

PIP-II Technical Review Plan

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Document Approval

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Revision History

Revision	Date Released	Description of Change
A	July 16, 2019	Major Revision
B	Nov. 1, 2019	Conventional Facilities review procedure aligned with FESS Comment and Compliance Review procedure. Expanded System Acceptance Review description for clarity. Added Accelerator Readiness Review section. Removed references to Production Readiness Review and replaced with Procurement Readiness Review. Other minor edits as necessary.

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1. Introduction

Fermi National Accelerator Laboratory (FNAL) is building a new superconducting linear accelerator and upgrading the existing synchrotron complex together designated The Proton Improvement Plan-II (PIP-II) Project. The Project is technically complex and organizationally ambitious. A first for the Office of High Energy Physics (HEP), PIP-II will incorporate into the linac significant in-kind contributions from international partners that will range in scope from device design and development to fully integrated superconducting linac sub-systems. Upon completion, PIP-II will deliver proton beam power exceeding 1 MW to the Long Baseline Neutrino Facility/Deep Underground Neutrino Experiment (LBNF/DUNE). The design of PIP-II builds a technical foundation for a high-intensity proton facility ultimately capable of multi-MW beam power after future upgrades.

PIP-II requires significant design coordination and integration oversight. As part of the oversight strategy, a technical review plan specific to PIP-II is detailed in this document which does the following: establishes expectations of design and planning content and maturity at each review phase/class; gives guidance to managers to define scope and schedule of work for incorporation into the PIP-II Resource Loaded Schedule (RLS); and gives stakeholders relevant information about the status of work for their interfacing activities.

The following sections define the scope, guiding principles, review classes, stakeholder roles and responsibilities, procedure to carry out the review types, and finally review deliverables expected at each level of maturity.

2. Scope

This document defines the technical review plan the PIP-II Project will use for systems, sub-systems, and components under development at Fermilab and International Partners. This document also defines the general procedure to carryout and close a review.

3. Acronyms

A&E	Architecture and Engineering
ARR	Accelerator Readiness Review
AUP	Authorization to Use and Possession
BCR	Baseline Change Request
BOE	Basis of Estimate
CCR	Comment and Compliance Review
CF	Conventional Facilities
CoDR	Conceptual Design Review
DDD	Design Deliverables Document
DUNE	Deep Underground Neutrino Experiment
EPDM	Engineering Process Document Management
EVMS	Earned Value Management System
FDR	Final Design Review

FEM	Fermilab Engineering Manual
FESS	Facilities and Engineering Services Section
FMEA	Failure Mode and Effect Analysis
FRS	Functional Requirements Specification
FNAL	Fermi National Accelerator Laboratory
HEP	High Energy Physics
ICD	Interface Control Document
IPPM	Office of Integrated Planning and Performance Management
IRR	Installation Readiness Review
ISD	Interface Specification Document
L2M	WBS Level 2 Manager
L3M	WBS Level 3 Manager
LBNF	Long Baseline Neutrino Facility
MIP	Manufacturing Inspection Plan
MRR	Manufacturing Readiness Review
ORC	Operational Readiness Clearance
ORR	Operational Readiness Review
P6	Primavera Scheduling Software
PDR	Preliminary Design Review
PIP-II	Proton Improvement Plan II Project
PQR	Procedure Qualification Record
PPD	PIP-II Project Planning Document
PRD	Physics Requirements Document
PRR	Procurement Readiness Review
QA	Quality Assurance
QC	Quality Control
RA	Risk Assessment
RDS	Room Data Sheet
RLS	Resource Loaded Schedule
RSR	Requirements Specification Review
SAR	System Acceptance Review
SDP	System Design Plan
SEP	Systems Engineering Process

SPC	Partner Sub-project Coordinator
SRG	Supplemental Review Guideline
TC	Siemens Teamcenter
TD	Technical Director
TRR	Transportation Readiness Review
TRS	Technical Requirements Specification
WBS	Work Breakdown Structure
WPQ	Weld Procedure Qualification
WPS	Weld Procedure Specification

4. Reference Documents

1	Fermilab Engineering Manual
2	PIP-II Quality Assurance Plan DocDB # 142
3	PIP-II Systems Engineering Management Plan TC ED0008164
4	PIP-II Global Requirements Document TC ED0001222
5	PIP-II Physics Requirements Documents TC ED0010216 – ED0010243
6	PIP-II Review Charge Template TC ED0008020
7	PIP-II Review Report Template TC ED0008020
8	PIP-II Review Response Template TC ED0008020
9	121.02 SRF and Cryo Systems Design Plan TC ED0010551
10	121.03 Accelerator Systems Design Plan TC ED0010552
11	121.04 Linac Installation and Commissioning Design Plan TC ED0010553
12	121.05 Accelerator Complex Upgrades Design Plan TC ED0010554
13	121.06 Conventional Facilities Design Plan TC ED0010555
14	FNAL Office of Integrated Planning & Performance Management Project Lessons Learned Database
15	PIP-II Lessons-Learned log (PIP-II at Work Sharepoint)
16	PIP-II Value Engineering Plan DocDB # 2830
17	Prevention through Design Assessment (ED0008508)
18	PIP-II QA/QC Planning Template DocDB # 2566
19	PIP-II Risk Register DocDB # 599
20	Fermilab ES&H Manual
21	DOE O 420.2C – Safety of Accelerator Facilities
22	FESS Standard Operating Procedure 8.3.5.1 – FESS Document Review
23	FESS Standard Operating Procedure 8.3.2.1 – FESS Construction Document Signoff
23	PIP-II Integration Review Plan DocDB # 3018
24	Policy on Records Management , Fermilab Information Management System

5. Guiding Principles of Reviews

The reviews and procedure detailed in this document specify how the Project will meet its technical, schedule, and budget commitments. The primary goal of technical reviews is to increase the probability of success by identifying potential or actual design and integration problems as early as possible to minimize the cost, schedule, and performance impact. Technical reviews are conducted within the framework established by the *Fermilab Engineering Manual* (FEM) [1] and are integral to the overall Quality Assurance (QA) activities defined by the *PIP-II Quality Assurance Plan* [2]. Technical reviews are a pillar of the PIP-II systems engineering activities defined in the *PIP-II Systems Engineering Management Plan* (SEMP) [3]. A comprehensive set of technical reviews are conducted within WBS L2 Systems to ensure the final achieved performance meets high-level requirements specified in the *PIP-II Global Requirements Document* (GRD), the specific systems-level requirements defined in the *WBS Level 2 Physics Requirements Documents* (PRD) and lower level functional and technical requirements as defined [4,5].

Periodic independent reviews appropriately phased to the DOE O 413.3b Critical Decision stages and Director's readiness reviews will occur throughout the life cycle of the Project but are not subject to this *PIP-II Technical Review Plan* (TRP).

6. Classes of Reviews

Reviews are classified according to design and development maturity, complexity, cost, and safety criticality. Formal review definitions are included in Section 9 of this document. All reviews defined in this document, except for Peer Reviews, are considered milestone reviews and should be identified in P6 as part of the PIP-II Earned Value Management System (EVMS). The types of project driven reviews are identified as follows:

- Peer Reviews
- Requirements and Specification Review (RSR)
- Conceptual Design Review (CoDR)
- Preliminary Design Review (PDR)
- Final Design Review (FDR)
- Procurement Readiness Review (PRR)
- Manufacturing Readiness Review (MRR)
- Design & Construction Procurement Readiness Review
- Transportation Readiness Review (TRR)
- System Acceptance Review (SAR)
- Installation Readiness Review (IRR)
- Operations Readiness Review (ORR)
- Accelerator Readiness Review (ARR)

7. Roles and Responsibilities

7.1. Technical Director

The Technical Director (TD) is the highest technical authority in the PIP-II organization and therefore has the overall responsibility to ensure the design, development, and integration processes for the PIP-II accelerator and complex follow this technical review plan. The Technical Director has the following authorities and responsibilities:

- Ensures all technical systems, sub-systems, and components are reviewed in accordance with this plan
- Approves System Design Plans (defined in Section 8.2)
- Approves each technical review closeout for compliance with this plan; is final approver in Teamcenter (TC) workflow

7.2. System Managers

The System Managers, or WBS Level 2 Managers (L2M) are the system design authorities and have overall technical and budget approval for their respective systems and sub-systems. L2M responsibilities related to technical reviews are:

- Develops and maintains a System Design Plan (SDP) that covers all elements in the L2 system
- Assures design reviews are scheduled and conducted as required for sub-systems within their respective authorities
- Appoints the Review Coordinator
- Selects the Review Committee Chair
- Approves the Review Committee Members
- Approves Review Charge
- Approves Review Responses to comments and recommendations
- Ensures that any recommendations arising from the review are adequately addressed and closed

7.3. Review Coordinator

The Review Coordinator is appointed by the L2M. The Review Coordinator organizes and plans the review and has the following responsibilities and roles:

- Forms a review committee with appropriate expertise to effectively assess each charge item and recommends a Chair
- Gives the latest PIP-II Technical Review Plan to the committee to establish the context and expectations of the review process
- Gives a review charge to the committee (written purpose and goal of the review) utilizing the *PIP-II Review Charge Template* [6]
- Gives the *PIP-II Review Report Template* to the committee Chair [7]
- Establishes an Indico website to host presentation and review materials
- Works with the technical team to create an appropriate agenda that meets the review charge
- Facilitates review logistics
- Ensures that the technical team is organized and prepared for the review by making review packages and associated materials available to the committee a minimum of one week prior to the scheduled review. Arranges pre-meetings with Review Committee as necessary to establish review goals and expected outcomes.
- Delivers the opening statement and slides explaining the review goal and instructions to the review participants
- Assists the review Chair in leading the executive session(s) during the review
- Obtains the final report from the committee and uploads to the Teamcenter (TC) Item associated with the review

7.4. Review Committee Chair

The Review Committee Chair(s) is a review topic-specific subject matter expert appointed by the Review Coordinator and approved by the L2M. The Chair serves as the primary point of contact with the review committee and has the following responsibilities:

- Coordinates questions and information requests ahead of and during the review to address committee concerns
- Presents the committee's initial findings, comments, and recommendations during the close-out session at the end of the review
- Authors review report that answers all charge questions and includes the committee's final findings, comments, and recommendations
- Transmits the final review report to the Review Coordinator and the L2M

7.5. Review Committee

The Review Committee is selected by the Review Coordinator with the L2M approval. The committee is comprised of subject matter experts (engineering and scientific), Fermilab safety and quality representatives, and may include outside experts for critical system, sub-system and component reviews. The Review Committee has the following responsibilities:

- Consists of at least one reviewer external to the Project team
- Consists of reviewers external to FNAL for critical reviews as determined by the L2M or TD
- May consist of Partner-chosen reviewer when Partner scope is impacted
- Consists of relevant subject matter experts
- Gives verbal and written feedback to the Project on whether the system, sub-system, or component and associated design deliverables documents demonstrate technical and programmatic readiness based on the review scope and class
- Documents their assessment
- Confirms documents prepared for the review agree with those identified in the SDP and are included in the committee report checklist
- Answers the charge questions
- Writes findings, comments, and recommendations
- Assess implementation of lessons learned in designs and planning

7.6. Level 3 Manager

The WBS Level 3 Manager (L3M) is typically responsible for the content and completion of the material under review.

- Prepares the Design Deliverable Documents (DDD) in advance of the reviews in accordance with the SDP
- Logs all DDDs in the relevant engineering process document management logs (EPDMs) and uploads or links as required to the review site on Indico and/or DocDB
- Serves as Review Coordinator at the L2's request
- If not assigned as Review Coordinator, assists the Review Coordinator to ensure all review materials are available on time for the review committee
- Creates a TC item associated with the technical review that will contain the charge, review report, and review response documents

- Records review responses on the Review Response form associated with the review and uploads to TC Item associated with the review [10]
- Routes the Review TC Item for approval to the L2M and the Technical Director once the Review Report and Review Responses are uploaded and complete
- Uploads copies of the released Review Report and Review Response to a PIP-II DocDB # associated with the review
- Ensures DDDs and review presentations are prepared and reviewed in advance of posting for the committee, including those prepared by Partners

8. Procedure

8.1. General Procedure to Conduct and Close a Review

This section describes the general procedure to conduct and close a technical review for the PIP-II Project. The procedure described below is written for technical reviews held at Fermilab where the design authority resides within the Fermilab organization. The procedure defines the specific tasks by role for clarity but may be modified if necessary.

Note: Reviews conducted for Partner scope where a Partner is the authority or technical lead should follow this TRP and conduct and close reviews using a similar procedure within the constraints required of the Partner institution. The Project desires a consistent approach to all technical reviews conducted across the entire PIP-II scope of work, to the extent possible.

Conducting a Technical Review

- L3M – Prepare all DDDs defined in the System Design Plan (8.2 below) for review and confirms document list in SDP agrees with documents to be presented
- L3M – Create TC Item specific to review (title and associate the item according to topic)
- L2M – select Review Coordinator
- Review Coordinator – Write Review Charge with L2M
- Review Coordinator – Form review committee and recommend a Chair
- L2M – approve committee Chair
- Review Coordinator – Prepare Indico review website (<https://indico.fnal.gov/category/210/>)
- Review Coordinator – organize review logistics
 - Notify participants and stakeholders of review date, location, and Indico page. Stakeholders and invitation list is included in 8.6 below.
 - Reviews requiring in-person participation of Partners, two months advanced notice is required to facilitate travel. Partner in-person participation is determined on a case-by-case basis.
 - Prepare Zoom meeting connections and send invitations
- L3M – gives review committee access to all DDDs a minimum of one week in advance of the review. For complex system reviews, a minimum of two weeks is required.
- L3M and technical teams – prepare review presentation materials and post to Indico website

- Conduct review
- Review Chair – author and submit Review Report to Review Coordinator
 - Submits final report in a timeframe agreed upon with the Review Coordinator and L2M. Typically, the review report is due a maximum of two weeks after the review is held.
 - Submission of Review Report to the Review Coordinator assumes committee approves of report content and the report is deemed final

Closing a Technical Review

A P6 schedule review milestone is achieved when a technical review is closed. A milestone may be declared achieved during Control Account Manager (CAM) schedule status meetings only after review TC item is approved and released. The goal is to close the review cycle within one week following receipt of the final committee report.

- Review Coordinator - uploads Review Report to review TC Item containing the Review Charge and Review Response documents and informs L2M and L3M
- L3M – under the guidance of the L2M, writes a Review Response with the following information:
 - List of comments and responses, if required
 - List of recommendations
 - Recommendation Responses
 - Action Items and schedule to complete
 - Responsible party assigned to each action item
- L3M – uploads the Review Response to the review TC Item containing the Review Charge and Review Report
- L3M – initiates an approval workflow process in TC to finalize the Review
 - Review Coordinator assigned as ‘Checker’
 - L2M assigned as ‘Approver’
 - Technical Director (or designee) assigned as ‘Approver’
 - Rejected workflows must be addressed and then re-sent for approval
 - Approved workflows achieve the review milestone
- L3M – uploads released Review Report and Review Response to a PIP-II DocDB # associated with the Review. This DocDB item facilitates efficient communication to all stakeholders the review outcomes and planned actions. Informs CAM.
- CAM - informs PIP-II Project Controls that the review is complete, and the milestone achieved during subsequent schedule status meeting

8.2. Review Committee Selection

The Review Coordinator with assistance of the L2M selects review committee members and identifies a Chair possess the relevant experience required to effectively evaluate the material

presented at the review. Committee members and the review Chair will be qualified to meet the responsibilities defined in Sections 7.4 and 7.5.

On occasion, to maintain schedule, a review committee may be formed without all relevant subject matter experts. In this case, review content specific to missing committee members must be separately reviewed by relevant experts, in advance, with the review outcomes presented at the milestone review.

The committee Chair must be willing to organize and complete the Review Report at the agreed upon time.

8.3. System Design Plan

The L2M will develop a *System Design Plan* (SDP) that incorporates the relevant design review milestones into the PIP-II Project RLS for the respective L2 system. The SDP will identify Design Deliverables Documents (DDD) associated with each review type. The SDP will be approved by the PIP-II Project Technical Director. The design reviews may be scheduled when the applicable component or system to be reviewed is ready, or, during the design stage, when significant changes have been made to the original design or concept. The SDP will list the components and systems requiring technical, safety, and any other planned reviews identified as milestones in the resource loaded schedule (RLS). The SDP will be updated as needed to maintain consistency with current project planning. The L2M will periodically brief the technical integration and project management teams on the status and execution of the SDP. Table 1 lists the five *System Design Plans* and references [9-13].

WBS Level 2 System	System Design Plan References
121.02 SRF and Cryo Systems	TC ED0010551
121.03 Accelerator Systems	TC ED0010552
121.04 Linac Installation and Commissioning	TC ED0010553
121.05 Accelerator Complex Upgrades	TC ED0010554
121.06 Conventional Facilities	TC ED0010555

Table 1: PIP-II Project WBS L2 System Design Plans

8.4. Presentation Materials and Support Documentation

The L2M and critical stakeholders (L3Ms, design staff, Partners, etc.) prepare the presentation materials and DDDs identified in the SDP and indexed in the appropriate EPDM in TC. The Review Coordinator verifies that the planned material is properly cataloged and available for the review committee. Presentation materials and supporting documentation will be distributed in advance of the review, typically a minimum of one week before the review. Presentation materials will be posted to an Indico site within the PIP-II Project Reviews section (<https://indico.fnal.gov/category/210/>). Copies of the relevant support documentation should be given to reviewers without TC access via the Indico or DocDB location assigned to the review.

8.5. Review Report and Review Responses

The Review Chair authors the review report. Review reports are prepared using the latest *PIP-II Review Report Template*. The Review Report will include at a minimum:

- The title of the item or system under review

- A description of the item or system
- The type of review
- The date of the review
- The names and association of the reviewers
- Review attendance list
- The review agenda
- Checklist confirming design deliverables documents reviewed
- Assessment that the design meets the specified requirements and interfaces
- Assessment of the incorporation of Lessons Learned, as appropriate*
- Answers to each charge question
- Value Engineering opportunities**
- The Requests for Actions, including **Findings**, **Comments**, and **Recommendations**, where:
 - **Findings** – general, factual observations about material presented, and require no response.
 - **Comments** – observations with value judgments, or “soft” recommendations that require action by the design/engineering team, but where a formal written response is not required.
 - **Recommendations** – items that require formal action and closure in writing prior to receiving approval to move into the next phase of the project, or items that require formal action and closure in writing prior the next review.

The review report should be completed and approved by the Chair and committee members within two weeks following the review or on a timeline negotiated with the Review Coordinator. The Chair submits the report to the Review Coordinator who then uploads the document to the TC item associated with the review.

The technical lead subject to the review, usually the L3M, writes responses to the comments and recommendations contained in the review report and logs them in the Review Response spreadsheet also uploaded to the review TC item. After the review responses are finalized, the L3M routes the overall review TC Item for L2M and Technical Director for approval.

Following the review, the L2M will ensure that all responses to comments and recommendations are technically appropriate and adequately addressed.

*The review committee should assess whether lessons-learned from similar projects have been implemented in the design and planning activities under review. Relevant lessons-learned should be part of the material presented at the review. The three sources of lessons learned are the [FNAL Office of Integrated Planning and Performance Management \(IPPM\) lab-wide Project database](#), [iTrack](#), and the PIP-II Project lessons learned log [14,15]. In some cases, this assessment may not be required.

**Value Engineering (VE) opportunities are often discovered during conceptual and preliminary design reviews. The Review Coordinator and/or the L2M will request of the Review Chair to collect from the review committee possible VE opportunities in accordance with the *PIP-II Value Engineering Plan* guidelines [16].

8.6. Announcement and Attendance

A review announcement and schedule will be made in advance of the review to the committee and relevant stakeholders - preferably one month prior to the date of the review. The announcement should communicate relevant details of the review, such as the system being reviewed, committee charge, the location of relevant documents, review meeting time and location, and other logistics.

In addition to the review Chair, committee, and presenters, formal invitations to the review should include the following groups:

- Technical Integration members
- Project Scientist
- L2Ms
- Interfacing L3Ms
- Partner Technical Coordinators
- Partner Sub-project Coordinator (SPC) (if impacted)
- PIP-II ESH Manager
- PIP-II Quality Assurance Manager

The review Chair will record attendance and include it in the final review report.

9. Review Definitions and Deliverables

The review sequence and design deliverables defined in this section establish a guideline for L2Ms to plan design and development milestones. L2Ms will determine the specific design deliverables subject to review for systems within their authority and itemize the deliverables in their respective SDPs. To facilitate the identification of DDDs required for each review, Supplemental Review Guideline (SRG) documents will be completed by topic (e.g. Safety, Quality, code compliance, etc.) experts to map design/compliance requirements already established at FNAL to the PIP-II design and review cycle. The general sequence of the technical review plan milestones relative to design maturity is shown below in Figure 1.

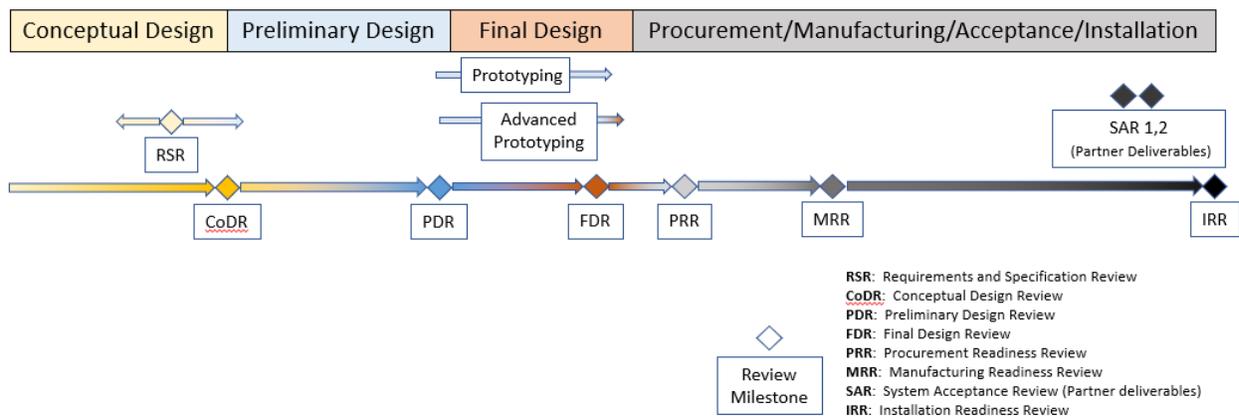


Figure 1: Technical review milestones relative to design maturity

9.1. Peer Reviews

Peer reviews are reviews typically conducted in the normal course of the design cycle at the request of a Department or Division Head or technical lead to ensure the technical team makes adequate progress toward technical milestones. Peer review milestones are not required in the resource loaded schedule (RLS) unless desired by the L2M or L3M. Outcomes of Peer reviews are often included as part of the technical basis for Project driven reviews.

9.2. Requirements and Specifications Review

A Requirements and Specification Review (RSR) is held to ensure alignment between the overall physics, functional, and technical requirements including those imparted by interfacing systems. RSRs are typically held in the conceptual or preliminary design phases at the time where requirements definitions mature sufficiently to proceed with formal design activities. The review will contain the following items and address:

- Project level requirements
- System level requirements, including physics requirements
- Functional Requirements
- Technical Requirements
- Interface Requirements
- Requirement sources
- Requirement margins
- Operations requirements
- Reliability requirements
- Traceability to functional and physics requirements
- Requirements validation and verification processes
- Specification and Requirements consistency

Documents and supporting material to be reviewed may include:

- Physics Requirement Documents
- Functional Requirements Specifications
- Technical Requirements Specifications
- Interface Control Documents

After closure of the review action items, the review outcome will be used to assist the L2M in setting the baseline system level requirements, continuation of engineering specifications and component conceptual or preliminary designs.

Formal RSRs are typically most impactful for systems or sub-systems with many interdependent requirements.

9.3. Conceptual Design Review [~5-15% Design Maturity]

The Conceptual Design Review (CoDR) is held to ensure that the objectives and requirements of the design are understood and that the proposed design approach will achieve its purposes. The emphasis will be on the requirements, how they flow down, the proposed design concept and the definition of the major system interfaces. The review will demonstrate a clear understanding of the interfaces and requirements needed for integration of the system with the rest of the Project.

The review should present the major design alternatives considered, the relative risk for each, and the justification for the selection. The CoDR will contain the following items and address:

- Design Objective
- Functional Requirements Specifications (FRS)
- Preliminary Physics Requirements
- Preliminary Technical Requirements
- Preliminary Technical Interfaces
- Conceptual design that meets the requirements
- Preliminary engineering analyses to support conceptual design
- New technologies required or R&D plan and rationale
- On-going or future trade-off studies
- Alternatives Analysis
- Preliminary Prevention through Design Assessment [17]
- Engineering Risk Assessment (ERA) (Teamcenter form)
- Quality control and reliability statement
- Lessons learned from previous projects or experience
- Preliminary budget and schedule

A successful CoDR allows the design effort to proceed to the preliminary design phase.

9.4. Preliminary Design Review [~30-50% Design Maturity]

Preliminary Design Reviews (PDRs) are technical and programmatic reviews intended to assure the design approach meets the technical requirements. Detailed designs are not expected, but preliminary design and analyses are required to demonstrate compliance with requirements. Presentations of the design and interfaces by means of block diagrams, signal flow diagrams, schematics, logic diagrams, configuration and layout sketches, analyses, modeling and any early results are required. Supporting data and analyses for mechanical, power, thermal, and reliability assessments should be shown. Results from prototype testing, if available, should also be presented. In cases of significant complexity, a PDR may be required for prototype procurement (e.g. prototype SRF cavities, cryomodules, and ancillary components). Prototype PDRs enable high-cost prototyping procurements and testing to proceed. Prototype PDRs will be identified by indicating which type in the RLS activity names and in the SDPs. Preliminary system-specific QA Plans and sub-system-specific QC Plans are required for this review [18]. PDRs will contain the following items and address:

- Sub-system organizational structure and team
- Sub-system scope and deliverables
- Documented physics, functional, technical, and interface requirements
- Changes to baseline physics, functional, technical, and interface requirements
- Prevention through Design and Code Compliance
- Engineering design and analyses showing predicted performance and expected margin to relevant requirements
- Assumptions and limitations of current state of the analyses
- Draft list of critical items and single-failure point items and their analysis compared to specifications.
- Preliminary software requirements, as applicable
- Preliminary reliability and maintainability requirements

- Plan for obtaining required safety approvals
- Preliminary QA and QC plans
- Lessons learned from previous projects or experience
- Closure of requests for action from previous review
- Preliminary safety hazard assessments
- Baseline cost and schedule

Typical PDR deliverables include the following design deliverable documents (some in a preliminary stage of completion):

Requirements

- L3 Functional Requirements Specification
- L3 Technical Requirements Specification
- L4/5/6 sub-system FRS/TRS

Interfaces

- Interface Control Documents/Interface Specification Documents
- Interface Specification Documents for internal sub-systems (L4 and below)

Risk & Safety

- Updated Engineering Risk Assessment Document
- Updated Prevention through Design Assessment Table
- Preliminary Failure Mode Effect Analysis (FMEA), if applicable
- Updated Risk Register [19]

Project Documents

- Updated Preliminary Design Report Chapter
- Updated Basis of Estimate (BOE)
- Updated Resource Loaded Schedule
- Updated Alternatives Analysis

Design

- Design review reports of all sub-systems
- Resolution of all previous relevant review recommendations
- Test reports from previous system or sub-system prototypes
- Preliminary 3D models or drawings of all major components; 50-90% complete of sub-components
- Design level schematics of major electronics systems; 50-90% schematics and layout of long duration items
- Software functional requirements and preliminary architecture
- Preliminary interlock documentation
- Preliminary System/Sub-System Engineering Calculations and Engineering Notes
- Preliminary P&ID

Procurement/Production/Installation

- Preliminary system-specific QA Plan
- Preliminary sub-system specific QC Plan
- Preliminary design and requirements verification methodology and procedures
- Preliminary system or sub-system Procurement/Manufacturing/Oversight Plan
- Preliminary sub-system assembly procedures
- Preliminary system-level assembly procedures

The completion of the PDR and the closure of any requests for action generated by the review establish the basis for proceeding with the final design phase. The L2M may request endorsement by the design review committee for long lead items procurement or for additional advanced prototypes for final design verification prior to production start.

9.5. Final Design Review [~90-100% Design Maturity]

Final Design Reviews (FDRs) are technical and programmatic reviews conducted to give assurance that the completed design achieves all physics, functional, technical, and interface requirements. The technical areas addressed during the review include the design configuration of the selected design; verification planning, requirements, and compliance; operations planning; support equipment; and systems compatibility. In cases of significant complexity, an FDR may be required for advanced prototype procurement (e.g. prototype SRF cavities, cryomodules and ancillary components). Prototype FDRs enable high-cost prototyping procurements and testing to proceed. Prototype and production FDRs will be identified by indicating which type in the RLS activity names and in the SDPs. Final Design Reviews contain the following items and address:

- Sub-system organizational structure and team
- Sub-system scope and deliverables
- The final design meets the functional, technical, and interface requirements supported by released engineering notes, drawings, schematics, software, etc.
- Prevention through Design elements addressed in the final design
- Detailed engineering analyses conducted to predict performance, including margins for relevant requirements
- A complete list of critical items, their analyses, and fabrication and test plans per applicable specifications
- Prototype verification test results that demonstrate functionality and/or technology readiness needed to start production, including performance margins relative to requirements
- Draft fabrication, assembly, test, and transportation plans (if applicable), along with lists of procedures, fixtures, and flow of work for component and sub-system fabrication, assembly, and test, and preliminary drafts of key procedures
- Draft operations and maintenance plans, including list of operating and maintenance procedures
- Quality control plans that include requirements for parts and material selection, inspection, acceptance and process control during manufacturing
- Code Compliance documents
- Updated technical, cost and schedule risk analysis, with focus on manufacturing risks
- Cost and schedule
- List of identified outstanding problem areas/open issues

- Lessons learned from previous projects or experience
- Summary of resolution of request for action from previous reviews since PDR
- Summary of PDR Review Response and resolutions

Typical FDR deliverables include:

Requirements

- L3 Functional Requirements Specification
- L3 Technical Requirements Specification
- L4/5/6 sub-system FRS/TRS

Interfaces

- Interface Control Documents/Interface Specification Documents
- Interface Specification Documents for Internal Sub-systems (L4 and below)

Risk & Safety

- Updated Risk Assessment Document
- Updated Prevention through Design Assessment Table
- Failure Mode Effect Analysis (FMEA)
- Up-to-date Risk Register

Project Documents

- Updated Basis of Estimates (BOE)
- Updated Baseline Change Requests (BCR)
- Updated Resource Loaded Schedule
- Updated Alternatives Analysis

Design

- Final Design Review Reports of all Sub-Systems
- Resolution of all previous relevant review recommendations
- Test reports from Previous System/Sub-System Prototypes
- Final 3D Models/Drawings of all Major Components; 90% complete of sub-components
- Design level schematics of major electronics systems; 90% schematics and layout of long duration items
- Software functional requirements and preliminary architecture
- Final Interlock Documentation
- Approved System/Sub-System Engineering Calculations and Engineering Notes
- Final P&ID
- Engineering notes establishing design meets code standards and safety requirements (does not need to be released)

Procurement/Production/Installation

- Final system-specific QA Plan
- Final sub-system specific QC Plan

- Final Design Verification Plans and Procedures (System/All-Subsystems)
- Preliminary system or sub-system procurement and manufacturing oversight plan
- Final sub-system assembly procedures
- Final system-level assembly procedures
- Draft Installation Plan
- Draft Acceptance Plans

After the closure of action items, the L2M approves the final design where; detail drawings and assemblies can be completed, items can be purchased, and part fabrication can begin on low risk items not requiring a formal Procurement Readiness Review.

9.6. Procurement Readiness Review

Procurement Readiness Reviews (PRRs) are milestone reviews held to initiate the procurement cycle of critical, high-value, or other procurements as necessary. PRRs are primarily technical reviews, but include assessment of the planned vendor evaluation, cost, schedule, and personnel needs to complete the procurement and manufacturing cycle. In certain circumstances, PRRs can be combined with FDRs when documentation maturity is sufficient. PRR will contain the following items and address:

- Status of sub-assembly and detail drawings
- Status of bill of material and part list
- Final released drawings for assembly, test, and handling fixtures, and specifications or drawings for assembly and test equipment
- Production verification test plans, inspection and test travelers, and associated QA/QC documents such as draft travelers, component routing and handling procedures, draft Manufacturing Inspection Plans (MIP)
- Draft plans for manufacturing workflow, including scheduling, Project personnel requirements and how they support manufacturing workflow plans
- Cost and schedule updates based on manufacturing workflow plan details
- Prevention through Design elements integrated into the production components or systems
- Review closeout recommendations from the FDR or PDR if PRR combined with FDR
- Updated Risk Register including manufacturing risks, transportation risks, and others
- Draft manufacturing control process that identifies hold points and manufacturing inspection strategy
- Review of lessons learned from similar procurements and incorporation as applicable
- Vendor evaluation methodology

Typical PRR deliverables include:

Project

- Updated RLS
- Updated BOE
- Updated Risk Register

Design

- Updated Prevention through Design Assessment
- Final released drawings for mechanical items
- Final design files for all electronic items
- Summary of FDR review responses and resolutions
- Final assembly procedures and travelers

Procurement

- Final Bill of Materials and parts list
- Quotation or purchase order descriptions for procured items
- Vendor evaluation criteria spreadsheet
- Vendor qualification documents and associated Technical Questionnaire
- For contracted design and manufacturing procurement contracts, design verification and approval schedule
- For contracted design and manufacturing procurement contracts, vendor Project Management and QAP documents
- Draft MIPs and Control Documents

Acceptance and Verification

- Acceptance Criteria Document
- Draft Verification Test Plan describing all tests for verifying sub-system code compliance, requirements and interfaces
- Draft Verification Procedure
- Draft Inspection procedures and travelers
- Quality Control Documents

After the closure of PRR action items, the procurement cycle may start.

9.7. Manufacturing Readiness Review

Manufacturing Readiness Reviews (MRRs) are held as part of the procurement cycle following vendor selection and award and prior to component fabrication or integration. MRRs are required for procurements where changes occur to designs, specifications, or requirements because of vendor input or other reasons. MRRs are not required for every procurement, but should be conducted for complex, high risk, or highly technical deliverables and included as milestones at the discretion of the L2M. MRRs are also valuable in build-to-print contracts in the event a vendor identifies design improvements for manufacturability. MRRs ensure the vendor produces what the Project requires using the latest technical information. The successful conclusion of an MRR authorizes component manufacturing to begin. An MRR will contain the following items and address:

- Final of bill of material and part list
- Final released manufacturing drawings for assembly, test, and handling fixtures
- Final production verification test plans, inspection and test travelers, and associated QA/QC documents such as travelers, component routing and handling procedures

- Final plans for manufacturing workflow, including scheduling and Project personnel involvement
- Cost and schedule updates based on manufacturing workflow plan details
- Final manufacturing control documents

Typical MRR deliverables include:

Project

- Updated production schedule
- Updated procurement cost

Design

- Final approved manufacturing drawing sets and technical specification documents
- Final design files for all electronic items
- Final assembly procedures and travelers
- Final OEM integrated component technical specification

Production

- Final Bill of Materials and parts list
- Final MIPs
- Manufacturing control documents identifying hold points
- Vendor QC Plan
- Weld Procedure Specification (WPS)
- Weld Procedure Qualification (WPQ)
- Procedure Qualification Record (PQR)
- Quotation or purchase order descriptions for procured items integrated at vendor
- Final transportation and delivery instructions

Acceptance and Verification

- Final Acceptance Criteria Document
- Final Verification Test Plan and Procedure describing all tests to verify sub-system code compliance, requirements, and interfaces

After the closure of MRR action items, the component manufacturing may begin.

9.8. Transportation Readiness Review

Transportation Readiness Reviews (TRR) are held to ensure that sensitive equipment can be safely transported both onsite and from production facilities (Partner laboratories, industrial partners) to Fermilab for testing and installation into PIP-II. TRRs should be held for complex or delicate devices where standard packaging/crating considerations are inadequate (e.g. Cryomodule transport). The review should be held with enough time before the end of production (start of transportation) to allow final design, review, and fabrication of appropriate transportation fixtures, shipping frames, and other required equipment. In some cases, a separate design cycle

with milestone reviews may be required for the tooling depending on complexity. TRRs will contain the following scope items and address:

- Demonstrate that the plan adequately protects equipment from damage
- Determine if transportation risks are well understood
- Demonstrate that the transportation plans conform to relevant laws and safety regulations
- Determine if staffing and resource allocation is adequate
- Determine if monitoring/verification plan is adequate to verify successful transport
- Lessons learned from previous projects or experience

Typical TRR Deliverables include:

Project

- Responsibility Matrix
- Updated Risk Register

Design

- Engineering analysis to assess component risk (including FMEA or equivalent)
- Transportation Requirements Specification detailing criteria required to protect all components during transport
- Shipping infrastructure design and analysis

Transportation Plan

- Analysis of chosen transportation method
- Analysis of route
- Instrumentation and data collection plan
- Instrumentation specifications
- Transportation procedure

Procurement

- Key shipping contract provisions
- Shipping contractor evaluation criteria

Acceptance and Verification

- Acceptance Criteria Documents
- Verification Test Plan
- Draft Verification Procedures

9.9. System Acceptance Review

System Acceptance Reviews (SAR) enable the transfer of ownership and technical risk associated with Partner deliverables from Partners to FNAL. SARs occur in two phases and are defined as SAR1 and SAR2 with each identified by milestone in the RLS. Each Partner, with the support of the L2M and L3M, will conduct an SAR1 to formally review and accept the deliverable

at the completion of a Partner driven procurement, fabrication, or integration of a system or sub-system and prior to shipment to FNAL. At the completion of the SAR1, the Partner confirms the deliverable meets all technical specifications, requirements, and acceptance criteria, and that all documentation is complete. FNAL also confirms that the documentation is complete and authorizes the Partner to ship. FNAL conducts an SAR2 after a Partner deliverable arrives at FNAL or another Partner for integration and confirms that the deliverable meets all technical specifications, requirements, and acceptance criteria after transportation and that all documentation is received and complete as agreed upon in the PIP-II Project Planning Document (PPD). At the completion of the SAR2, the ownership of the deliverable and associated technical risk transfers to FNAL. SARs will confirm the following:

- Acceptance criteria are verified and documented
- Non-conformances are resolved and accepted
- Vendor supplied documentation is complete, including as-built documentation
- Partner produced documentation, including travelers, test reports, and bills of materials, are complete

9.10. Installation Readiness Review

Installation Readiness Reviews (IRR) serve as the final decision gate to install a major component or sub-system in the LINAC. IRRs are conducted to transfer the responsibility of a device or component from the L2M responsible supplying the device or component to the LINAC Integration L2M responsible for installing the device. IRRs are also conducted for complex systems that do not have a transfer of responsibility (e.g., cryogenics plant, cryogenics distribution system). IRRs will contain the following items and address:

- Component or sub-system level devices have met all pre-installation acceptance criteria
- Confirm installation drawings, procedures, and/or travelers the delivering party supplies are complete and released
- Confirm the necessary procedures for installation
- Confirm that all technical design and pre-installation acceptance testing documentation is completed and released, if applicable
- Identify and confirm equipment and systems conform to safety requirements
- Assure prior review recommendations are completed
- Identify and resolve remaining risk elements

Typical IRR deliverables include:

- Signed acceptance verification criteria or traveler from the originating L2M
- Installation Deliverables List – approved by L3M for Linac Installation and L3M for component owner
- Finalized procedures and installation plan

- Confirmation and closeout of all prior closed review recommendations
- Updated risk register
- List of deliverables requiring installation

9.11. Operational Readiness Review

Operational Readiness Reviews (ORR) are ES&H reviews held as part of the Operational Readiness Clearance (ORC) process. ORRs are held in accordance with *FESHM, Chapter 2005* [20].

9.12. Accelerator Readiness Review

Accelerator Readiness Reviews (ORR) are required before DOE approval for commissioning and routine operations as directed by the DOE Program Secretarial Officer or a DOE Field Element Manager as specified in DOE O 420.2C [21].

10. Contracted Design and Manufacturing Reviews

When a contract is established with a vendor to perform both the design and manufacturing activities (e.g. cryogenics plant, cryogenics distribution system), a modified review cycle is required. Since the vendor performs design activities which result in a transition directly to manufacturing, the review cycle order differs in that the vendor PDR and FDR are held following the PRR awarding the design and manufacturing contract. In these cases, the design cycle is established for the vendor during the contract execution phase. The goals of the PDR, FDR, and MRR following the contract award are the same as described above but the actual review process is specific to the vendor with guidance from FNAL. When these reviews are implemented, design deliverables lists are developed between FNAL and the vendor to align with the delivery scope. Figure 2 below shows the modified design and review cycle for contracted designs. A standard PDR and FDR review cycle with associated milestones may also be needed to complete and overall integrated system or reference design prior to a PRR and associated vendor reviews.

Build-to-print contracts often result in vendor recommended design and manufacturing drawing changes. When design changes result from vendor feedback, a final approval from FNAL is required on the manufacturing drawings prior to initiating production at the vendor.

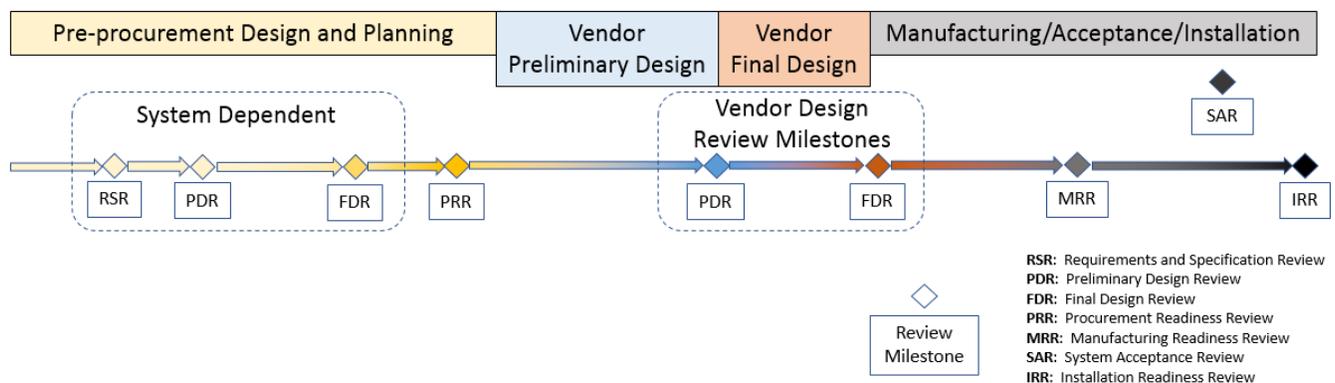


Figure 2: Design and review cycle for vendor contracted design and manufacturing

11. Conventional Facilities Reviews

The design and construction of conventional facilities elements follow a Design-Bid-Build process where an Architectural and Engineering (A&E) firm is contracted to produce the design. PIP-II Project members and Laboratory stakeholders are responsible to review and approve the design at the 60%, 90%, procurement and submittal-ready levels of maturity as defined below. All technical information associated with these reviews are collected and distributed electronically to the stakeholder reviewers.

The technical reviews for PIP-II Project Conventional Facilities (CF) scope are conducted using the FESS Comment and Compliance Review (CCR) procedure defined in the *FESS Standard Operating Procedure 8.3.5.1* [22]. The PIP-II Project requires additional verification steps to the standard CCR procedure to ensure adequate PIP-II Project-member engagement and to verify review comments and recommendations are resolved prior to closing the CCR. These steps are justified and detailed below.

- **PIP-II Project Stakeholder Participation Requirement**

The CCR procedure includes many minor and major stakeholders as reviewers but does not explicitly require participation or confirmation that these stakeholders reviewed the technical information. The PIP-II Project requires that critical Project-member stakeholders participate in the CCRs and document their participation.

Additional procedural steps:

- The FESS Project Engineer (L3M) (role defined in *FESS SOP 8.3.5.1*) and the CF L2M will prepare a list of critical Project-member stakeholders to be included in the CCR participants list. The PIP-II Project Technical Director will approve the PIP-II Project stakeholder list prior to starting the CCR.
 - PIP-II Project stakeholders will document their participation in the review prior to closing a CCR. PIP-II Project stakeholders will assess whether the designs meet the Project-driven technical requirements and record their assessments by entering comments or recommendations in the comment log according to *FESS SOP 8.3.5.1*.
- **CCR Review Comment Closeout and Verification Requirement**
Reviewers post comments and recommendations during a ten-day CCR period using the process defined in *FESS SOP 8.3.5.1* for each CCR review. At the completion of the CCR period, the CF L2M and L3M draft resolutions for each comment and recommendation. These resolutions and actions are distributed and connected by topic to the technical documents, so the A&E firm can perform the required actions.

The CF L2M will post the final version of the CCR comments and resolutions to TC and route to the Technical Director for approval. The CCR milestone is achieved once the TC item associated with the CCR review is released.

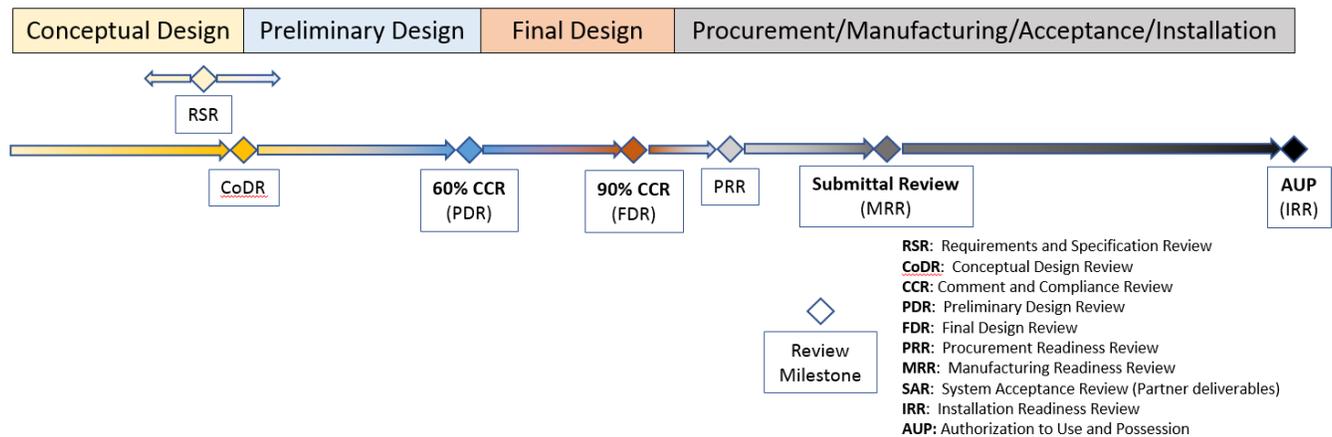


Figure 3: Design and review cycle for conventional facilities

- **Requirements and Specification Review**

An RSR is held prior to establishing a subcontract with an architectural/engineering firm to develop detailed and final design documents. The RSR ensures alignment between the overall scientific goals and functional and technical requirements including those impacted by interfacing systems.

- **60% Comment and Compliance Review (Equivalent to Preliminary Design Review)**

A lab-wide Comment and Compliance Review (CCR) following *FESS SOP 8.3.5.1* is held to assure the preliminary design meets the technical requirements. This CCR is issued when the design is approximately 60% completed and is equivalent to the PDR described above with respect to design maturity. This CCR is intended to review the preliminary designs for 1) appropriateness of proposed systems, 2) impacts on existing systems and operations, 3) specific technical requirements to be incorporated into the design and 4) compliance with best and required practices of authorities having jurisdiction.

- **90% Comment and Compliance Review (Equivalent to Final Design Review)**

A second lab-wide Comment and Compliance Review (CCR) following *FESS SOP 8.3.5.1* is held to assure the final design meets the technical requirements. This CCR is issued when the design is approximately 90% completed is equivalent to the FDR described above with respect to design maturity. This CCR is intended to review the final designs for 1) appropriateness of proposed systems, 2) impacts on existing systems and operations, 3) specific technical requirements to be incorporated into the design and 4) compliance with best and required practices of authorities having jurisdiction.

- **Procurement Readiness Review**

A PRR is held to initiate the procurement cycle and subsequent start of construction. The PRR for CF elements will include the following:

1. FESS signoff of the subcontract documents per *FESS SOP 8.3.2.1* that indicates that the documents are ready to be issued for procurement [23].

2. Review by Finance/Procurement of the subcontract documents to ensure that they are ready for competitive solicitation.

This review milestone is complete when the subcontract documents and FESS signoff are posted to TC.

- **Submittal Reviews (Equivalent to Manufacturing Readiness Reviews)**

The bid-build procurement process requires a review of component assemblies and materials following vendor selection and award and prior to component fabrication or integration. The review of submittals will follow the procedure described in standard specification 01330 “Submittals” included in construction subcontracts. A review complete milestone (titled “All Material Submittals Complete”) will be incorporated into Section 3.2, Construction Schedule, of standard specification 01001 – General Requirements included in construction subcontracts.

- **Authorization to Use and Possession (Equivalent to Installation Readiness Review)**

An Authorization to Use and Possession (AUP) process is completed as part of the transfer of the conventional facilities to operations. This process is detailed in Section 3.4 Acceptance of standard specification 01001 – General Requirements included in construction subcontracts.

12. Integration Reviews

Integration Reviews are a class of reviews held to assess an integrated system-level design that impacts multiple systems and sub-systems. The purpose of an integration review is to uncover missing interfaces, requirements, scope and risks which may not be known or sufficiently understood in an individual WBS standalone review.

Since these reviews cross L2 and L3 boundaries, the reviews are organized and conducted by the PIP-II Integration Team with the participation of the affected L2 and L3 systems. A *PIP-II Integration Review Plan* document in the format of the SDPs is used to identify and plan all integration reviews and associated review deliverables [24]. Due to the complication of creating milestones within multiple L3 RLS's and tying these activities within each L3 RLS, these reviews are conducted within level-of-effort project management activities. The level-of-effort activities in the Technical Integration WBS include the integration review milestones. Integration reviews will address the following:

- System scope
- System configuration
- System and interfacing sub-system functional and technical requirements
- Design dependencies and assumptions
- Operational dependencies and assumptions
- Performance risks imparted by interfacing systems
- Overall System integration approach

13. Records Retention Schedule

Fermilab Information Management System policy on records management, the records associated with this process will be stored throughout the life of the related systems/subsystems, assemblies, and components [25].