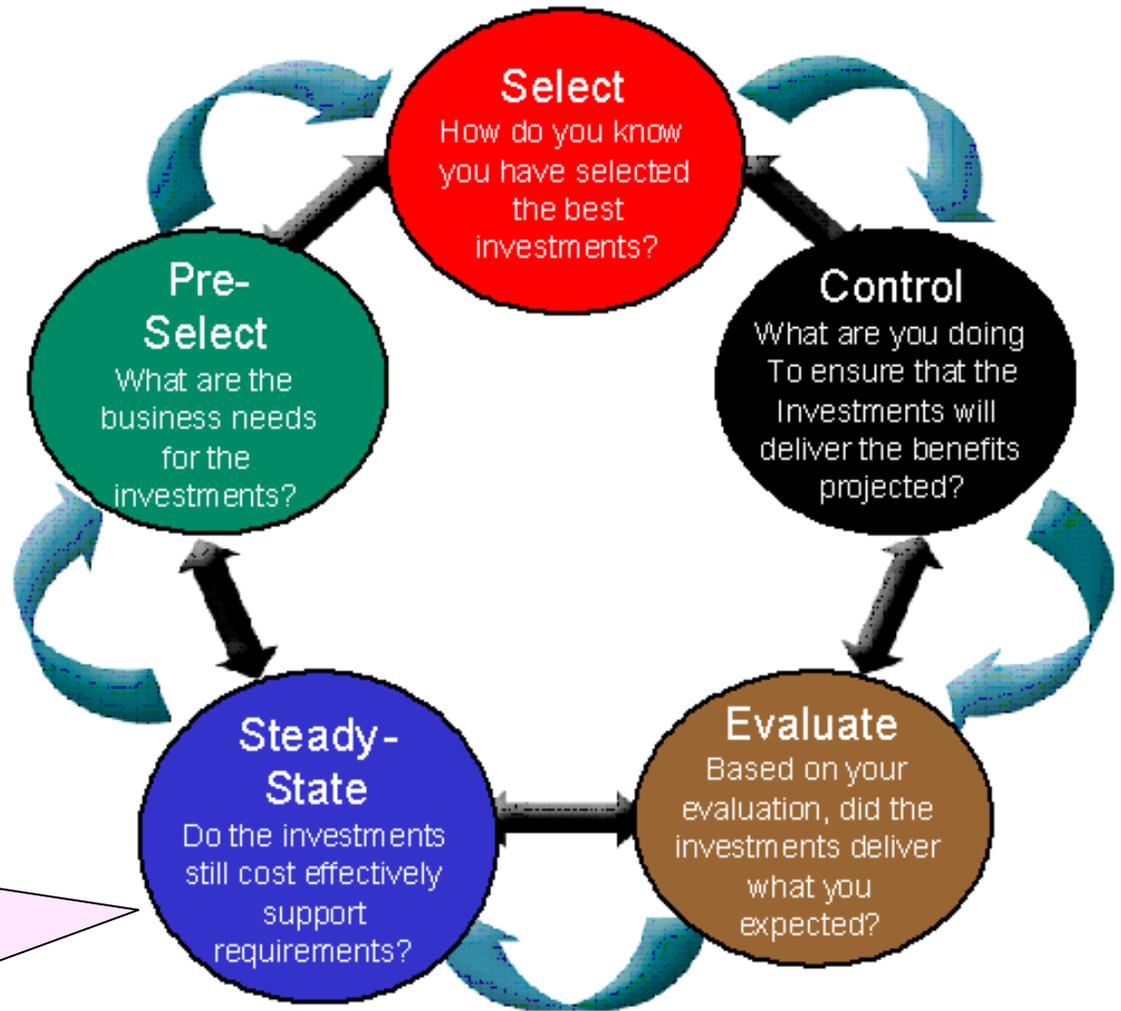
What is the “evaluate” phase?

Determine whether the investment delivered what was expected.

CPIC PROCESS STEPS	NPS APPLICATION
<ol style="list-style-type: none">1. Prepare Construction Completion Report2. Monitor warranty period3. Conduct post occupancy evaluation4. Prepare post occupancy report5. Document & share best practices/ lessons learned within Bureau & with Executive CPIC6. Distribute Best Practices/Lessons Learned department-wide	<ol style="list-style-type: none">1. Prepare & submit Construction Completion Report2. Monitor project during warranty period & invoke warranties as necessary3. Conduct post occupancy evaluation & document success & failure nodes4. Prepare post occupancy report5. Share findings with design professionals & other user groups

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Start again



1

Day-to-day
use and
maintenance